

Cherish or Chuck...? The Care of Episcopal Records

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1 INTRODUCTION

This is a guide to the management of the records created and received by the offices of diocesan, suffragan and area bishops' and is intended to provide some practical guidance for his staff which can be dipped into as the need arises. The guidance given is not prescriptive and should be adapted to your local circumstances. The information in this guide has been compiled from a number of sources including the Archbishop's Advisory Panel for Libraries and Archives, The National Archives, the staff of various bishops' offices and Diocesan Record Offices (DRO) who were visited in the course of the preparation of this guide.

It is to the Church of England Record Centre (CERC) and the DRO, that bishop's staff should look for further advice and guidance on the care of records, ancient or modern.

Further copies of these guidelines can be downloaded from our website:

<http://www.cofe.anglican.org/about/librariesandarchives/>. Paper copies are also available from the Church of England Record Centre and details of our address can be found in Section 12.

2 STRATEGIC IMPORTANCE OF MANAGING YOUR RECORDS

The primary purpose of managing records is to meet the operational needs of the bishop's office to enable it to carry out its functions effectively. It is strongly recommended that one named member of staff is responsible for co-ordinating the management of the records created by the bishop's office and that they liaise with the Diocesan Registry and the DRO and so can provide a central point of reference for any queries. It is recommended that they should be responsible for authorising the opening of new files and the general management of the bishop's electronic and paper filing systems. This will help to ensure consistency in the management of the various records in the office.

There are a number of other reasons why bishops need to manage their records properly. The Church has theological reasons for managing its records:- Firstly as a testimony of its various activities as part of its continuing witness to Christians, those of other faiths and to Society at large. Good record keeping is part of the Church's wider accountability to Society in relation to a wide area of responsibilities which include such diverse areas as demonstrating compliance with child protection legislation and the Church's commitment to preserving historic churches. The records that are kept ideally should ideally reflect the true complexity and diversity of the Church's activities. Thirdly, many church activities are subject to external regulation, for example in areas of child protection and accounting. This is especially true in the current climate where the volume of records (whether stored in paper or electronic format) can easily become overwhelming.

If you have too many records then the important information can get buried; but if you can't find the information when you need it there is little point in keeping it in the first place. On the other hand, if records are destroyed before they need to be, then the bishop may not have the information which is required to deal with issues that arise.

Consequently good record keeping and ensuring the back up of vital information should form an important part of the bishop's administration and business continuity arrangements.

The records created by a bishop fall into three broad categories:

1. Those relating to the administration of his diocese or his Episcopal area (if a suffragan bishop);
2. Those relating to any national responsibilities that a bishop may hold on behalf of the Church, such as his appointment as a Church Commissioner or his service in the House of Lords on behalf of the Church;

3. Those relating to his personal ministry and interests such as his activities as an author or a patron of a charity.

These guidelines are designed to help bishops and their staff to distinguish between the different kinds of records and to decide for how long and where these need to be retained. The retention periods given in these guidelines are based either on legislation or recommended as good practice. These guidelines should be applied to all records whether the records are in a traditional paper or in an electronic format.

3 DECIDING WHAT THE BISHOP NEEDS TO RETAIN

3.1.1 General Approach

Although many records will be of little or no historical value, it is important to be able to distinguish between these records and those which will be of permanent value.

The purpose of this section is to give a bishop's staff the confidence to distinguish between the records which ought to be kept permanently and those which may safely be thrown away when they are no longer required for administrative purposes. This advice applies to both traditional paper records and those which are electronically generated. Lists of categories of files and records detailing what to keep and for how long are typically known as "retention schedules".

Records divide into three categories of retention.

The bishop must retain: Those records which the diocese is legally required to maintain either permanently or for a minimum period. Records of historical value for research should after they are no longer required for current administrative purposes be transferred to the Diocesan Record Office (DRO). Many of these records will be created and held by the Diocesan Registrar, acting in his capacity as the bishop's legal secretary.

The bishop may retain: Those records which the diocese has no legal obligation to retain after they cease to be required for administrative purposes, but which have a continuing historical value for research. The bishop should consult the DRO and the Church of England Record Office (CERC) before disposing of these records. Selected records in the bishop's office may belong to this category.

The bishop should dispose of: The records which at the end of their administrative life have no longer term statutory or historical value. The majority of the records in the bishop's office will fall into this category.

3.1.2 Retention Schedules

It is strongly recommended that the bishop's office develops a retention schedule that includes all the records created whether electronic or paper which clearly states the period of retention for each series or category of records.

The retention advice is given in Sections 4.1 – 4.4 below in the form of a commentary followed by a table setting out the recommendations in a summary form. The following retention guidelines give suggested minimum periods for keeping various types of Episcopal records. If you are in any doubt please seek advice from the CERC or your DRO, usually your local authority record offices. Details of the DRO can be found in the diocesan entry in the Church of England Year Book.

After an agreed period the records should be destroyed in accordance with the retention schedule or be reviewed leading to the one of following outcomes:

Deposit at an appropriate Record Office:

Important material which needs to be kept permanently. It is acceptable to deposit originals with the DRO or appropriate specialist Record Office or the Diocesan Registry.

Destroy:

Ephemeral material which can be discarded once its purpose has been served. Do not destroy if there is any possibility that the document may be required as evidence for example if it relates to a continuing or unresolved dispute.

Sample:

Where it is not practical to retain the whole series of records for example due to its quantity, select a sample using criteria agreed with the DRO. Where it is appropriate transfer the whole record series to the DRO to allow the archivists there to take an appropriate sample.

The implementation of the retention schedule can be supported by arranging your records according to a classification scheme called a 'File Plan' based upon the functions and activities of the bishop's office. This describes the different types of records kept in an office, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the retention period for each category of records. A model file plan for a bishop's office is set out in Appendix 2.

3.1.3 Identification and Appraisal of Historical Records

The bishop's office and some times the See House will often have a number of older legacy records that are no longer of administrative value, but however which may still have a historical significance. Such records may give unique information not duplicated elsewhere concerning the history and character of the Church of England and the economical, social and political history of the diocese. They may also have an ecumenical, liturgical and theological value in documenting the development of the Christianity and other faiths. The emphasis is on the content of the records and not the immediate context of the bishop's activities. For example, a bishop's personal records may include his theological and pastoral work that has a wider historical interest to researchers than the Church's own history.

The following criteria may help you to decide whether a record may be of sufficient historical interest to contact the DRO or the CERC for further advice.

- Integrity test – if a file or record contains only fragmentary information then it should be destroyed, even if it might be retained if the series was complete.
- Historical interest – if a file or record which would otherwise be destroyed contains material likely to be of historical interest, it should be retained. Do the records give unique information not duplicated elsewhere concerning the history and character of the diocese or the Church of England and the economical, social and political history of the country? Do the records have any ecumenical, liturgical and theological value in documenting the development of Christianity and other faiths? An example might be the parish profiles found on parish files.
- Business use test – if a file or record which would otherwise be destroyed contains material which has a clear potential business value to the bishop then it should be retained. Examples include files relating the enthronement of the bishop and the historical artefacts and works of art in the See House.

3.1.4 Sampling Historical Significant Records

For some records there may be the potential for selecting records on either a random or a selective basis where the significant material may be identified without having to retain the whole series (for example a Parish file. Sampling should be undertaken from two perspectives. Firstly an appraisal undertaken by the bishop's office assesses the business value of the records and secondly an appraisal undertaken by the DRO assesses the historical value of the records. It is important that these two appraisals are undertaken together as joint exercise by the bishop's staff and DRO prior to a deposit being made.

