

Chapter and Verse

The Care of Cathedral Records

Church of England Record Centre Records Management Guide No. 4

1	INTRODUCTION.....	2
2	STRATEGIC IMPORTANCE OF MANAGING YOUR RECORDS.....	2
3	DECIDING WHAT THE CATHEDRAL NEEDS TO KEEP.....	3
3.1	General Approach	3
3.2	Cathedral Legislation.....	4
3.3	Retention Advice.....	5
3.3.1	Records of governance.....	5
3.3.2	Financial Records	6
3.3.3	Administrative and Personnel Records.....	7
3.3.4	Records Relating to Ministry, Baptisms, Marriages and Burials	8
3.3.5	Records Relating to Music.....	9
3.3.6	Buildings and Property Records (see also 3.3.7 Legal Records).....	9
3.3.7	Legal Records	11
3.3.8	Records Relating to Library and Archives	11
3.3.9	Records Relating to Education and Outreach.....	12
3.3.10	Records Relating to Fundraising and Development.....	13
3.3.11	Records Relating to Ancillary Enterprises and Friends' Organisations	13
4	CATHEDRAL RETENTION GUIDELINES	13
5	WHAT TO DO WHEN SENIOR STAFF LEAVE.....	25
6	LOOKING AFTER YOUR ELECTRONIC RECORDS.....	26
6.1	General Advice	26
6.2	Document Management Advice	27
7	LOOKING AFTER YOUR PAPER RECORDS	29
7.1	Creating and storing your records	29
7.2	Protection and repair of your documents	31
7.3	Allowing use of records.....	32
8	DATA PROTECTION and FREEDOM OF INFORMATION.....	32
8.1	The Data Protection Act.....	32
8.2	The Freedom of Information Act	33
9	COPYRIGHT.....	33
10	CONTRACTS AND AGREEMENTS WITH RECORD OFFICES.....	34
11	GLOSSARY OF ADMINISTRATIVE AND RECORD TERMS	35
12	CONTACT DETAILS.....	37
13	FURTHER READING.....	39

1 INTRODUCTION

This guide to record keeping for cathedrals has been produced jointly by the Cathedral Libraries and Archives Association and the Church of England Record Centre (CERC). It follows guides on parish, diocesan and episcopal record keeping. Its intention is to provide practical advice to those working in cathedrals to assist them in managing the ever increasing volume of administrative records generated both in paper and in electronic form and to ensure that the vital work that cathedrals do is both supported now and recorded for posterity. The authors are grateful to the staff of a number of cathedrals who gave both their time and expertise in answering our many questions while researching this guide. We welcome feedback on the guide (contact details in section 12) and will review and update it periodically.

Where a cathedral holds parish, episcopal or diocesan records in addition to those created by the Dean and Canons and cathedral establishment, these should be identified and distinguished from the records of Chapter. Examples might be papers generated by the Bishop as a consequence of the cathedral being his seat or parish registers maintained by a cathedral which also serves as a parish church. Even if retained physically in shared offices or vestries or electronically on shared computer servers, they should be managed distinctly, following the records management guidelines produced by CERC for parish, diocesan and episcopal record keeping. They are not included in this guide. Where the division of the records into these categories is unclear, advice may be sought from the CERC (contact details in section 12).

2 STRATEGIC IMPORTANCE OF MANAGING YOUR RECORDS

There are a number of reasons why cathedrals need to manage their records properly. Many cathedral activities are subject to external regulation, for example in areas such as child protection and financial accounting.

The primary purpose of managing records is to meet the operational needs of the organisation to enable it to carry out its functions effectively. It is strongly recommended that one member of staff is responsible for co-ordinating the management of the records created by the cathedral administration and can provide a central point of reference for any queries. Consequently good record keeping and ensuring the back up of vital information should form an important part of the cathedral's business continuity plan. Records management is a professional task and, in the event that this responsibility falls to a member of staff without the requisite professional training, advice should be sought on a regular basis either from the diocesan record office or from a suitably qualified records manager or archivist.

The Church also 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 those of none. Good record keeping is part of the Church's wider accountability to society in relation to a wide area of responsibilities. Examples of this include demonstrating compliance with child protection regulations and commitment to preserving the fabric of its historic buildings. The records that are kept should ideally reflect the true complexity and diversity of the Church's activities.

If you have too many records the important information can get buried and you may not be able to find information when you need it. On the other hand, if records are destroyed before they need to be, a cathedral may not have the information which is required to deal with issues that arise.

The records created by the cathedral administration are subject to a range of external regulation from bodies including The Charity Commission for England and Wales (and its equivalent bodies elsewhere), and the Office of the Information Commissioner and by many pieces of individual legislation. However in several areas of cathedral administration, for example the records created by outreach activities, there is no formal legislation governing the retention of records and in these cases this guide offers recommended periods of retention.

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

3 DECIDING WHAT THE CATHEDRAL NEEDS TO KEEP

3.1 General Approach

The retention advice made in this section is given in Section 4 in the form of a schedule and follows the same order of record groups.

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 document is to give administrators 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 equally whether the records are traditional paper, photographic or audio-visual records or have an electronic format.

Records divide into several categories for retention.

The cathedral must keep: Those records which the cathedral is legally required to maintain either permanently or for a minimum period. Records of historical value for research or business continuity should be transferred to the archives after they are no longer required for current administrative purposes.

The cathedral should keep: Those records which the cathedral is not legally required to maintain permanently or for a minimum period but should keep according to good practice. Records of historical value for research or business continuity should be transferred to the archives after they are no longer required for current administrative purposes

The cathedral may keep: Those records which the cathedral 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 cathedral should consult the archives before disposing of these records.

The cathedral should destroy: The records, which, at the end of their administrative life have no longer term statutory or historical value.

Retention Schedules

It is strongly recommended that the cathedral 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.

Appraisal of Records

For some records there may be potential for selecting records on either a random or selective basis where the significant material may be identified without having to retain the whole series (for example an administrative file about a special commemorative service or event). Appraisal should be undertaken from two perspectives. Firstly an appraisal undertaken by the cathedral staff assesses the business value of the records and secondly an appraisal undertaken by the cathedral archivist or local record office assesses the historical value of the records. It is important that these two appraisals are undertaken together as joint exercise by the administrators and archives staff prior to a transfer being made to the archives.

Records of historical value should be transferred to the archives as soon as possible after the records cease to be required for current administrative needs.

3.2 Cathedral Legislation

The last decade of the 20th century and first decade of the 21st century saw important legislation relating to the Church of England, in particular two major pieces of legislation relating to cathedrals. These were the Care of Cathedrals Measure 1990 and the Cathedrals Measure of 1999. Neither of these included the royal peculiars, which are not cathedrals and which have independent status, in that they are not subject to diocesan structures but only to Her Majesty The Queen. A third major piece of legislation, the Clergy Discipline Measure 2003, which came fully into force on 1st January 2006, provides a structure for dealing efficiently and fairly with formal complaints of misconduct against members of the clergy, other than in relation to matters involving doctrine, ritual or ceremonial. All admitted to holy orders in the Church of England are covered by the measure, whether or not in active ministry.

The first Care of Cathedrals Measure, passed in 1990, established the Cathedral Fabric Commission for England (CFCE), required the appointment of a local Fabric Advisory Committee (FAC) for each cathedral and set up a system of controls over cathedral buildings, contents and precincts. The Care of Cathedral Rules of 2006 were devised to explain the processes required by the measure and a further version of the Care of Cathedrals Measure was passed in 2011 to update and expand the operation of its predecessor. Amongst other provisions, it sets out which works in a cathedral require formal approval from the CFCE or FAC, defines the cathedral precinct and requires each cathedral to draw up and maintain an inventory of cathedral property, in particular identifying objects of outstanding interest. Although Westminster Abbey and St George's Chapel, Windsor Castle, were not affected by the measure, both have appointed their own Fabric Advisory Committees which perform a similar role as a matter of good practice. Scheduled monument and

listed building consent are still required for works to scheduled monuments or listed buildings within the precincts of the cathedral or royal peculiar.

The Cathedrals Measure of 1999 introduced a single broad system of governance for all cathedrals, ending the distinction between 'dean and chapter' cathedrals and 'parish church' cathedrals and ensuring that in future the senior clergy member of chapter in all cathedrals (with the exception of Christ Church, Oxford) should be known as the 'dean', with chairman's powers to govern and direct the work of the cathedral and a casting vote in chapter. However, although the measure introduced a common framework for the governance of all cathedrals, it allowed a certain scope for diversity and the maintenance of local tradition, for example in the differing titles of canonical offices.

In 2001, a review group established by the Queen to investigate royal peculiars issued a report of its findings, with recommendations for the future governance and administration of Westminster Abbey and St George's Chapel, Windsor Castle. These recommendations have not been converted into law but have been taken into account by both chapters.

3.3 Retention Advice

3.3.1 Records of governance

The core records held by cathedrals and royal peculiars are those relating to their foundation, regulation and management. Foundation and regulatory documents such as statutes and letters patent are almost invariably held in hard-copy on paper or parchment and should be kept in secure storage in suitable environmental conditions.

The minutes and related papers of key bodies governing the cathedral such as Chapter, the College of Canons and the Cathedral Council, and of regulatory bodies, such as the Fabric Advisory Committee, are generally held in paper form. It is recommended that a signed set of minutes and presented papers for each body is filed in meeting order and bound into volumes when sufficient pages have accumulated. Once bound they should transferred to the archives or maintained in secure office storage. Where minutes are held electronically, sufficient safe-guards should be in place to ensure their authentication, long-term preservation and accessibility. Small institutions usually find it more convenient and secure to print-out a hard-copy set, authenticated by signature. The duplicate copies of minutes and papers held by individual members of the committee can then safely be destroyed. The minutes of the principal Chapter committees, such as the Finance Committee and Library Committee with supporting papers, should be retained permanently. Those covering matters of more short-term interest such as catering and car parking may be destroyed after review.

Reports and formal documents created by the cathedral or royal peculiar's official visitor should be kept, whilst correspondence and papers relating to the arrangements for visitations should be reviewed.

The cathedral **must keep**:

- Foundation documents such as statutes and letters patent
- Signed minutes of Chapter, the College of Canons and the Cathedral Councils, and of regulatory bodies, such as the Fabric Advisory Committee

- Signed minutes of the principal Chapter committees, such as the Finance Committee, Development Committee and Library Committee
- Visitation reports

The cathedral **may keep:**

- Signed minutes of short-term Chapter committees, such as a Jubilee Committee
- Correspondence and papers relating to the business of Chapter, FAC etc. which are not presented at meetings
- Correspondence and papers relating to visitations

The cathedral **should destroy:**

- Duplicate sets of minutes and papers (unless significantly annotated by attendees as part of their own record keeping)
- Routine administrative files, such as arrangement of meetings
- Minutes of the minor Chapter committees and lesser bodies, such as working parties

3.3.2 Financial Records

Most organisations generate a considerable quantity of financial records, many of which are subject by law to be retained for a minimum period, such as 7 years. After this period, a number of series may be destroyed, as indicated in the retention schedule below, retaining the main set of audited accounts and a few subsidiary series as a permanent record of the financial status and major transactions of the institution. Payroll records should be regarded as financial records rather than personnel records.

The cathedral **must keep:**

- Annual audited accounts – statements and balance sheets
- End of year summary accounts
- Insurance registers

The cathedral **may keep:**

- Subsidiary accounting records such as journals and cash books
- Payroll summaries (monthly or yearly)
- Insurance policy documentation
- Records of charitable income including fundraising accounts
- Records of donations made to charity

The cathedral **should destroy after statutory retention period has expired:**

- Bank statements, cheque books etc.
- Invoices, delivery notes, vouchers, orders, receipts, receipt books, sales records etc.
- Salary and wages records (other than payroll summaries), NI and tax records, expired pension records
- Expired insurance policies, investment accounts and certificates

- Expired gift aid declarations
- Budgets and periodic financial reports

3.3.3 Administrative and Personnel Records

The administrative records held by the Chapter Offices of cathedrals or royal peculiars tend to cover a wide range of matters, since the Receiver General, Chapter Clerk (or equivalent senior post) generally has some degree of involvement in most of the organisation's business. In a centralised filing system, whether paper or electronic, administrative records from the different departments outside the Chapter Office may come under the overall control of the Chapter Clerk. The Chapter Clerk may also be involved in the compilation and retention of the records of governance (see section 3.3.1) and the recruitment and management of staff. In larger institutions personnel matters may be delegated to a separate Human Resources Department. Under the Data Protection Act personnel records (including disciplinary records) are subject to legal restrictions affecting access and retention (see retention schedule below). However, there are exemptions in the Act which allow for the long-term keeping of some personnel records for research purposes (subject to certain access restrictions). Generally, personnel records relating to members of Chapter and senior members of staff, such as the Director of Music, are more likely to be of long-term interest for research purposes than those of more junior staff.

Personnel files relating to employees with responsibilities bringing them into contact with children should be retained for a legally specified time after their employment ceases. However, any copies of actual disclosure and Barring Service (DBS) certificates should be kept for no longer than six months. Further guidance can be found on the NSPCC website: - <http://www.nspcc.org.uk> or from the DBS, who have issued guidance on the record-keeping aspects of criminal record checks .

Personnel files 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. Disciplinary files should be kept in a safe or encrypted if held electronically. Advice concerning the maintenance and retention of confidential clergy records may be found in the CERC guide "Personal Files Relating to Clergy – Guidance for Bishops and their staff" published in April 2013 which can be downloaded from the Church of England website (www.churchofengland.org).

The retention of general administrative files is less subject to legislation. However, whether held in paper form or electronically, they will require archival review once they have ceased to have administrative use, since their historical significance may vary greatly from file to file. For example a file relating to arrangements for a royal visit is more likely to be of long-term interest than a file relating to car parking permits. Many cathedrals and royal peculiars maintain links with parishes and benefices within their dioceses or further afield, where the Dean and Canons retains the advowson or other connection. Files reflecting these relationships are likely to be of long-term interest.

The cathedral **should keep:**

- Correspondence and papers relating to major developments and events involving the cathedral or peculiar
- Policy files
- Benefice/parish files

The cathedral **may keep:**

- Correspondence and papers relating to developments and events involving the cathedral or peculiar, including outreach
- Correspondence and papers relating to liaison with the media and other outside bodies
- Personnel files (clergy and lay staff) and disciplinary files of long-term interest selected for research
- The cathedral should destroy after statutory retention period has expired:
- Accident reporting and risk assessment records
- Personnel files not selected for research (note: clergy files and lay staff files of personnel in contact with children have long statutory retention periods – see retention schedule)
- Disciplinary files not selected for research (these may have long statutory retention periods – see retention schedule)
- Recruitment, leave, risk assessment and expenses records and employment contracts of individual staff
- Routine administrative files

3.3.4 Records Relating to Ministry, Baptisms, Marriages and Burials

Records of services, baptisms, marriages and burials taking place in the cathedral or peculiar and their precincts provide evidence of one of the institution's central roles: ministry. Whilst registers of marriages must be kept by law, registers of baptisms, confirmations, marriage blessings, funerals, interments and burials should be kept for informational and historical purposes. It is suggested that other records of services in the cathedral or peculiar, such as orders of service, and records relating to other events and outside missions be sampled. Retaining an archival set of some or all of the notice sheets, community magazines and booklets issued by the cathedral or peculiar to the community and congregation may prove a useful tool for future research into the daily life of the institution and the comings and goings of personnel. Copies of sermons, especially those preached on special occasions, may also be of historical interest.