Administrative records of historical value should be transferred to the DRO as soon as possible after the records cease to be required for current administrative needs, subject to local negotiation with the DRO. Records of the bishop's personal ministry of historical value may be appropriately transferred, under certain circumstances to a specialist archive institution for example Lambeth Palace Library, see Section 4.3 below,

4 RETENTION ADVICE FOR BISHOP'S RECORDS

4.1 Diocesan Responsibilities

These are records created by the bishop through his diocesan responsibilities. The section is sub-divided according to the different categories of records which are relevant to a bishop's office.

Many records relating to the diocesan administration will be duplicated by diocesan departments and in many cases it will only be necessary to keep these for reference. It is recommended that these are retained for a period of 5 years.

4.1.1 Personnel Records

Personnel files relating to the clergy retained by bishops and their staff fall outside the scope of this guide. For such guidance see 'Confidential Files On Ministers Guidance Notes for Bishops and Bishops Secretaries' and the most recent edition was issued by Lambeth Palace in March 2009 (published on the Lambeth Palace Library website: http://lambethpalacelibrary.org/files/Care_of_Clergy_files.pdf)

The guidelines in this section apply to the lay employees of the bishop's office and follow the generic advice based on statutory limitations.

However, personnel files relating to lay employees with responsibilities bringing them into contact with children or vulnerable adults should be retained until death and which practically is a minimum of 75 years after their employment ceases. A Criminal Records Bureau (CRB) check or disclosure broadly provides a full picture of an individual's criminal history and the CRB will process applications for registration with the Independent Safeguarding Authority (ISA).

However, any copies of actual disclosures should be kept for no longer than 6 months. Further guidance can be found on the ISA and NSPCC websites:

<http://www.isa-gov.org.uk/>

<http://www.nspcc.org.uk>

These files and any other records including information concerning an individual's unsuitability for a particular job should be kept in locked filing cabinets or in password protected electronic folders or systems. It is essential to keep accurate records of any concerns, disclosures and allegations relating to children and vulnerable adults. Facts observed or disclosed should be accurately recorded, signed and dated. If records are being kept without the knowledge of the subject, it should be clearly recorded why this is so, for instance if there is a pattern of behaviour which needs to be monitored or third party information, such as a letter of complaint or police information. Actions taken and decisions made should be noted. Who is party to the information, for example, the subject of the report, the child's parent etc and/or, 'a need to know' monitoring group for a sex offender, should be recorded.

The bishop must keep securely:

- A file for each lay member of staff and volunteer.
- Letters and other correspondence pertaining to disclosures received from the CRB. These should be kept for as long as those volunteers and employees are in the particular role for which disclosure was obtained. CRB certificates must never be

duplicated and must be destroyed within 6 months of a recruitment decision being made.

- A dated register of those who have been CRB cleared, for administrative purposes (such as ensuring renewals, or to provide a quick reference). However, any copies of actual CRB disclosures should be kept for no longer than 6 months.
- Any communication from third parties, e.g. received from complainants on any matter, the police or Social Services and a factual record of the actions taken.

Concerning records relating to allegations of misconduct, the guiding principle is that all relevant information should be kept in the appropriate file and that separate or parallel files should not be created or maintained. Working papers should be fully maintained while any issues are being dealt with, but on completion may be weeded unless the issue being dealt with is of a serious nature (e.g. financial corruption in which case a complete file should be retained). As a minimum a summary note of any issue must be kept on file indefinitely and this must include the following information:

Issue or allegation and its source; and how it was resolved and the outcome.

This is necessary to protect all parties involved.

Basic record description	Retention Period	Final Action
Clergy Files – not covered by these guidelines see ‘Confidential Files On Clergy Guidance Notes for Bishops and Bishops’ Secretaries’	Retain until death	Liaise with the DRO
Clergy Discipline including legal opinions	Retain until death	Liaise with the DRO
Lay staff personnel files not in contact with children or vulnerable adults including annual performance assessments, disciplinary matters, job descriptions, training and termination documentation	6 years after employment ceases.	Destroy
Lay staff personnel records in contact with children or vulnerable adults including, annual performance assessments, disciplinary matters, job descriptions, training and termination documentation	Minimum 75 years after employment ceases.	Destroy
Records of specific recruitments – generic information (advertisement, interview questions etc) job applications and interview records	3 years after the appointment.	Destroy

Basic record description	Retention Period	Final Action
Records of specific recruitments – relating to unsuccessful candidates (application forms, interview notes etc)	6 months after the date of appointment	
Contracts of employment and changes to terms and conditions.	6 years after employment ceases.	Destroy
Annual leave records	2 years after the leave is taken.	Destroy
Expenses claims	7 years after the claim.	Destroy
Health and Safety policy statement	Retain until superseded.	Revision
Bishop's Office risk assessment forms	3 years	
Risk Assessment forms relating to individuals (not asbestos, chemicals or auditory)	Period of employment + 7 years	Destroy
Risk Assessment forms relating to individuals (exposed to asbestos, chemicals or auditory risks)	Period of employment + 40 years	Destroy
Minutes and reports of Health and Safety meetings	50 years.	Retain in the Bishop's office.
Criminal Records Bureau certificates	Within 6 months of the recruitment decision being made	Destroy

4.1.2 Financial Records

Bishops are funded by the Church Commissioners and the bishop's office needs to keep financial records (for example bishop's expenses claim should be retained for 7 years).

Basic record description	Retention Period	Final Action
Church Commissioners Excel bishop's expenses Spreadsheet	Retain for 7 years	Destroy
Budgets and periodic financial reports	Retain for 7 years	Destroy
PAYE records (post April 2004)	Retain for 7 years.	Destroy

Cheques, bills of exchange and other negotiable instruments	Retain for 7 years.	Destroy
Bank statements and reconciliations	Retain for 7 years.	Destroy

4.1.3 See House Records

Records relating to the See House should also selectively be retained. Particular care should be taken with records that include any information of a sensitive nature, such as security codes and alarm details.

Architectural drawings, photographs and plans should be retained. If the See House is sold, this material should either be transferred to the new owner, (if both parties are agreed); or if of historical significance forwarded to the CERC to form part of the Church Commissioner's archives. This should be decided in consultation with DRO and CERC. Where the bishop's housing is provided by the diocese (for example in the case of some suffragan or area bishops), historically significant records should be offered to the DRO.

Basic record description	Retention Period	Final Action
Feasibility Studies (concerning use of site)	Retain permanently.	Transfer to CERC
Conservation (environmental and historical) Statements	Retain permanently.	Transfer to CERC
Maintenance tests and statutory certificates (not asbestos) [Architect's files]	12 years after expiry or superseded	Destroy
Asbestos inspections and records of clearance works [Architect's files]	40 years	Destroy
Other routine maintenance and architectural records (not asbestos)	5 years	Destroy
Historical/heritage architectural drawings, artefacts (e.g., furniture and paintings – See House heirlooms) books, photographs plans and valuations.	Retain permanently	Transfer to CERC
Garden plan, planting plans and associated documentation	Retain permanently	Transfer to CERC for appraisal.

4.1.4 Diocesan Administration

The bishop's office has a central core of administrative records that relate to the bishop's activities in the dioceses relating to the clergy, parishes, and his pastoral and civic

involvement in the local community and his participation in the administration of the diocese. The way these records are arranged will vary and the following general advice should be adapted to meet local circumstances.