The cathedral **should keep:**

- Registers of baptisms, confirmations, marriages, interments and burials
- Registers of services e.g. Audio-visual recordings of significant services, such as installations of deans, enthronements of bishops, major memorial services etc.
- Plans recording burials in the cathedral and where applicable, the churchyard

The cathedral **may keep:**

- Registers of banns, marriage blessings and funerals

- Orders of service
- Copies of sermons
- Notice sheets, community magazines and booklets
- Files relating to the organisation of special services
- Files relating to the organisation of outside missions

The cathedral **should destroy**:

- Baptism and marriage certificate counterfoils, copies of burial and cremation certificates, applications of banns, baptisms, marriages and funerals
- Special or other marriage licences (after recommended retention period – see below)
- Expired intercession lists

3.3.5 Records Relating to Music

Records relating to the choir and to the music performed at services provide evidence of one of the institution's central roles. It is important for future research that music lists are preserved and the names of lay clerks, vicars choral, choristers, organists and directors of music are held on record. Details of music concerts held in the cathedral or peculiar and of choir engagements outside the institution may be of interest but do not represent an essential record of the cathedral's work. It is suggested that they be sampled. Personnel records relating to adult members of the choir, organists, choral and organ scholars and directors of music should be treated in the same way as other personnel records (see above). Records of the education of choristers are likely to be held by the relevant choir school, whilst voice trial books etc. may be held by the Chapter Office or Music Department. Records relating to the organ and its maintenance are classified here as property records.

The cathedral **should keep**:

- Music lists
- Choir calendars or fixture lists
- Audio-visual recordings of the choir

The cathedral **may keep**:

- Voice trial records
- Concert programmes
- Files relating to external choir engagements, tours etc.
- Choir photographs, noting dates and names of those in any pictures

3.3.6 Buildings and Property Records (see also 3.3.7 Legal Records)

Chapters are responsible for the maintenance of the buildings in their ownership, including the cathedral (or equivalent), residences, administrative offices and other buildings within their precincts. The maintenance of and alteration to the ecclesiastical buildings is overseen by Fabric Advisory Committees and, in the case of cathedrals, the CEFC. Other buildings, such as Canons' houses, administrative offices and libraries, may be subject to historic building and environmental regulations and planning laws. Chapter properties outside the precincts will also be subject to

national legislation. Records relating to properties no longer owned by Chapter (particularly those transferred to the Ecclesiastical Commissioners in the nineteenth century) may continue to be of historic interest, including rentals, terriers, surveys, plans and building files. They should be offered to the archives for appraisal. Within the buildings, Chapters are responsible to Fabric Advisory Committees and, in the case of cathedrals, the CEFC, for fixtures and fittings of historical interest, which must be itemised in inventories. Records should be kept of the loan of items to other institutions for exhibitions or taken off site for other reasons, annotated where relevant with the date of their return.

Building and project files, plans and photographs, including those for archaeological and restoration projects, should be appraised on the completion of the project or after transfer from the architectural and/or archaeological consultants responsible for managing the projects. Those relating to minor projects and repairs may be destroyed after any statutory retention periods have expired. Inspection reports and other records relating to asbestos or other hazardous substances have longer statutory retention periods than routine building files (see retention schedule).

Where the post of Surveyor of the Fabric or Cathedral Architect is contracted out to an individual or firm of conservation architects or surveyors, an agreement regarding maintenance and transfer of project records should be drawn up at the beginning of the contract. The wording might be “The Surveyor/Architect is obliged to keep all papers and records in connection with the work undertaken on behalf of the Dean and Canons, and to deliver them up to Dean and Canons as and when required, and also on termination of appointment/contract”. Title deeds and conveyancing files are covered below under ‘Legal records’.

The cathedral **must keep:**

- Major project files including contracts specifications, reports and correspondence selected after appraisal. This should include any projects which result in alterations to the fabric of the Cathedral.
- Architect's quinquennial reports
- Archaeological, conservation and historic building consent reports
- Inventories and terriers

The cathedral **should keep:**

- Plans relating to major projects and alterations to buildings and services selected after appraisal
- Building files relating to significant alterations or repairs including specifications, reports and correspondence selected after appraisal
- Photographs of buildings and building project photographs selected after appraisal
- Rentals and surveys
- Organ specifications and contracts
- Organ maintenance files

The cathedral **should destroy**:

- Building files relating to minor projects, alterations or repairs including specifications, tenders and correspondence
- Plans relating to minor projects, alterations or repairs to buildings and services and plans for major projects rejected after appraisal

3.3.7 Legal Records

Pre-registration title deeds, including conveyances and long-term leases, do not need to be retained for legal purposes after registration. However they remain of historical interest, particularly those which contain plans, and should be kept permanently in the archives. However conveyancing files may be destroyed 12 years after the completion of the transaction unless they are of historical interest. Legal opinions, rulings and papers resulting from court cases affecting the Dean and Canons and their property should generally be retained permanently unless the matter is of minor significance or relates to individual personnel (see personnel records). Charity foundation documents should also be kept.

The cathedral **should keep**:

- Title deeds, including conveyances and long-term leases
- Legal opinions, rulings and court papers relating to significant legal matters
- Charity foundation documents, orders and schemes

The cathedral **should destroy**:

- Conveyancing files
- Legal papers of minor significance

3.3.8 Records Relating to Library and Archives

The rare books and archives belonging to the Dean and Canons as part of the Chapter Library and Archives are covered by the terms of the Care of Cathedrals Measure and should be listed collectively in the inventory with reference made to library and archive catalogues which itemise the collections. Minutes and papers of the Library and/or Archives Committee are covered above (in Governance). Records relating to the accession, loan and conservation of individual items should be maintained.

The cathedral **must keep**:

- Catalogues of archives and rare books
- Accession registers recording terms of accession (transfer, gift, loan etc) and source of acquisition
- Conservation registers and records

The cathedral **may keep**:

- Exhibition files
- The cathedral should destroy:

- Routine files of enquiries

3.3.9 Records Relating to Education and Outreach

Choristers

Records relating to the education of choristers in the cathedral's choir school or other educational establishment are the responsibility of the school. They are not covered in this guide. However, if members of Chapter are represented on the school's board of governors and committees, copies of the minutes of these bodies may be held in the Chapter Office or the offices of individual members of Chapter. Where the official records of the governing body, such as signed minutes, are held by the Chapter Office, these must be kept and the reference copies may be destroyed. When the official records are held elsewhere it might be helpful to keep one set of reference copies.

Educational activities

Many cathedrals have education departments or designated officers responsible for educational outreach. Publicity materials and learning resources produced for adults and children, whether online or in hard-copy, may be sampled as evidence of some of these activities. Records relating to educational policies and liaison with educational authorities and the higher education sector might also be of interest, if sampled. However, files relating to educational enquiries and individual visits are generally of no long-term value.

Events

Cathedrals are increasingly hosts to many events either promoted and sponsored by the cathedral or sometimes simply providing a venue. Records of such events are important evidence of the role of the cathedral in the community and should be retained. For the financial records of such events the advice in section 3.3.2 should be followed.

The cathedral **must keep**:

- Official minutes and papers of the Board of Governors of the Choir School (where held by cathedral)

The cathedral **should keep**:

- Records of events held at the cathedral

The cathedral **may keep**:

- Copy set of minutes and papers of the Board of Governors of the Choir School (where official records held elsewhere)
- Samples of publicity materials and learning resources produced for adults and children
- Samples of publicity materials and programmes for events

The cathedral **should destroy**:

- Records relating to educational enquiries and individual visits

3.3.10 Records Relating to Fundraising and Development

Many cathedrals have fundraising or development departments or designated officers responsible for fundraising. Records of benefactors and potential benefactors may contain sensitive personal data and should be compiled, stored and maintained under the terms of the Data Protection Act. Minutes of fundraising or development committees are included in the records of governance (3.3.1) and fundraising accounts are included under financial records (3.3.2). Samples of publicity materials produced may be of interest, particularly with regard to special appeals. Similarly administrative files relating to the initiation and management of major appeals and campaigns may be of long-term interest. However, the majority of fund-raising files are likely to have little long-term historical value.

The cathedral **must keep securely and then destroy**:

- Sensitive personal data about benefactors and potential benefactors

The cathedral **must keep**:

- Administrative files relating to major appeals and campaigns

The cathedral **may keep**:

- Samples of publicity materials produced for special appeals etc

3.3.11 Records Relating to Ancillary Enterprises and Friends' Organisations

Where separate organisations are employed to run ancillary enterprises connected with the cathedral, such as shops, marketing, catering and conference centres, they remain responsible for their own records and should be encouraged to maintain them in accordance with legislation and good practice. Friends' organisations should also keep their own records in accordance with Data Protection and other legislation. However, in the case of Friends' organisations, their committee minutes and newsletters may be of long-term interest to the cathedral and, if possible, should be offered to the cathedral's archives once no longer of administrative use.

4 CATHEDRAL RETENTION GUIDELINES

This section sets out the retention advice given in Section 3 in the form of a table and follows the same order of record groups.

The following retention guidelines give suggested minimum periods for keeping various type of diocesan record. If you are in any doubt please seek advice from your Diocesan Record Office, which is usually your local Archives and Local History Service. Details of the DRO can be found in the diocesan entry in the Church of England Year Book.

Key:

Retain in Department:

Records required for current use or retained for audit or reference purposes kept in office accommodation or semi-current storage within the generating department. If office space allows,

records may be held longer in office accommodation before transfer to the Archives than recommended in the schedule below (unless they are affected by legislation to the contrary).

Transfer to the Archives:

Important material which needs to be kept permanently.

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.

Review/Sample:

Material where a proportion needs to be kept, either by reviewing its value after an agreed period, or by taking a sample. Where it is appropriate transfer the whole record series to the Archives to allow the archivists there to take an appropriate sample.

4.1 Governance Records

Records	Retain in Department	Final Action	Notes
Statutes & Foundation documents	Transfer straight to Archives.	Transfer to Archives. Permanent.	
Chapter minutes, agendas and related papers	Last action + 5 years	Transfer to Archives. Permanent.	
Committee minutes, agendas and related papers e.g. - Library & Publications - Works - Health & Safety	Last action + 5 years	Transfer to Archives. Permanent.	
Cathedral Council minutes, agendas and related papers	Last action + 5 years	Transfer to Archives. Permanent.	
College of Canons minutes, agendas and related papers	Last action + 5 years	Transfer to Archives. Permanent.	
Fabric Advisory Council minutes, agendas and related papers	Last action + 5 years	Transfer to Archives. Permanent.	
Finance Advisory Council minutes, agendas and related papers	Last action + 5 years	Transfer to Archives. Permanent.	
Visitation reports and papers	Last action + 5 years	Transfer to Archives. Permanent.	

4.2 Finance Records

Records	Retain in Department	Final Action	Note
Audited accounts	Current year + 6 years	Transfer to Archives. Permanent	Limitations Act 1980
Journals	Last action + 6 years	Transfer to Archives. Permanent	Limitations Act 1980
Cash books	Last action + 7 years	Transfer to Archives for review	Limitations Act 1980
End of year summaries of account	Last action + 6 years	Transfer to Archives for review	
Interim accounting records including ledger postings, periodic financial reports, quarterly returns and preparation of statutory accounts	Last action + 6 years	Destroy	Limitations Act 1980
Contracts, costs and purchasing ledgers and creditors ledgers	Last action + 6 years	Destroy	Limitations Act 1980
Investment records	Last action + 3 years	Destroy	
VAT records and claims	Current year + 7 years	Destroy	VAT Act 1994
Cheque stubs, cancelled cheques	Current year + 2 years	Destroy	
Petty cash records	Current year + 2 years	Destroy	
Bank statements, deposit books/slips/butts, deposit summaries, records of cheques drawn for payment	Current year + 6 years	Destroy	Limitation Act 1980
Copy orders and delivery notes	Current year + 7 years	Destroy	VAT Act 1994
Creditor invoices	Current year + 7 years	Destroy	Limitations Act 1980
Receipt books	Year of closing + 7 years	Destroy	

Sales records	Current year + 7 years	Destroy	
Employer's Liability Insurance	Year of commencement + 40 years	Destroy	Employer's Liability (Compulsory Insurance) Regulations, 1989
Expired insurance contracts and insurance claims (fire, motor etc.)	Year of termination + 6 years	Destroy	Limitation Act 1980
Insurance register and policy documentation	Year of termination + 6 years	Transfer to Archives for review	
Wage/salary records including overtime, bonuses, expense claims, copy pay slips, tax and national insurance payment records	Current year + 6 years	Destroy	Taxes Management Act 1970
Statutory Maternity Pay records and calculations	Current year + 6 years	Destroy	Statutory Maternity Pay (General) Regulations 1986
Statutory Sick Pay records and calculations	Current year + 3 years	Destroy	Statutory Sick Pay (General) Regulations, 1982
Monthly records of pay	Current year + 6 years	Transfer to Archives for review	
Income tax returns, and forms P6, P9, P38, P45, P46, P60	Current year + 3 years	Destroy	Income Tax (Employment) Regulations 1993; Taxes Management Act 1970
Pension fund investments	Year of termination + 12 years	Destroy	
Pension records	Final payment + 6 years	Transfer to Archives for review	
Charitable accounts - receipts and donations	Current year + 6 years	Transfer to Archives for review	
Gift aid declarations	Expiry + 6 years	Destroy	

Church copyright licence information	Current year + 6 years	Transfer to Archives for review	
--------------------------------------	------------------------	---------------------------------	--