Basic record description	Retention Period	Final Action
Benefice /Parish files	Retain permanently.	Deposit at DRO
Local Bodies on which the Bishop serves as trustee	Retain for the term of the Bishop's Office	Destroy
Special marriage licences including requests for marriage of divorcees	30 years	Appraise with the DRO
Senior Staff Meeting Minutes	Retain permanently.	Deposit at DRO
Theological College Inspection Reports	Retain for 5 years	Destroy
Vacancy Files	6 months after the appointment.	Weed and add retained records to the Parish or Clergy files as appropriate

4.2 National Responsibilities

These are the records created by a bishop's responsibilities nationally such as his activities in the House of Lords and in the General Synod. Some records relating to the national administration will be duplicated by the relevant national organisation. Therefore in many cases it will only be necessary to keep such reference material for a recommended period of 5 years. Copies of Archbishops' Council and General Synod publications can be obtained from CERC. General Synod publications usually have a GS reference number and please do quote this when seeking to obtain a copy from CERC. Such publications are also increasingly accessible online.

The records the bishop creates through their national responsibilities outside of the dioceses, for example serving as a Church Commissioners, would usually move with them during their career and into retirement. These records can include correspondence, photographs, personal research and writing for official publications. Where a bishop takes a leading national role in internal Church affairs (liturgy, ecumenism etc) or broader national issues (race relations, climate change etc) the records may have a national significance and consideration might be given to offering them to Lambeth Palace Library or the Borthwick Institute For Archives.

The records of the bishop's relating to the administration of his diocese which are deemed to have continuing historical interest should be deposited with the DRO.

Basic record description	Retention Period	Final Action
Circular and papers sent for information to the bishop by National Church Institutions including Archbishops' Council, Church Commissioners, General Synod and Pensions - responded to by the bishop	5 years	Destroy

or his staff, or directly concerning the bishop or diocese		
Circular and papers sent for information to the bishop by National Church Institutions including Archbishops' Council, Church Commissioners, General Synod and Pensions - not responded to and not directly concerning the bishop or diocese	3 years	Destroy
Copies of numbered papers – General Synod, House of Bishops, bishops' meetings, Archbishops' Council (including minutes) including policy documents enclosed in General Synod mailings e.g. Issues in Human Sexuality, Rochester Report on Women Bishops , Guidelines on Marriage in Church after Divorce etc.	5 years	Destroy
Other Church Organisations (e.g. CMS) minutes, publication and reports	5 years	Destroy
House of Lords Minutes of Proceedings	5 years	Destroy
Theological Colleges, agendas, minutes, reports and theological inspection reports	5 years	Destroy

4.3 Personal Ministry

The bishop's ministry may include his personal activities as an author, patron of national charities, his personal academic and theological interests. It may be the case that if a bishop has had a prominent national role (whether relating to church affairs e.g. liturgy or ecumenism, or wider issues e.g. race relations or nuclear disarmament) his subject files and correspondence might be of interest to a specialist archive such as Lambeth Palace Library or the Borthwick Institute for Archives. Such records may span the bishop's incumbency of more than one see and even into retirement. The same may apply to other record series, e.g. a bishop's diaries and photographs. Examples of such records already held at Lambeth Palace Library include:

- George Bell, Bishop of Chichester – paper relating to the German churches before and after the Second World War, the allies' war policy, relief work among refugees,

- J. A. T. Robinson, Suffragan Bishop of Woolwich – papers relating to his publications including ‘Honest to God’, the Bible, church affairs and social and political questions.
- A. C. Headlam, Bishop of Gloucester – papers relating to education, the Book of Common Prayer, churches overseas and ecumenical affairs
- O. S. Tomkins, Bishop of Bristol – papers to Intercommunion, church unity , and the World Council of Churches
- E. W. Kemp, Bishop of Chichester – papers relating to church unity and marriage
- J. R. H. Moorman, Bishop of Ripon – papers relating to the Second Vatican Council
- K. E. Kirk, Bishop of Oxford – papers relating to moral issues, and the Church of South India.

The remit of Lambeth Palace Library includes the acquisition of correspondence and papers of clergy, and bishops of national and international importance. It therefore accepts the private paper of church leaders in selected instances where these are of particular importance for the history of the Church.

The disposal of these records is at the discretion of the bishop, however the bishop’s staff and the DRO may wish to offer advice in the period leading up the to bishop’s retirement or translation to a new diocese.

The Private Archives Team at the National Archive may also be able to offer advice as to possible recipients of such records. Contact: Norman James, Senior Manager, Private Archives Team: Norman.James@nationalarchives.gsi.gov.uk

Basic record description	Retention Period	Final Action
Bishop’s diary (paper and on Outlook)	30 years	Destroy/Delete
Bishop’s desk diary	5 years	Destroy
Liaison correspondence (often arranged alphabetically by subject or institution)	Retain for the term of the bishop’s office	Dispose as the bishop chooses
Bishop’s Personal Library	Retain for the term of the bishop’s office	Dispose as the bishop chooses
Historical Library attached to a See House (if existing)	Retain permanently	Retain at the See House.
Bishop’s sermons, broadcasts and lectures	Retain for the term of the bishop’s office	Dispose as the bishop chooses
Bishop’s personal membership of church organisations such as missionary societies	Retain for the term of the bishop’s office	Dispose as the bishop chooses
Bishop’s personal research and publications	Retain for the term of the bishop’s office	Dispose as the bishop chooses
Bishop’s personal membership of external	Retain for the term of the	Dispose as the bishop

bodies	bishop's office	chooses
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4.4 Episcopal Documents from the Diocesan Registry

Many of the bishop's formal acts are recorded through documents created by the Registrar of the diocese and the bishop's Legal Secretary. These are received by the bishop's office for him to sign and to then return to the custody of the Diocesan Registry for safekeeping. You may wish to selectively photocopy some documents and add them to the appropriate file held in the bishop's office, (for example a minister's licence might be added to their clergy file). It should be remembered, however that this will not be the legal copy.

Sections 9.8 and 10.8 of 'Save and Delete The Care of Diocesan Records' gives a more detailed list of the records held by the Diocesan Registry, however the section below lists some of the documents that will come to the bishop for his signature. These records will come to the bishop for signature and usually will be retained in the DRO. Some of them may also be duplicated on the appropriate clergy and parish files.

Basic record description	Retention Period	Final Action
Bishops Act Books	Retain permanently.	Deposit at the DRO
Patronage Register	Retain permanently.	Deposit at the DRO
Petitions Register – Faculties	Retain permanently.	Deposit at the DRO
Consecration Register	Retain permanently.	Deposit at the DRO
Institution Register	Retain permanently.	Deposit at the DRO
Register of Licences	Retain permanently.	Deposit at the DRO
Sealing Registers	Retain permanently.	Retain in the DRO
Orders In Council and Church Commissioners Orders	Retain permanently.	Deposit at the DRO
Suspension of Patronage Orders	Retain permanently.	Deposit at the DRO
Legal Opinions and Rulings	Retain permanently.	Retain in the Diocesan Registry
Ordination Certificates	Retain permanently.	Deposit at the DRO
Marriage Licence affidavit forms	Retain permanently.	Deposit at the DRO
Clergy Discipline Measure 2003 records – including copies of the Archbishops' List of clergy should be kept locked in a safe or be encrypted.	Retain permanently.	Deposit at the DRO

5 What to do when the Bishop leaves office

When a bishop leaves office the records of the episcopate need to be sorted into three categories:-

- Diocesan responsibilities;
- National responsibilities;
- Records of his personal ministry.

This is best done where possible before the bishop's departure with the bishop's secretary and chaplain working together with the bishop to identify appropriate categories of records.

Generally the records relating to the bishop's diocesan administration will remain for the use of his successor. That said, the departure of the bishop is an ideal opportunity to identify any records that may have such historical significance that they can be transferred to the DRO. In addition, it is also a time to assess whether to dispose of any records.