4.3 Administrative and Personnel Records

Records	Retain in Department	Final Action	Note
Benefice/parish files	Last action + 5 years	Transfer to Archives. Permanent	May be sampled
Patronage registers	Last action + 5 years	Transfer to Archives. Permanent	
Staff meeting minutes	Last action + 2 years	Transfer to Archives for review	
Public relations and events files e.g. filming permissions, event organization, press releases	Last action + 5 years	Transfer to Archives for review	
Correspondence and papers concerning policy e.g. re public access policy	Last action + 5 years	Transfer to Archives for review	
Routine correspondence and papers e.g. re car parking	Last action + 5 years	Destroy	
Formal instruments relating to appointments to Chapter e.g. institutions, admissions, licences	Current year + 5 years	Transfer to Archives. Permanent	
Correspondence concerning Chapter appointments	Last action + 5 years	Transfer to Archives for review	
Clergy personnel files	Until death + 7 years	Transfer to Archives for review	Church of England guidelines. Some may be kept for research purposes under exemption in Data Protection Act.
Lay staff personnel files [staff not involved with children], including	End of employment + 6 years	Transfer to Archives for review	Majority will be destroyed. Some may be kept for

applications, work permits and signed employment contracts			research purposes under exemption in Data Protection Act
Lay staff personnel [staff in contact with children], including applications and signed employment contracts	End of employment + 50 years	Transfer to Archives for review	Majority will be destroyed. Some may be kept for research purposes under exemption in Data Protection Act
Recruitment/vacancy files including advertisements, correspondence and interview notes	Appointment to post + 6 months	Destroy	Governed by Limitations Act, Sex Discrimination Acts, Race Relations Acts
Papers relating to unsuccessful applications and rejected offers to lay posts, including application forms and references	Appointment to post + 6 months	Destroy	Governed by Limitations Act, Sex Discrimination Acts, Race Relations Acts
References of successful lay candidates	Creation + 5 years	Destroy	Governed by Limitations Act, Sex Discrimination Acts, Race Relations Acts
Records of lay staff disciplinary cases and grievance investigations <i>where proved</i> , including written warnings	Termination of contract + 6 years	Destroy	Cannot be used in relation to further disciplinary matters after 2 years.
Records of clergy disciplinary cases and grievance investigations <i>where proved</i> , including written warnings	Until death + 7 years	Destroy	
Records of lay staff and clergy disciplinary and grievance investigations <i>where unfounded</i>	Destroy <u>immediately</u> after the grievance has been found to be unfounded; or after appeal	Destroy	Limitations Act 1980

Papers relating to termination of employment through dismissal, retirement or voluntary redundancy.	End of employment + 6 years	Destroy	Limitations Act 1980 – 6 years allowed for legal action. If pension is to be paid, records should be destroyed 6 years after last payment of pension.
Annual leave records	End of leave + 2 years	Destroy	
Medical reports, doctors' certificates	End of employment + 6 years	Destroy	
Criminal Records Bureau (CRB) clear certificate or disclosure letter of confirmation	Appointment to post + 6 months	Destroy	
Risk assessment recommendations and management plans where Criminal Records Bureau (CRB) disclosure unclear or blemished	End of employment + 50 years	Destroy	
Pension records	Last payment of pension + 6 years	Destroy	
Accident books or sheets	Last action + 20 years	Destroy	If relating to accident to child retain until child became adult + 20 years

4.4 Records of Services and Ministry

Records	Retain in Department	Final Action	Note
Baptism, confirmations, marriage and burial registers	Last entry + 2 years	Transfer to Archives. Permanent	
Interment of ashes registers and plans of internments and burials	Last entry + 2 years	Transfer to Archives. Permanent	

Service registers	Last entry + 2 years	Transfer to Archives. Permanent.	
Orders of service and music schemes	Last action + 2 years	Transfer to Archives for review	Full set or sample may be kept.
Concert programmes	Last action + 2 years	Transfer to Archives for review	Full set or sample may be kept.
Intercession lists	Last entry + 2 years	Destroy	
Certificate counterfoils (baptisms, marriages etc.)	Last entry + 2 years	Destroy	
Special marriage licences	Last action + 30 years	Transfer to Archives for review	
Precentor's administrative files	Last action + 5 years	Transfer to Archives for review.	Full set or sample may be kept
Sermons	Creation + 5 years	Transfer sample to Archives for review	Generally sermons only on significant occasions kept
Newsletters and leaflets	Creation + 5 years	Transfer sample to Archives for review	
Duty rotas etc.	Current year + 2 years	Destroy	
Correspondence and papers concerning special services	Last action + 5 years	Transfer to Archives for review	
Routine correspondence about services and ministry	Last action + 5 years	Destroy	

4.5 Music Establishment Records

Records	Retain in Department	Final Action	Note
Music lists	Current + 2 years	Transfer to Archives. Permanent	
Choir calendars and fixture lists	Current + 2 years	Transfer to Archives. Permanent	
Voice trial books	Last action + 5 years	Transfer to Archives for review	Sample to be kept

Concert programmes	Current + 2 years	Transfer to Archives for review	Sample to be kept
Choir photographs [formal]	Current + 2 years	Transfer to Archives for review	Should be dated and accompanied by lists of names.
Choir photographs [informal]	Last action + 2 years	Transfer to Archives for review	Sample may be kept
Chorister recruitment files and general correspondence	Last action + 5 years	Destroy	
Files relating to external choir engagements	Last action + 5 years	Transfer to Archives for review	Sample may be kept
Files relating to visiting choirs	Last action + 5 years	Destroy	

4.6 Buildings and Property Records

Records	Retain in Department	Final Action	Note
Inventories of Chapter properties and possessions	Current	Transfer to Archives. Permanent	Governed by Care of Churches legislation
Property & buildings reports e.g. quinquennial reports	Last action + 5 years	Transfer to Archives. Permanent	
Tendering documents [unsuccessful contractors]	Decision + 2 years	Destroy	
Property development and renovation for major works in Cathedral or Chapter owned properties E.g. Successful contracts, tenders, project specifications and plans, certificates of approval and project photographs [Includes documentation on projects that were shelved]	Last action + 5 years	Transfer to Archives for review. Majority permanent	Some series e.g. photographs and plans will need to be appraised and a selection retained

Contracts, tenders, specifications and photographs for minor works in Cathedral or Chapter owned properties	Last action + 6 years	Destroy	
Asbestos inspection reports and related papers	40 years	Destroy	Governed by legislation
Maintenance test reports and statutory certificates [not asbestos]	Expiry + 12 years	Destroy	Governed by legislation
Other routine maintenance records	Last action + 5 years	Destroy	

4.7 Legal Records

Records	Retain in Department	Final Action	Note
Title deeds, leases and legal agreements relating to Chapter property	Current + 12 years	Transfer to Archives for review. Majority permanent	Current deeds may be held by solicitors
Orders in Council and Church Commission Orders	Current + 5 years	Transfer to Archives. Permanent	
Conveyancing files	Last action + 12 years	Destroy	
Legal case files, including legal opinions and rulings, relating to significant matters	Current + 5 years	Transfer to Archives. Permanent	
Charity foundation records and bequests e.g. deeds, schemes, orders and will transcripts	Current + 5 years	Transfer to Archives for review. Majority permanent	Current deeds may be held by solicitors
Patronage agreements	Current	Transfer to Archives after expiry. Permanent	
Routine correspondence with solicitors etc.	Current + 5 years	Destroy	

4.8 Records relating to Chapter Library and Archives

Records	Retain in Department	Final Action	Note
Library and archives catalogues	Current	Transfer to Archives. Permanent	
Accession registers	Last action + 5 years	Transfer to Archives. Permanent	Should record date, source and terms of acquisition
Conservation registers	Last action + 5 years	Transfer to Archives. Permanent	Should record detail of conservator and date and nature of conservation. Covering correspondence may be destroyed unless provides essential details of treatment
Loan registers and files [external loans]	Last action + 5 years	Transfer to Archives for review.	Records of loans to external exhibitions etc. should be kept.
Loan registers and files [internal loans and borrowing]	Last action + 5 years	Transfer to Archives for review	Records of short-term and internal loans may be destroyed 5 years after return of material
Correspondence and papers relating to enquiries (internal and external)	Last action + 5 years	Transfer to Archives for review	Majority should be destroyed
Visitors/readers books	Last action + 5 years	Transfer to Archives for review	
Visit and event files	Last action + 5 years	Destroy	Paper relating to groups visits to Library and Archives etc.

Publicity materials and learning resources	Current + 2 years	Transfer to Archives for review	Should be sampled
--	-------------------	---------------------------------	-------------------

4.9 Education and Outreach Records

Records	Retain in Department	Final Action	Note
Official minutes and papers of Board of Governors of Choir School	Last action + 5 years	Transfer to Archives. Permanent	May be held in School
Copy minutes and papers of Board of Governors of Choir School	Last action + 5 years	Destroy	May be destroyed unless official set of minutes not held by Cathedral in which case one copy should be held as reference set
Records of events held at the cathedral	Last action + 2 years	Transfer to Archives. Permanent.	
Chapter Clerk's files concerning liaison with Choir School and other schools	Last action + 5 years	Transfer to Archives for review.	
Child protection policies and files	Last action + 5 years	Transfer to Archives for review.	
Educational visit files	Last action + 5 years	Transfer to Archives for review	Majority should be destroyed
Educational enquiries files	Last action + 5 years	Destroy	Paper relating to groups visits to Cathedral etc.
Publicity materials and learning resources	Current + 2 years	Transfer to Archives for review	Should be sampled

4.10 Fundraising and Development Records

Records	Retain in Department	Final Action	Note
Benefactors' registers and data	Current	Destroy	May contain sensitive personal details of benefactors. Should comply with Data Protection Act
Benefactors' lists	Current + 5 years	Transfer to Archives for review	Should not include sensitive personal details of benefactors
Fundraising event and visit files	Last action + 5 years	Transfer to Archives for review	Majority should be destroyed
Fundraising enquiries files	Last action + 5 years	Destroy	
Publicity and campaign materials	Current + 2 years	Transfer to Archives for review	Should be sampled

5 WHAT TO DO WHEN SENIOR STAFF LEAVE

When the Dean and Canons or other senior staff leave office the records of their period in post need to be sorted into three categories:-

- Cathedral responsibilities
- National responsibilities
- Records of their personal ministry

This is best done where possible before the date of departure, with administrative and support staff working together with the office holder to identify appropriate categories of records.

Generally the records relating to the cathedral and its administration will remain for the use of the next office holder. That said, the departure of a senior member of staff is an ideal opportunity to identify any records that may have such historical significance that they can be transferred to the archives. In addition, it is also a time to assess whether to dispose of any records.

Records relating to national responsibilities an office holder may have had, such as serving on the Archbishops' Council, should be duplicated by the records of the relevant national Church body and so can be disposed of. 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 office holder's personal ministry and interests, such as their activities as an author or a patron of a charity are the responsibility of the office holder NOT of the cathedral or its archives and should be clearly separated from the other records. However, if an office holder has died or is retiring with a large volume of personal records consideration should be given to whether any of these records are of wider historical interest and should be deposited at an appropriate archive or library. The Private Archives Team at The National Archives (contact details in section 12) can offer advice about what institutions, either locally or nationally, may be interested in receiving papers particularly relating to a special interest, for example where the office holder is an author or expert in a particular field of study.

Whilst paper records are generally obvious and easy to locate and identify, one must not overlook electronic records that an office holder may have either stored on individual personal computers or on the cathedral network. It is important that these are treated in the same way as paper records and dealt with appropriately. With regard to email accounts and personal folders on a cathedral network it may be appropriate to transfer access to these for a handover period to the new office holder or administrator so that important electronic records can be captured and properly stored where access can be managed and maintained. If this is not done there is a significant risk that electronic data can be accidentally deleted on the departure of a member of staff.

6 LOOKING AFTER YOUR ELECTRONIC RECORDS

6.1 General Advice

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

It is recommended that all IT systems which are used to create and maintain electronic documents in the course of cathedral administration be 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 least in a different room in the same building.

All networks and equipment should have an appropriate firewall and anti-virus software.

Where there are electronic records which are of permanent historical value it is important that back-up copies of these are securely held in their original format and are stored in a way in which they are protected from accidental amendment or deletion, and that a metadata record is kept, clearly identifying the operating system and software on which the data was created and is readable. Electronic copies should be made for day to day use to reduce the risk to the integrity of the original record.

All cathedrals now maintain web sites. These often contain important information and it is easy to overlook capturing and archiving records of what was put on the cathedral website. If the technical expertise is available it is of value to take a copy of the web site pages twice or three times a year (depending on how frequently the web site is updated). All master documents made available via the web site should be captured in hard copy or electronic format in the same way as other important records. If technical expertise is not available or there are insufficient resources, the free

UK Web Archive at the British Library may be able to add samples of the cathedral website to its national collection of UK websites.

6.2 Document Management Advice

(a) Naming Files and folders

All documents (e.g. a report or spreadsheet or powerpoint presentation) in Microsoft Office are called “files” and are stored in “folders”. You should have a clearly structured arrangement of all your folders which is fully documented. 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. “FAC Minutes 20120821.doc” or “Chapter minutes 2012805.doc” rather than “May.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 documents in appropriately named folders e.g. FAC Papers 2012 or Chapter Minutes 2011.

Reports – name of the report, date and version number if applicable e.g. “Fabric Advisory Committee Annual report 2012 v1.doc”

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 or receiving an electronic 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.
- Can a complete newcomer understand the subject from the folder name and find the information quickly using the folder name?

(b) 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 easiest for them to find the right document or file?

(c) Version Control

Where a document goes through a number of changes and earlier copies are kept, 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 – 2012). 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, and vice versa it should be retained.

(d) Styles

Always structure documents using styles and Templates found in Microsoft Word and other word processing packages. They make it easy to format documents particularly standard ones such as letters, reports, minutes etc., maintain consistency throughout them, and enable simple shared reviewing and editing as everyone uses the same formatting and structure.

(e) 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. Alternatively an individual document can be password protected; though if you forget the password, recovering the contents may be extremely difficult.

(f) 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 a cathedral policy, please contact the CERC for further advice, Tel. 020 7898 1030 or e-mail: archives@churchofengland.org

(g) Back Ups

It is essential to make regular back ups and ensure that 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 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.

(h) E-mails

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

Saving email – Work related e-mails you need to keep as part of the corporate information of the cathedral 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.

Saving emails can be done in two ways –

a) within Outlook as a “live” email. 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 manage the information. Email is also not a satisfactory means of long term storage of important information.

b) Outside Outlook. Content of emails that need to be saved longer term can be stored outside the email system by saving the email in a 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 email text as a document with the to/from/date details intact and allows it to be stored with related documents. The actual email can then be deleted. In a Microsoft Windows environment, such e-mails can be simply dragged from Outlook to the appropriate folder.

Other email providers will usually provide similar ways of saving or archiving emails either within or outside of the email application.

(i) Dates

Always date documents. However, avoid using the “date” field option as it enters the current date and automatically updates every time the document is opened.

(j) Master copies

It is important that the owner of any document or file be identified and agreed at the point of creation and that this “master copy” owner is then responsible for ensuring that their copy of the document or file is properly stored so that other copies can be correctly identified as duplicates and disposed of when no longer needed for immediate use. This applies to paper as well as electronic records.

7 LOOKING AFTER YOUR PAPER RECORDS

7.1 Creating and storing your records

If a record is being printed out in hard copy, the length of time the record is being retained for will give a guide as to the level of care that should be taken. Some records need to be kept permanently, for example because they are of historical or legal value, while other records may be destroyed after a given period of time. For a record being retained permanently, it may be appropriate to take the following steps:

- To use good quality paper - coloured or recycled paper is not ideal (recycled paper consists of very short cellulose fibres, making it weak and easily torn). Ideally, acid-free archival paper should be used, as it less likely to deteriorate, but you will need to confirm that the paper has an alkaline buffer to prevent future acidification. Some paper sold as ‘acid-free’

may have a neutral pH when sold, but without a buffer, may deteriorate rapidly, especially in unsuitable environmental conditions.