Many of the records relating to a bishop's national responsibilities such as serving on the Archbishops' Council should be duplicated by the records of the relevant national Church body. If in doubt, however, please contact the CERC who will be able to confirm whether the records are duplicated or in fact should be forwarded to be catalogued as part of the archives of the National Church Institutions.

Records of the bishop's personal ministry and interests such as his activities as an author or a patron of a charity should be clearly separated from the other records and packed to leave with the bishop for his new home. If a bishop has died or is retiring with a large volume of personal records consideration should be given to whether any of these records are of historical interest and should be deposited at an appropriate archive or library. The DRO and the Private Archives Team at the National Archives may be able to offer advice about what institutions, either locally or nationally, may be interested in receiving the bishop's papers particularly relating to a special interest, (for example where the bishop is an author or expert in a particular field of study).

Section 3.3 above sets out some criteria to help identify historically significant records that should be referred to the DRO for further advice.

6 LOOKING AFTER YOUR ELECTRONIC RECORDS

6.1 General Advice

Whilst information technology (IT) has made administration much easier electronic records need to be subject to the same rules of management as traditional paper records, particularly in regard to retention and destruction.

It is recommended that the bishop's office routinely tackles the preservation of electronic records, which are of permanent historical value. Preferably the electronic records held by the bishop's office should be supported by an electronic archive or a Document Management System (DMS). Where such support is not available it is not recommended to store such records on magnetic media but only in hard copy format in the absence of a supported electronic archive or document management system. Magnetic media can become corrupted and so it is better to capture the permanent copy early on in the life of the document (it is recommended that this is done as soon as the final document has been completed). Even records stored on CD/R or DVD media can be subject to corruption although this is a more effective option than many.

It is recommended that all IT systems which are used to create and maintain electronic documents in the course of diocesan administration are backed up on a regular basis. The back ups should be stored securely away from the location of the machine or system on

which they were created, ideally in another building or at the least, in a different room in the same building.

All applications should have appropriate virus checking software, especially if documents are transferred between a number of computers.

It is also advisable for the bishop's office to ensure that compatibility of existing data is addressed when buying and installing new computer systems. Otherwise significant re-keying or loss of data may be necessary or occur.

Almost all bishops now have their own section within the diocesan web site. If the technical expertise is available it is of value to take a snapshot of the relevant part of the diocesan web site twice or three times a year (depending on how frequently the web site is updated) as part of a web archive. All master documents made available via the web site should be captured in hard copy format in the same way as other records stored on magnetic media. Advice on web archiving can be found on the National Archives website:

<http://www.nationalarchives.gov.uk/webarchive/webmasters.htm>

6.2 Document Management Advice

6.2.1 Naming Files and folders

All documents (e.g. a report or spreadsheet or PowerPoint presentation) in Microsoft Office called "files" and are stored in "folders". You should have a clearly structured arrangement for all your folders which is fully documented and based upon the functions and activities of the bishop's office. This is technically called a Business Classification Scheme. It describes an organisation's business functions and activities, and the relationships between them and provides the best foundation for a record classification scheme and records retention schedules. You can give names to files and folders and the combination of file and folder name should clearly indicate the subject content. For example:

Minutes – name of the group or committee and meeting date in a recommended format (yyyy.mm.dd) e.g. "DAC Minutes 20090801.doc" or "DBF minutes 20090801.doc" rather than "1 August.doc". Having year then month in number format in the file title means any file list on screen will be in a helpful and logical order. Store minutes in appropriately named folders e.g. DAC Minutes 2007 or DBF Minutes 2008.

Reports – name of the report, date and version number if applicable e.g. "Diocesan Board of Finance Annual report 2007.doc.v1"

Filenames – add the filename and filepath to the footer of every document you create once it has been saved, to enable anyone with a paper copy to identify what it is and where the electronic copy can be found.

Folders - should carry a readily identifiable name that indicates their purpose. The default should always be to put documents into global or shared folders and have a clear policy on folder names.

Consider:

- Is there a recognised term for the subject? Use this for preference.
- Is the term likely to be recognised in the future? Try not to use current buzz words which may have passed out of use in the future when the folders have not.
- Try not to use abbreviations unless they are very obvious.
- If the subject is highly sensitive, for example an investigation into child abuse, they should be very carefully named. Whilst someone may not be able to access the record through security controls, if they are able to see the name, it could give enough sensitive personal data to expose the bishop's office to problems and potentially endanger the named individual.

- Can a complete newcomer understand the subject from the folder name and find the information quickly using the folder name?

6.2.2 Storing Files - Folders

Within shared drives create individual folders for each activity or function. If there are lots of files in a folder it can be hard to find specific information. Use additional folders to structure this as a hierarchy – general activities first, then more specific folders and files as you move down the hierarchy. If you already have a paper filing structure that people are familiar with then look at replicating that for your shared folders rather than trying to create something new. Put yourself in the shoes of someone trying to find a document in the future who is not familiar with the files: what folder and file titles will make it simple for them to find the right document or file?

6.2.3 Portable storage devices

The use of USB drives (the smaller portable devices sometimes used in conferences) should be limited and strictly controlled, and should never be the primary storage location for business records for the following reasons:

- It is bad practice to allow a user to manage records in an uncontrolled isolated environment which a USB provides. Their use needs to be closely monitored to with users guided to review the content regularly. This ensures not only that the drive is used efficiently, but also that record containing personal data or other sensitive information is not being held longer than required.
- USB drives are easy to lose
- They corrupt and become unreadable as their manufacturing quality varies greatly.
- They are a major transmitter of computer viruses. If a machine they are plugged into has a virus, it can be transferred to the USB, which if plugged into another network provides a way for the USB drive to transmit a virus behind a firewall.

6.2.4 Version Control

Where a document goes through a number of changes and earlier copies are retained, it is essential that version control be applied. This can be of two types.

- Version 0.1, 0.2 – where small changes are being made to an existing document.
- Version 2, Version 3 Final – where a major revision is made and a new revised version will replace an earlier version.

Doing this will make it easier to track changes as a document develops. The version information should appear in the file name and on the front page of the document (e.g. Mission Policy – Version 3 Final – 2006). Consider whether you want to retain or delete earlier versions. If a version represents a significant change in policy, thought or expression from its predecessor it should be retained.

6.2.5 Styles

Always structure documents using Word styles. They make it easy to format documents and maintain consistency throughout them, particularly standard ones such as letters, reports, minutes etc and enable simple shared reviewing and editing as everyone uses the same formatting and structure. Document sharing e.g. for comment and editing, is much easier to achieve when all the staff are connected together in the same network by using the “Routing” feature.

6.2.6 Security and Access

The greatest risk to your records is misplacement, loss and unauthorised access. Consequently it is vital that you properly control access to and use of your records. Store documents on shared drives so that they can be readily accessed by colleagues – better one copy in a shared drive than several all in personal drives or folders. Where necessary,

access to shared folders can be limited to those who have a need to access the contents. This can be done on a folder by folder basis on the network drive. It is not recommended to password protect individual documents, passwords can cause serious problems if users lose them, leave or are away for a protracted period of absence. In these circumstances the bishop's office has little chance recovering the contents quickly and without extreme difficulty.

6.2.7 Retention and Deletion

Shared folders are just like filing cabinets – they take up space and cost money. The difference is that you cannot see the space – but you still need to clear them out and weed them in exactly the same way you would a filing cabinet. You need to have a clear policy on what you keep and for how long. For specific guidance about the retention or disposal of records not included in this guide and in the absence of an office policy, please contact the Record Centre for further advice, Tel. 020 7898 1030 or e-mail: archivist@c-of-e.org.uk.