- To use a suitable ink such as registrar's ink for permanent signatures or to use biro for permanent annotations and signatures (biro cannot be removed from documents, whereas other inks can).
- To use brass paper clips or brass staples for securing papers – most metals in clips, pins, staples, and tags can corrode and cause damage to documents.
- To avoid putting post-it notes on the document (the adhesive will transfer to the document and stain it as it oxidises) or use of correction fluids.
- To avoid the use of self-adhesive tape to “mend” papers.
- To avoid using rubber bands to tie up papers – bundles should be wrapped in strong white paper (ideally archival paper) and then tied with unbleached white cotton or linen tape.

However, it would be an expensive over-reaction to apply these guidelines to records which are being retained for a much shorter period of time – for example, routine financial records.

Office and on-site storage of paper records

Most recently created or recently received records will need to be stored in the office area, usually in filing cabinets. Suspension files within the filing cabinets should be clearly labelled with file codes and titles in accordance with those listed in your filing structure (see the factsheet on “Organising your records” on the CERC web site). Within each suspension file separate cardboard folders (known as square cut folders) can be used to store records on particular topics or pieces of business.

Filing cabinets containing records should be located in areas which are secure, cool and dry. They should not be stored in the same place as stationery and general office supplies, but in clearly designated areas where the records can be easily retrieved but are safe from fire, flood, theft or unauthorised access.

It is worth considering storing highly valuable or confidential records in a safe or in lockable fire resistant filing cabinets. This particularly applies to records relating to safeguarding. Safes and filing cabinets should be regularly checked and opened to ensure the contents are not subject to damp, mould or pest infestation.

Older records which are not in day to day use but need to be retained on site should be stored in high quality cardboard boxes. Records being retained as archives should be stored flat in acid-free archive boxes. This prevents them becoming folded or distorted (this is particularly a danger if the box is not full). Do not pack records in plastic bags, as they prevent air circulation, trap moisture and can also give off gases that are harmful to paper.

Further general rules that apply to the on site storage of records include:

- Make sure that records are protected from immediate contact with metal, in cupboard walls, shelves, trays and the like.
- Where possible, avoid using basements and attics as storage areas - such places are likely to suffer from dampness or high temperatures (experts recommend storing the most common mixed collections of records within the range 13oC to 20oC with a relative humidity within the range 35-60% RH). The most important thing is to keep conditions stable, trying to avoid

rapid or major fluctuations in temperature or humidity. Photographic and audio-visual records are particularly vulnerable to unstable climatic conditions.

- Do not place records 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. If the storage area has to be on a ground floor without a basement below it or in a basement, the filing cabinets or shelving in or on which records are kept should be raised at least 10cms from the floor to reduce the risk of minor floods reaching the records. If existing shelving goes down to floor level, either leave the bottom shelves empty or, if the shelves are adjustable, create a shallow (10cms) empty shelf at the bottom.
- Check that all electrical circuits have been tested during the last two years. Keep both water and non-water extinguishers nearby – remember that water extinguishers can not be used in the case of electrical fires.
- Do not unnecessarily expose records to light – switch off lights when storage areas are unoccupied and keep loose papers in boxes where possible. Fluorescent lights in areas where records are handled outside their protective enclosures should be fitted with u/v filters. Photographic materials are particularly vulnerable and should be packaged appropriately to minimise exposure to light.

In some cases the physical constraints of the building you work in may force you to store records in conditions that are not ideal. If this is the case, the key point is to ensure the most valuable records are kept in the best possible conditions and the remainder are regularly checked for any sign of deterioration.

7.2 Protection and repair of your documents

Records face deterioration through the direct impact of fire and flood, but usually much more so from more indirect causes such as aging of their component materials and from inappropriate handling. 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 in the case of damage by fire or flood, get in touch with the archives or the Diocesan Record Office (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. Place them as quickly as possible in small groups of documents in separate, sealed freezer bags in a domestic freezer until advice is available from the DRO or a document salvage company. In warm conditions, there may be no more than 24 hours before mould begins to grow on the documents and irreparable damage is caused. Freezing will also prevent soluble inks from spreading.

Do not attempt any type of repair. Repairs need to be carried out under the direction of those with professional expertise. Materials likely to be at hand, 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>

7.3 Allowing use of records

To avoid blots and smudges which can obscure the original text, make sure that no-one who uses core records for research purposes uses anything but a soft-leaded pencil. It is also important that no one using core records for research purposes, 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. Encourage the use of reading aids such as foam wedges and weights. Researchers need to be directly supervised to avoid the risk of damage or loss.

8 DATA PROTECTION and FREEDOM OF INFORMATION

8.1 The Data Protection Act

The Data Protection Act 1998 (DPA) applies to the processing of any information which relates to a living individual who can be identified from that information alone or when taken together with other information held by the same person or body. Such information is termed 'personal data' in the DPA. Processing is widely defined and includes obtaining information, holding it (whether in paper or electronic form) and sharing it with others.

The DPA sets out eight fundamental principles which must be observed when processing personal data. These can be summarised as follows:

- 1) Personal information must be processed fairly and lawfully.
- 2) It must be obtained for one or more lawful and specified purposes, and processed in a manner compatible with that purpose or those purposes.
- 3) It must be adequate, relevant, and not excessive in relation to the purpose(s) for which it is processed.
- 4) It must be accurate and, where necessary, kept up to date.
- 5) It must not be kept for any longer than is necessary for the purpose(s) for which it is processed.
- 6) It must be processed in accordance with the rights conferred by the DPA on the person who is the subject of the information ('the data subject').
- 7) Appropriate measures must be taken to protect the information from unauthorised or unlawful processing and against accidental loss, destruction or damage.
- 8) The information must not be transferred to a country outside the European Economic Area unless that country has an adequate data protection regime.

The DPA also provides that certain information is to be treated as 'sensitive personal data' in relation to which particular conditions apply. This includes information about a person's religious beliefs, racial or ethnic origin, political opinions, sexual life, physical or mental health, union membership or criminal record (including any allegation that a criminal offence has been committed).

The Information Commissioner's website (www.ico.gov.uk) is a useful resource which provides general and specialist guidance on many aspects of the DPA.

Any data controller - defined as a person who (either alone or jointly or in common with others) determines the purpose for which, and the manner in which, any personal data is processed - is required under the DPA to notify the Information Commissioner if he or she processes personal data electronically, unless the processing falls within certain exempt categories. Failure to notify is a criminal offence. The details provided are used by the Information Commissioner to maintain a public register of data controller and the categories of personal information which they process.

The administration of pastoral care by a minister of religion is a non-exempt purpose and therefore clergy personal files fall within the notification requirements as do personnel or HR files on staff. The Chapter Clerk or the Dean and Chapter, as the data controller for the cathedral, should already have submitted a notification. Guidance on keeping the notification up to date can be found on the Information Commissioner's website.

8.2 The Freedom of Information Act

The Church of England is not defined as a public body for the purposes of The Freedom of Information Act and it therefore does not apply to the Church of England.

9 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 licences 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

There may be occasions where some cathedral records are cared for by or deposited with a local record office, typically the local authority archive service that is designated as a Diocesan Record Office (DRO), though it may be a university or other academic institution archive service.

Whatever the nature of an agreement with another archive it should be reviewed periodically and the agreement should cover the following areas:

- Definition of the parties, area and subject of the agreement.
- Ownership of records deposited with and held by the DRO or other archive, including copyright status.
- Public access arrangements for records transferred as archives and the confirmation of any necessary closure periods for sensitive material.
- The scope and standards of professional archive services being provided by the DRO or other archive including delegating powers of appraisal to their staff (e.g. can they 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).

11 GLOSSARY OF ADMINISTRATIVE AND RECORD TERMS

This glossary includes both terms that appear in this guide and many that are specific to Cathedrals and will therefore be of use to those working with cathedral records.

Archive – A place for keeping records permanently, or the body of records selected for permanent preservation.

Archiving – To select for permanent preservation records that are of value for legal, constitutional or historical purposes.

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.

Canon – A member of chapter of a cathedral or collegiate church, generally an ordained priest see also **Honorary Canon; Lay Canon; Minor Canon; Residentiary Canon; Canon-Professor**

Canon-Professor – a Canon at Christ Church, Oxford whose canonry is annexed to a professional chair.

Cathedral Council – An advisory and consultative body established to support the work of the Chapter and to ensure accountability to the wider community and diocese. It provides a sounding board and guidance and works to further and support the mission and the work of the Cathedral Church, reviewing and advising upon the direction and oversight of that work by the Chapter.

CFCE (Cathedral Fabric Commission for England) – The central body for advising upon and overseeing matters relating to the fabric, contents and setting of the cathedrals of the Church of England.

Chancellor – Canon typically responsible for the Cathedral library, school or education.

Chapter – The governing body of the cathedral. Typically comprises the Dean, Residentiary Canons and some Lay Canons. May also include the cathedral administrator.

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 current Legislation is the Data Protection Act 1998.

Dean – The most senior member of the cathedral clergy. Chair of the Cathedral Chapter.

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.

FAC (Fabric Advisory Committee) - a body set up for each cathedral to advise on its care, conservation, repair and development, and to decide applications made under the Care of Cathedrals Measure which do not go to the CFCE.

Finding Aids –Indexes, schedules, subject thesauruses and referencing systems which structure and identify information to enable its easy retrieval. These may be in paper or electronic form.

FOI (Freedom of Information) –The law regulating public access to official information held by public bodies as defined in the schedule of the Act. 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.

Honorary Canon - A clergyman or woman who is a member of the chapter but not on the salaried staff of the cathedral.

Lay Canon – A member of chapter of a cathedral or collegiate church who is not an ordained clergyman or clergywoman.

Minor Canon - A clergyman or woman who plays a role in the music or worship of the cathedral but is not a member of the chapter, nor in many cases, on the salaried staff of the cathedral.

Peculiar – A place that is exempt from the jurisdiction of the Bishop or diocese.

Precentor – A clergyman or woman, generally a Canon or Minor Canon, with responsibility for the Cathedral's choral services.

Quinquennial Inspection – The survey of the church fabric undertaken every 5 years by an architect or surveyor approved by the Diocesan Advisory Committee. The report will make recommendations categorised in varying terms of urgency and cost.

Records – Recorded information (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.

Residentiary Canon - A clergyman or woman who is on the permanent, salaried staff of the cathedral and is a member of the chapter.

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.

Royal Peculiar – A church or chapel answerable only to the Queen. The collegiate churches of St George's Chapel, Windsor Castle and Westminster Abbey are both Royal Peculiars.

Secular Clergy – ordained clergymen or women who are not members of a religious order or monastery.

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.

Statute – An Act of Parliament.

Statutory Instrument - Delegated legislation where power to make orders, rules, regulations and other subordinate legislation is conferred on the Her Majesty in Council or on a minister of the Crown by Order in Council.

Succentor – A Minor Canon who assists the Precentor.

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 by the Bishop or the Archdeacon or other official Visitor. Records created by a visitation for example include the Articles of Enquiry.

12 CONTACT DETAILS

Association of English Cathedrals (AEC)	Association of English Cathedrals PO Box 53506 London SE19 1ZL Tel: 020 8761 5130 email: enquiries@englishcathedrals.co.uk website: http://www.englishcathedrals.co.uk/
--	---

Cathedrals Fabric Commission for England (CFCE)	Cathedrals Fabric Commission for England Church House Great Smith Street London SW1P 3AZ Tel: 020 7898 1888 email: ccbenquiries@churchofengland.org website: http://www.churchcare.co.uk/cathedrals/cathedrals-fabric-commission-for-england
Cathedral Libraries and Archives Association (CLAA)	Secretary: Judith Curthoys Christ Church, Oxford OX1 1DP email: archives@chch.ox.ac.uk http://www.churchofengland.org/about-us/structure/churchcommissioners/church-administration/librariesandarchives/cathanddioceslibs/claabasicdetails.aspx
Catholic Archives Society	Honorary Secretary: secretary@catholicarchivesociety.org The Society has published a series of Archive Advice Leaflets including retention concerning financial records and a glossary of basic archival terms: http://www.catholic-history.org.uk/catharch/advicepams.htm
Church of England Record Centre	15 Galleywall Road, South Bermondsey, London SE16 3PB Tel: +44 (0)2078981030 Fax: +44 (0)2078981043 email: archives@churchofengland.org website: www.lambethpalacelibrary.org
Cathedral websites – links	http://www.churchcare.co.uk/cathedrals/the-cathedrals
Information Commissioner	Information Commissioner's Head Office, Wycliffe House, Water Lane, Wilmslow, Cheshire, SK9 5AF. Tel: 01625 545 745 Fax: 01625 524 510 DX 20819 email: mail@ico.gsi.gov.uk website: http://www.ico.gov.uk
Religious Archives Group of the Archives and Records Association	http://religiousarchivesgroup.org.uk/

The National Archives (TNA)	<p>The National Archives, Kew, Richmond, Surrey, TW9 4DU.</p> <p>Tel: +44 (0)20 8876 3444 website: http://www.nationalarchives.gov.uk/</p> <p>Private Archives team: email: asd@nationalarchives.gsi.gov.uk Tel: +44 (0)20 8392 5330</p>
------------------------------------	--

13 FURTHER READING

Books & Internet Resources:

- **Armour, Douglas – The ICSA Company Secretary's Handbook**
London: ICSA Publishing, 2012. 9th edition.
- **Meakin, Tony – A Basic Church Dictionary**
Norwich: Canterbury Press, 2001. 4th edition
- **Parker, Elizabeth – Managing your organisation's records**
London: Library Association, 1999
- **Shepherd, Elizabeth & Yeo, Geoffrey – Managing Records: A handbook of principles and practice**
London: Facet Publishing, 2003
- **The National Archives** section of records management guidance.
- **JISC** - Although aimed specifically at higher and further education, JISC have produced some useful 'infokits' on records management, managing information to make life easier, managing your email.
- **The British Library Preservation Advisory Centre** for practical advice on document (and other formats) handling.

Publication History - First published June 2013

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 either the Lambeth Palace Library Website: www.lambethpalacelibrary.org or the Church of England website: <http://www.churchofengland.org> Paper copies are also available from the Church of England Record Centre (see above for contact details).

Others in the series are:

Keep or Bin: The Care of Your Parish Records (Revised 2009)
Save or Delete: The Care of Your Diocesan Records (Revised December 2008)
Cherish or Chuck: The Care of Episcopal Records (December 2009)
Personal Files Relating To Clergy – Guidance for Bishops and their staff (April 2013)
Looking After Your Multimedia Records (2013)