6.2.8 Back Ups

Back ups are the duplication of data so that there are additional copies which may be used to restore the original data if it is lost following a disaster or an accidental deletion or corruption of the data. It is essential to make regular back ups. Anything saved to a shared folder on your servers is usually backed up regularly by your IT department and can be recovered in the event of a problem with your systems. Avoid saving only onto local (i.e. C or D) drives or plug in drives such as USB memory sticks or flash drives – it isn't safe or secure! Obviously this will sometimes be unavoidable – so do transfer files to a shared folder on the server as soon as possible.

6.2.9 E-mails

Naming an e-mail – always use the “subject” box to give a proper title to the email that describes what it is about. Limit each e-mail exchange to one clear subject wherever possible – do not reply to a previous email to start a new topic, instead start a new e-mail with its own clear subject heading.

Saving an e-mail – Work related e-mails you need to keep as part of the corporate information of the bishop should be treated in the same way as any other electronic or paper record and stored in a way that provides security and access to those who need it. E-mails of importance should be saved outside the e-mail system (e.g. Outlook). Holding them in boxes has the disadvantage of losing e-mails when the Outlook Exchange Server goes down.

Saving e-mails can be done in two ways –

(i) within Outlook as a “live” e-mail. While this retains the flexibility of access and use – you can forward it, reply etc. and can store emails in various sub-folders the disadvantages are that they are only accessible to you, unlike information stored in shared folders and will over time clog up your email inbox making it harder to manager the information. E-mail is also not a satisfactory means of long term storage of important information.

(ii) Outside of Outlook. Content of e-mails that need to be saved longer term can be stored outside the e-mail system by saving the e-mail in message file (use the “save as” option and choose “Outlook Message Format” in the save as type field) in a shared folder under the appropriate subject heading – this saves the e-mail text as a document with the to/from/date details intact and allows it to be stored with related documents. The actual e-mail can then be deleted. In a Microsoft Windows environment, such e-mails can be simply dragged from Outlook to the appropriate folder. E-mail in boxes should also have size limits to ensure personnel data is held in them longer than necessary and this can be a storage limit or an instruction to “delete after X months” depending on your preference.

A policy of printing e-mails and filing them on paper files is not recommended. While a record is retained the original format is not preserved, its flexibility and usability are much reduced and their content can only be shared in essentially in an electronic working environment by being scanned back into the electronic system.

6.2.10 Dates

Always date documents. Do not use the “date” field option as it enters the current date and automatically updates every time the document is opened.

6.2.11 Master Copies

The master copy of any document or file should be the creating department or the main contributor to its creation. Decide who is the master copy owner – they are responsible for ensuring a complete set of records e.g. of a series of meetings, so that the organisation has a set so that everyone else can dispose of their versions of a document and not have to keep their own duplicate copies. This applies to paper as well as electronic records.

7 LOOKING AFTER YOUR PAPER RECORDS

7.1 Creating and retention of your records

Taking trouble from the moment records are created is always important. These records as far as possible should be kept in a locked filing cabinet. It is essential to keep accurate records, the guiding principle is that all relevant information should be kept in the appropriate file and that separate or parallel files should not be created or maintained.

It is useful to give some thought as to the length of time which a record will need to be retained. These guidelines together with the retention advice in section 4 provide a useful source of reference. If a record is likely to be retained permanently (for example, it is of historical or legal value) it may be appropriate to use an archival quality paper, to avoid the use of post-it notes on the text; to use brass paper clips or brass staples for securing papers, not to use self-adhesive tape to “mend” papers and not to use tippex on documents. All these precautions will extend the life of the record.

However, it would be an expensive over-reaction to apply these guidelines to routine financial information, for example, or general correspondence files which will be retained for much shorter periods of time.

7.2 Packaging

Avoid using brown paper, envelopes or newspaper for wrapping up records. Coloured or recycled paper is not suitable for records which are likely to be retained as permanent archives, and good quality pen ink should be used in preference to pencil or ballpoint pen for signatures.

Avoid metals that can rust in all clips, pins, staples, tags and containers. Many metals corrode and cause damage to documents. Brass, plastic and other non-rusting paper clips can be obtained. When tying bundles use white cotton or linen tape rather than string, and string rather than rubber bands, which perish and damage paper. Wrap bundles in strong white paper before tying. Keep documents free from dust, grease and other foreign substances.

7.3 Storage

Vital documents should be stored in a safe or in lockable fire resistant filing cabinets which should be located in a secure, cool and dry place. Safes and filing cabinets should be regularly checked and opened to ensure the contents are not subject to damp, mould or pest infestation. Avoid basements and attics for this purpose as these are likely to suffer from

dampness or high temperatures. However, the records should not be stored in the same place as stationery and general office supplies but in clearly designated areas from which they can be easily retrieved and where they can be safeguarded from fire, flood, theft or unauthorised access.

Make sure that documents are protected from immediate contact with metal, in cupboard walls, shelves, trays and the like. Make sure that the records are packed in boxes rather than plastic bags. Plastic bags prevent air circulation and can also give off gases harmful to paper.

Do not place documents at floor level or where leaking water pipes could cause damage. If the area is prone to floods, store well above the known highest flood level.

Check all electrical circuits have been tested during the last two years. Keep a carbon dioxide fire extinguisher nearby. Use a liquid fire extinguisher only as a last resort.

If you need advice about storing diocesan records or about the environmental conditions in which your records are currently stored please contact your local Diocesan Record Office (the "DRO").

As part of the business continuity planning it may be worth considering having a contract with a document salvage company for the recovery of records in the aftermath of a major incident such as a flood or fire.

Faxes on thermal image paper fade rapidly and the chemicals present in many fax papers cause discolouration in adjacent papers- these should be replaced if not on plain paper then with photocopies at the earliest opportunity.

Advice about appropriate conditions for the storage of records can be found on the University of Edinburgh Records Management Section website:
<http://www.recordsmanagement.ed.ac.uk/infostaff/rmstaff/recordstorage/recordstorageareas.htm>.

7.4 Protection and preservation of your documents

Obviously records face through the direct impact of fire and flood, but deterioration through indirect causes such as aging of their component materials or from inappropriate handling is more common place. This section sets out the steps you can take to protect your records and if necessary where you can seek advice and help.

If the documents are in a poor condition, or have been damaged by fire or flood, contact the DRO as soon as possible, where they will be able to offer advice and assistance. Protect damaged documents first with white blotting paper, and then place them within folders. Do not bring any abrasive material such as metal bulldog clips into immediate contact with a fragile document. Do not attempt to dry sodden documents. Store them in a plastic bag in a domestic freezer until advice is available from the DRO or document salvage company.

Do not attempt any type of repair. Conservation needs to be carried out under the direction of those with professional expertise. Materials such as mass-produced gum or glue, and the transparent self-adhesive strips intended for packages and parcels, and also said to be suitable for repairing printed books, must not be used on any documents, for they themselves in time cause damage.

If a document is damp and smells of mould, isolate it and place it in a natural current of cold dry air. Seek advice as soon as possible, as the mould may still be active. For general advice on conservation see the National Archives web site:
<http://www.nationalarchives.gov.uk/preservation>

7.5 Handling and use of records

It is recommended that research on the bishop's records takes place at the Diocesan Record Office where the appropriate facilities are available such as reading aids like foam wedges and weights. It is also important that no one eats, drinks or smokes whilst anywhere near your records and that any notebook, laptop or writing paper is not put on top of the records.

8 DATA PROTECTION

The purpose of the data protection legislation is to prevent wrong decisions about people being based on inaccurate data and unauthorised use of personal information. The Data Protection Act 1998 (the "1998 Act" give individuals the right to know what information is held about them and provides a frame work to ensure that personal information is handled properly.

All bishops collect personal information. The bishop are subject to the 1998 Act. As data controllers, they must notify the Information Commissioner's Office (ICO), of the personal data that they hold in electronic and paper formats. Failure to notify (unless specified exemptions apply), is a criminal offence. Notifications are required to be renewed annually and this can be done online and a fee of £35 is charged.

Bishops are subject to the eight data protection principles and must manage all personal data against these principles:

1. Personal data shall be processed fairly and lawfully. Schedule 2 and Schedule 3 of the 1998 Act set out the conditions for fulfilling the first data protection principle. Schedule 2 states that at least one of the conditions in Schedule 2 must be met (see below). Schedule 3 states in the cases of 'sensitive personal data' (defined in Schedule 2 of the 1998 Act as including personal data consisting of the following information:- ethnicity, religious/political beliefs, trade union membership, physical or mental health, sex life, criminal record), at least one of the conditions of Schedule 3 is also met (see below).
2. Personal data shall be obtained only for specified and limited purposes and shall not be used for any other purpose.
3. Personal data should be adequate, relevant and not be more than is necessary to complete the task for which it was collected. However, keeping records for historical and research purposes are a legitimate reason for keeping records.
4. Personal data shall be accurate and, where necessary, kept up-to-date.
5. Personal data should not be kept for longer than is necessary for completion of the task for which it was collected for.
6. Personal data shall be processed in accordance with the rights of data subjects under the Data Protection legislation.
7. Personal data should be kept securely and safely with appropriate technical and organisational measures being taken against unauthorised or illegal processing, accidental loss or destruction of personal data.
8. Personal data shall not be transferred to a country or territory outside the European Economic Area, unless that country ensures an adequate level of protection of the rights of data subjects.

Schedule 2 lists 6 conditions for processing personal data; only one is necessary for any processing operation (although sometimes several conditions may apply). The conditions are paraphrased as follows:-

- Consent has been received from data subject; or
- Processing is necessary for performance of a contract with the data subject; or

- Processing is necessary for legal compliance; or
- To protect the vital interests of data subjects; or
- For administration of justice: for the exercise of any functions conferred on any person by or under any enactment: for the exercise of any other functions of a public nature exercised in the public interest by any person; or
- For the legitimate interests of the data controller.

Further to this, as stated above, if the data is “sensitive personal data”, as well as complying with one of the conditions of Schedule 2, one of the conditions contained in Schedule 3 must also be met, which are paraphrased as follows:-

- With the explicit consent of the data subject;
- Under a legal right or obligation of the data controller in connection with employment;
- To protect the vital interests of the data subject or another person;
- In the course of legitimate activities carried out by any organisation which exists for political, philosophical, religious or trade union purposes, and which is not established for or conducted for profit;
- Where the information has been made public by the data subject;
- In legal proceedings
- To carry out certain public functions;
- For medical purposes;
- For equal opportunities monitoring.

The implication of these principles is that organisations should have procedures in place to cover the review of personal information held on files and databases. This means organisations must assess how long they need to keep information for, the purpose for which they are holding it and when it will be destroyed.

The 1998 Act also provides individuals with important rights, which include the right for individuals to find out what personal information is held on computer and in most paper records. A request received for information from an individual is a Subject Access Request (SAR) and should be:

- in writing;
- addressed to the bishop as the ‘data controller’;
- accompanied with a £10 fee with such information as may reasonably be required to satisfy the bishop as to the identity of the person making the request and to identify the information being sought.

It is strongly recommended that the bishop’s office creates a register of Data Protection risk areas. A model risk register based upon the one used at Lambeth Palace can be found in Appendix 1 to this guidance.

Should an individual or organisation feel that they’re being denied access to personal information to which they are entitled or feel their information has not been handled according to the eight principles, they can contact the ICO for help. Complaints are usually dealt with informally, but if this is not possible, enforcement action can be taken.

With effect from April 2010, the Information Commissioner will be able to issue fines to those who knowingly or recklessly breach the Data Protection Act – although it is not yet known what the size/limit of the fines will be.

Employers could be fined for breach of any of the eight data protection principles. These include the requirement that personal information is fairly and lawfully processed; processed for limited purposes; adequate, relevant and not excessive; accurate and up to date; not kept for longer than is necessary; and kept securely.

Further information can be found on the Information Commissioner’s Office web site:

<http://www.ico.gov.uk>

9 COPYRIGHT

In the bishop's office there are two distinct copyrights. The first copyright is the bishop's corporate copyright when acting as an office holder, for example when signing licences, which passes to his successors. The second copyright is the bishop's personal copyright, for example the copyright he enjoys as an author that remains with him for his life time. The records created by the Bishop's staff will usually fall under the bishop's corporate copyright.

Copyright protects the physical expression of ideas. In general, it protects, the maker of a work from appropriation of their labours by another. As soon as an idea is given physical form, e.g. a piece of writing, a photograph, music, a film, a web page, it is protected by copyright. There is no need for registration or to claim copyright in some way, protection is automatic at the point of creation. Both published and unpublished works are protected by copyright for a specified period, typically 70 years from the date of publication or the death of the author.

Copyright is normally owned by the creator(s) of the work, e.g. an author, composer, artist, photographer etc. If the work is created in the course of a person's employment, then the copyright holder is usually the employer.

Copyright is a property right and can be sold or transferred to others. Authors of articles in academic journals, for example, frequently transfer the copyright in those articles to the journal's publisher. It is important not to confuse ownership of a work with ownership of the copyright in it: a person may have acquired an original copyright work, e.g. a painting, letter or photograph, but unless the copyright in it has expressly also been transferred, it will remain with the creator.

Copyright is regulated by law, the principal statute in the UK being the Copyright Designs and Patents Act 1988 (CDPA). (amended on a number of occasions since coming into force on 1 August 1989). In addition the law relating to copyright has been affected by various statutory instruments. Including the Copyright and Related Rights Regulations 2003 which incorporated into UK law the changes required by the EU Copyright Directive.

Copyright law grants to copyright holders certain exclusive rights in relation to their works. They have the right to: copy a work, issue copies to the public, perform show or play it, make adaptations or translations. They also have the right to prevent:

- others communicating a work to the public by electronic transmission, e.g. broadcasting it or putting it on a website.
- others making available to the public a recording of a performance by electronic transmission, e.g. putting it on a website.

The law provides certain ways in which copyright works may be used without the need to first obtain permission from the copyright holder(s) – these include, fair dealing, library privilege, copying for examinations and copying for instruction. Copyright licenses permit copyright works to be copied and used in various ways. Otherwise, written permission must first be obtained from a copyright holder before their work is used or copied. Infringing the rights of copyright holders may be a criminal offence and/or cause them to sue for damages.

As a result of certain international treaties and conventions, works produced in many other countries have the same copyright protection in the UK as those created here. For further information, see Intellectual Property Office website: <http://www.ipo.gov.uk>

10 CONTRACTS AND AGREEMENTS WITH RECORD OFFICES

The records of the bishop relating to his administration of the diocese, deemed to have continuing historical interest will be deposited with the Diocesan Record Office (DRO) usually administered by the local authority. In some dioceses there may be more than one DRO. Historically arrangements between individual dioceses and their DRO have been

regulated by local agreements of varying degrees of formality ranging from informal understandings through to formal signed agreements. Such agreements, however informal or formal usually relate to the deposit of parish registers and records under Section 7 of the Parochial Registers and Records Measure 1978 (the “1978 Measure”). However the DRO will also hold the archives of the bishopric and in particular those Episcopal documents created and held by the diocesan registry.

Whatever the nature of an agreement with a DRO it should be reviewed periodically and the agreement should cover the following areas:-

- Definition of the parties, area and subject of the agreement including whether the agreement relates solely to parish records deposited under the 1978 Measure or diocesan records or both.
- Ownership of records deposited with and held by the DRO, including copyright status.
- Public access arrangements for records transferred as archives and the confirmation of any necessary closure periods for sensitive material. However the Freedom of Information Act covers all information held by a public body, so it includes all records deposited with a DRO so any request for information has to be considered within the framework of the Act. The implications for blanket closure periods remain to be tested by litigation and it may be that they are unenforceable in law.
- The scope and standards of professional archive services being provided by the DRO including delegating powers of appraisal to the staff of the DRO (e.g. can the DRO decide to destroy material; can it digitise and commercially exploit material; and how is access managed and decided upon).
- Procedures for the temporary and permanent withdrawal of archive material.
- Any financial arrangements that may be agreed.
- Provision of arbitration procedures in the event of dispute (The National Archives is willing to be named as an independent source of conciliation between the parties but cannot offer formal binding arbitration in any such dispute over the terms of an agreement).

A model template for such an agreement is available from application from the Church of England Record Centre.

11 Glossary of Administrative And Record Terms

Archive – (1) To permanently retain records that are of value for legal, constitutional or historical purposes.

(2) A place for keeping records permanently.

(3) Records selected for permanent preservation.

Appraisal – The selection of records for permanent preservation in accordance with an agreed set of criteria to assess their value in accordance with a series of primary values, such as their administrative, legal, or financial usefulness, or secondary values, such as their historical, informational, evidential, and research values.

Back ups – This is duplicating data so that there are additional copies which may be used to restore the original data if it is lost following a disaster or an accidental deletion or corruption of the data.

Benefice – is the church office held by the clergy and by reason of its historical origins or the result of statutory provisions can be termed a rectory or vicarage.

Business Classification Scheme – Is a conception representation of the all activities and functions of an organisation. It describes an organisation’s business functions and activities, and the relationships between them and provides the best foundation for record classification scheme and records retention schedules.

Data Protection – The law protecting the privacy of individuals by regulating access to confidential information held on them by both private and public organisations. The principal legislation is the Data Protection Act 1998.

Diocesan Record Office (DRO) – A Record Office which is an agreed place of deposit for diocesan records and usually parish records as well. This will usually be the local authority archive service.

Electronic Records – Any recorded information created, received and maintained in electronic format by an organisation or individual in the course of its activities.

Electronic Records Management – A digital environment for capturing electronic records and applying standard records management practices. Electronic Records Management supports the medium to long term information management needs of business.

File Plan – A classification scheme describing the different types of records kept in an office, how they are identified, where they should be stored, how they should be indexed for retrieval, and a reference to the retention period for each category of records.

Finding Aids – Indexes, schedules, subject thesauruses and referencing systems which structure and identify information to enable its easy retrieval.

Freedom of Information (“FOI”) – The law regulating public access to official information held by public bodies as defined in the schedule of the Freedom of Information Act 2000. This law generally does not apply to the Church of England, except marriage registers dated after 1837, which technically belong to the Registrar General of Births, Deaths and Marriages.

Functions – The activities of the record creator and for which the records were created to support. It is important to establish the functions which records are created to support particularly as in most institutions organisational change is common and can lead to records and records creators being split.

Parish – Is the geographical area entrusted by a bishop to a minister who has the responsibility for the care/cure of the souls within it.

Parochial Registers and Records Measure 1978 (“the “1978 Measure” – Is the principal legislation which regulates the care of parish registers and parochial archives. The 1978 Measure was amended by the Church of England (Miscellaneous Provisions) Measure, 1992. A copy Guide to the Parochial Registers and Records Measure 1978 (as amended at 1st January 1993) with practical suggestions for custodians and users is obtainable from Church of England Record Centre. There is no specific church legislation relating to bishop’s records.

Records – Recorded information (e.g. documents) regardless of form or medium created, received and maintained by an agency, institution, organisation or individual in pursuance of its legal obligations or the transaction of business.

Records Management – The procedures and practices employed to structure control and regulate records whatever their medium, electronic, paper or microform. The management of records ensures efficiency and economy in their use, storage and disposal and the selection of those of value for permanent preservation.

Register – Formal record of a transaction or right for example the Register of Patrons created by the Patronage (Benefices) Measure 1986.

Retention Schedules/Instructions – A retention schedule is an analytical list of record series, arranged either under the functions carried out by the creating organisation or under structural headings of a departmental organisation. The main purpose of the schedule is to record and implement the appraisal decisions which have been made, so that these

decisions can be routinely put into effect. A secondary purpose may be to set out a list of the records series in a way which will illustrate the organisation's activity.

Series – A basic unit of the administrative control of records and an organised group of records that are created to serve a common function derived from a particular administrative process. Series can be any size. Some are very large such as a series of PCC minutes or just a few files relating to Visitations.

Terrier/Inventory – The detailed list of land, goods and ornament belonging to the parish church.

Visitation – The periodic visit to inspect the temporal and spiritual affairs of the parish carried out by the bishop or the archdeacon. Records created by a visitation for example include the Articles of Enquiry.

12 Contact details

Organisation
Borthwick Institute for Archives University of York Heslington, York, YO10 5DD UK Tel: 01904 321166 email: bihr500@york.ac.uk website: http://www.york.ac.uk/inst/bihr/
Church of England Record Centre ("CERC") 15 Galleywall Road South Bermondsey London SE16 3PB Tel: 020 78981030 Fax: 020 28981043 email: archivist@c-of-e.org.uk website: http://www.cofe.org.uk/about/librariesandarchives/ <input type="checkbox"/> Church of England, link to individual diocesan websites http://www.cofe.org.uk/links/dios.html <input type="checkbox"/> Your Diocesan Record Office is: <i>Please add the relevant contact details for your diocese.</i>
Diocesan Secretaries Liaison Group Mrs Lucinda Herklots, Secretary , Church House, Crane Street, Salisbury SP1 2QB Tel: 01722 411922
Information Commissioner's Office Information Commissioner's Head Office Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF Tel: 01625 545 74 Fax: 01625 524 510 DX 20819 email: mail@ico.gsi.gov.uk

Website: <http://www.ico.gov.uk>

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Web: <http://www.nationalarchives.gov.uk>

13 Appendix 1: Model Table of Data Protection Risk Areas based upon the one used at Lambeth Palace

Data Processing Area	Specific Functions	Sensitive Data Processed?	Particular Risks and Comments
Correspondence and contacts lists	Contacts Databases (Christmas Cards and International)	Yes – religious beliefs	<ul style="list-style-type: none"> • Subject access requests would cover for electronic records from database • Sensitive data processed on International Contacts Database (religious beliefs) – processing probably covered by “religious body” provision • Must update details on request and delete old contacts
	Post Logging and Correspondence	Possibly	<ul style="list-style-type: none"> • Subject access requests would certainly cover Post Log records, not necessarily copies of correspondence • Sensitive data may appear in letters or subject fields, but not processed as a matter of course
Ecclesiastical law and discipline	Archbishop’s List and Warnings	Yes – mental health, sex life	<ul style="list-style-type: none"> • Subject access requests more likely to apply to whole file (as more biographical in intent) but subject to exemptions under Schedule.7 para 10 of or s.31 (2) (iii) of the Data Protection Act 1998 • Sensitive data processed – processing probably covered by the “religious body” provision (it is impossible to get

			<p>explicit consent</p> <ul style="list-style-type: none"> • Must update details or correct inaccurate details on request • Should consider the need to keep for no longer than necessary (but destroying too early could be irresponsible and affect the rights of others) • Need to consider if paper files are secure
	<p>Other ecclesiastical legal functions (eg Canon C4 faculties and renunciation of religious vows)</p>	<p>Yes – mental health, sex life</p>	<ul style="list-style-type: none"> • Subject access requests would apply to files (with exemptions?) • Sensitive data processed – processing probably covered by “religious body” provision (it is impossible to get explicit consent) • Should consider the need to keep for no longer than necessary (but destroying too early could be irresponsible and affect the rights of others)

Education and awards	Archbishop's Examination in Theology Administration	Yes – religious beliefs	<ul style="list-style-type: none"> • Subject access requests would apply to database records and documents about students (probably including interview notes, examination notes etc), also to staff • Sensitive data is processed because of need to get statistics on religious denomination of students – this may possibly be covered by the “religious body” provision but it would be far better to get explicit consent from applicants (and staff on the course) • In future we will need to consider how long to keep student and staff records on the database and in paper files
	Lambeth Degrees	Probably not	<ul style="list-style-type: none"> • Subject access requests would apply to files about recipients and nominees • All files are currently kept indefinitely as part of the Archbishop's papers (possibly might need to review this)
HR and Staff Matters	Staff Administration	Yes – ethnicity, health	<ul style="list-style-type: none"> • Subject access requests apply to staff files held locally (but not to odd documents mentioning the person) – the NCIs make no charge for this • Sensitive data is processed and consent should be asked for (not clear that “religious body” provision applies) • Should follow NCIs rules on how to keep staff files etc

	Criminal Record Bureaux (“CRB”) Checks	Yes – criminal record	<ul style="list-style-type: none"> • Subject access requests would apply to the copies of criminal records held on file • Sensitive data is processed but consent is asked for as part of the process • Should consider how long to retain (eg destroy when staff leave?) • Need to hold paperwork securely (ideally locked away)
	Clergy Files (blue files)	Yes – ethnicity, health, sex life	<ul style="list-style-type: none"> • Subject access requests apply to the files – not clear if we would make a charge for this • Sensitive data is processed but it is very unclear whether consent has been asked (especially for old files) and not clear if the “religious body” provision applies • Not clear how long to keep the files etc – there may be an archival argument for keeping files longer (especially bishops’ files)

14 Appendix 2: Model File Plan for a Bishop's Office

This file plan lists the various functions and activities of the bishop is responsible and accountable for doing, in the broadest sense, to fulfill the bishop's established role within the Church and in his personal ministry. The Function and Activity Model defines 3 areas of responsibility for Episcopal ministry. The activities are grouped together within the Model. However, it is not intended to be either prescriptive or exhaustive.

The function and activity model is the basis for a functional approach to managing the bishop's records, including the development of a corporate electronic and paper filing system, record retention policies, identification of vital records for business continuity purposes and the selection of records for permanent preservation for the Diocesan Record Office or other appropriate archive service.

Function 1: Bishop's Diocesan Responsibilities

Sub Function	Series	Recommended Retention Period
1.1 Management of Clergy and Lay Staff	Clergy Files	Retain until death.
	Clergy Discipline including legal opinions	Retain until death.
	Lay Staff Personnel Files not in contact with children	6 years after employment ceases
	Lay Staff in contact with children	Minimum of 75 years after employment ceases
	Records of specific recruitments – generic information (advertisement, interview questions etc) Job applications and interview records	3 years after the date of appointment
	Records of specific recruitments – relating to unsuccessful candidates (application forms, interviews notes etc)	6 months after the date of appointment
	CRB Certificates	Within 6 months of recruitment decision being made

	Contracts of employment and changes to terms and conditions	6 years after employment ceases
	Annual Leave Records	2 years after leave is taken
	Expenses Claims	7 years after the claim
	PAYE and National Insurance Claims	6 years
1.2 Health and Safety	Health and Safety Policy Statement	Retain until superseded
	Bishop's Office Risk Assessment forms	3 years
	Risk Assessment forms relating to individuals (not asbestos, chemicals, or auditory)	Period of employment + 7 years
	Risk Assessment forms relating to individuals (asbestos, chemicals, or auditory)	Period of employment + 40 years
	Minutes and Reports of Health and Safety Meetings	50 years
1.3 Financial Management	Church Commissioners Excel bishop's expenses spreadsheet	7 years
	Budgets and periodic financial reports	7 years
	Cheques, invoices, bills of exchange and other negotiable instruments	7 years
	Bank statements and reconciliations	7 years
1.4 Premises and Garden Management	Feasibility Studies (concerning use of site)	Retain permanently

	Conservation Statements	Retain permanently
	Maintenance tests and statutory certificates (not asbestos) [Architect's files]	12 years after expiry or superseded
	Asbestos inspections and records of clearance works [Architect's files]	40 years
	Other routine maintenance and architectural records (not asbestos)	5 years
	Historical/heritage architectural drawings, artefacts (e.g., furniture and paintings – See House heirlooms) books, photographs plans and valuations	Retain permanently
	Garden plan, planning plans and associated documentation	30 years
1.5 Diocesan Administration	Benefice/Parish Files	Retain permanently subject to sampling
	Local organisations on which the bishop serves as a trustee or governors	Retain for the bishop's term of office
	Senior Staff Meeting Files	Retain permanently
	Theological College Inspection Reports	5 years
	Vacancy Files	6 months after appointment
1.6 Marriage Licences	Special marriage licences including requests for marriage of divorcees	30 years and then review the DRO

15 Function 2: Bishop's National Responsibilities

Sub Function	Series	Recommended Retention Period
2.1 National Church Institutions	Circular and papers sent for information to the bishop by National Church Institutions including the Archbishops' Council, Church Commissioners', General Synod and Pensions Board responded to by the bishop or his staff r relating to the diocese	5 years
	Circular and papers sent for information to the bishop by National Church Institutions including the Archbishops' Council, Church Commissioners', General Synod and Pensions Board not responded to and not directly concerning the bishop	3 years
	Copies of numbered papers – General Synod, House of Bishops, Bishops' Meetings, Archbishops' Council (including minutes)	5 years
2.2 House of Lords	Minutes of Proceedings	5 years
2.3 Theological Colleges	Agendas, minutes and reports and theological inspection reports	5 years

Function 3: Bishop's Personal Ministry

Sub Function	Series	Recommended Retention Period
3.1 Liaison	Bishop's electronic diary	5 years
	Bishop's desk diary	5 years
	Core Official correspondence	Retain for the term of the bishop's office
	Personal membership of church organisations agendas, minutes and reports	Retain for the term of the bishop's office
3.2 Teaching	Personal membership of external organisations agendas, minutes and reports	Retain for the term of the bishop's office
	Personal Library	Retain for the term of the bishop's office
	Historical Libraries attached to See Houses	Retained permanently
	Sermons, broadcasts and lectures	Retain for the term of the bishop's office
	Bishop's personal research and publications	Retain for the term of the bishop's office

16 Publication History

First published 2009,

Records Management Guides from the Church of England

The Libraries and Archives of the National Church Institutions have produced a number of Records Management guides. All are freely available to download from the Church of England Website: www.cofe.anglican.org/about/librariesandarchives

Others in the series are:

Keep or Bin: The Care of Your Parish Records

Confidential Files on Clergy – Guidance Notes for Bishops and Bishops' Secretaries

Save or Delete: The Care of Diocesan Records