

Non-RLO's: RECORDS MANAGEMENT TULIP DATABASE

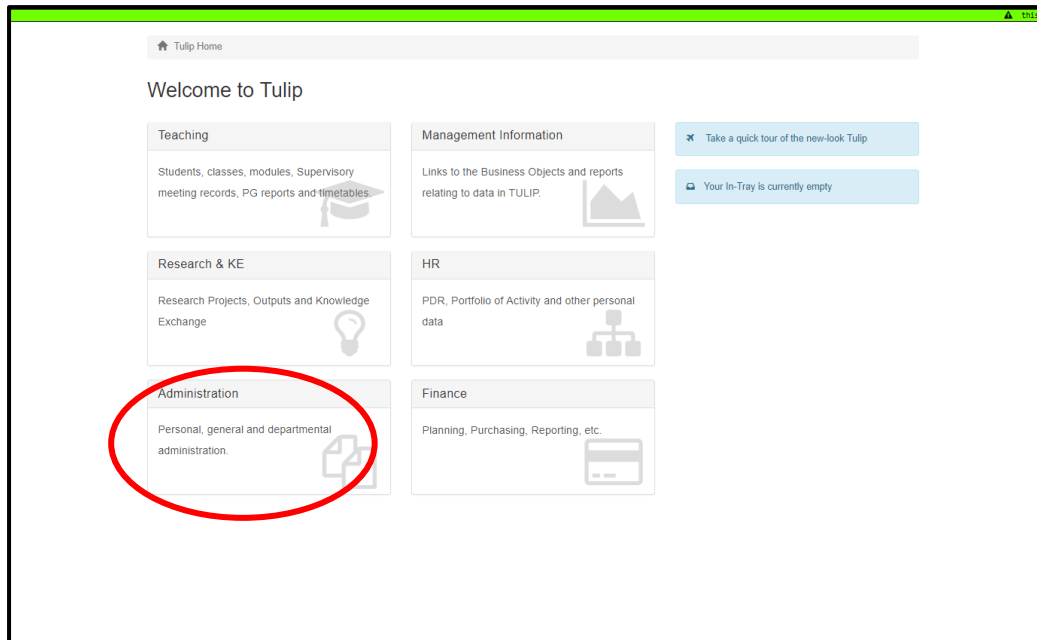
– PROCESSES



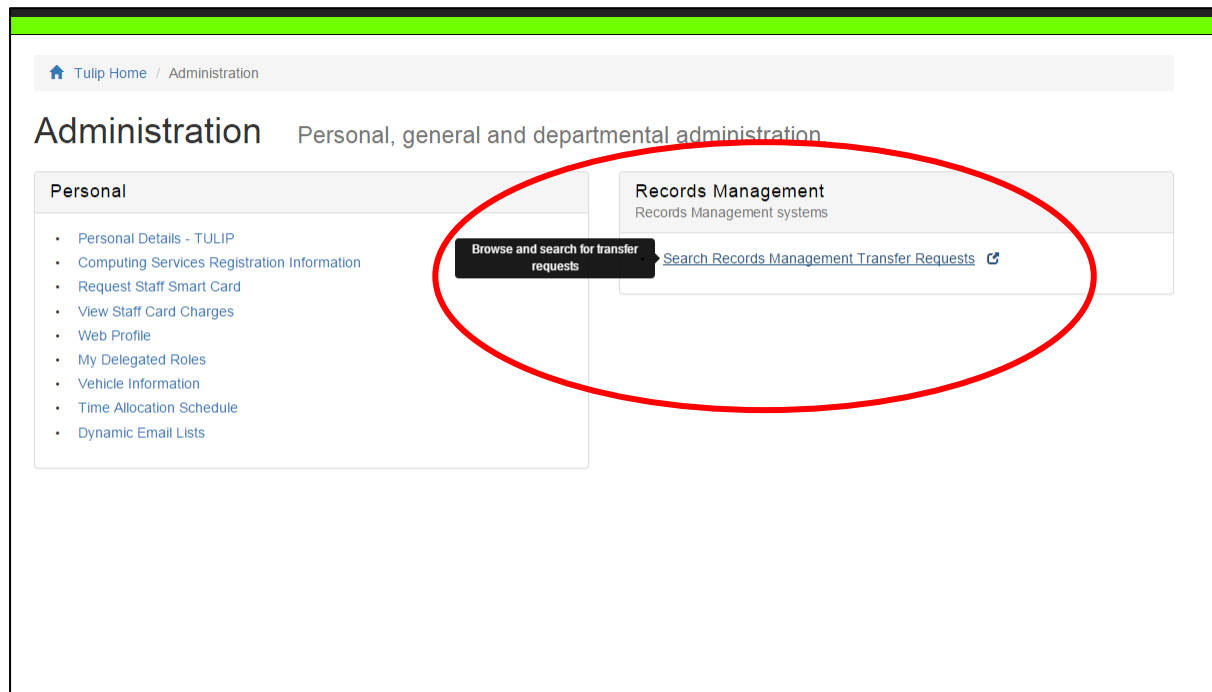
- 1) LOGGING INTO THE RM DATABASE
- 2) CREATING A TRANSFER REQUEST
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- 4) HOW TO SEARCH FOR PAST AND PENDING TRANSFER REQUESTS
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1) LOGGING INTO THE RM DATABASE

Log into TULIP as normal and go to the Administration tab:

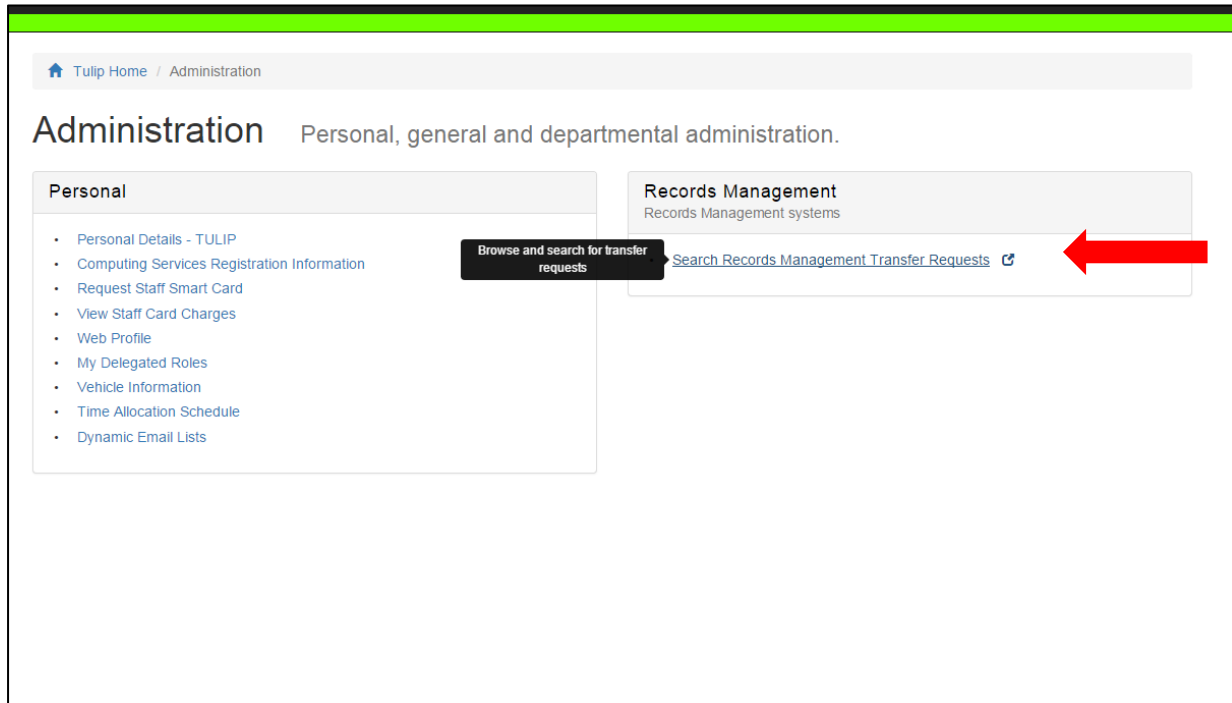


You will then see the Records Management Database menu:

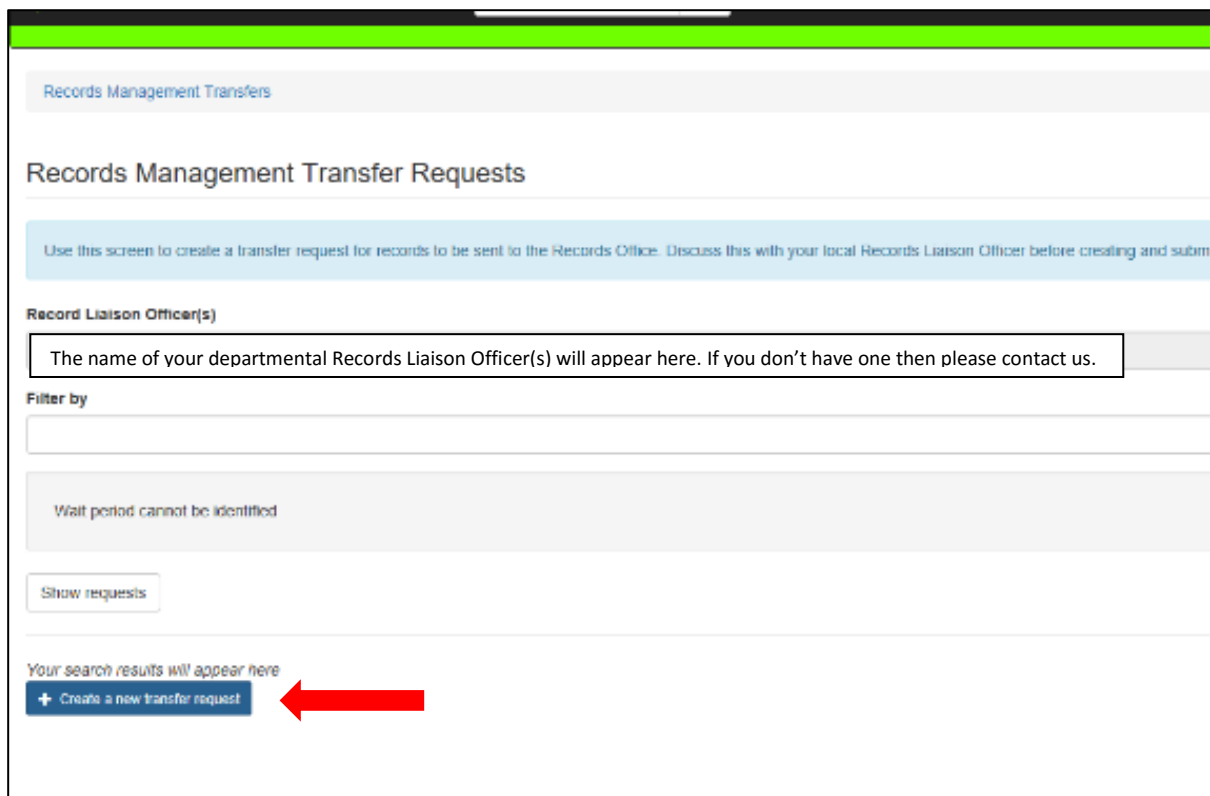


2) CREATING A TRANSFER REQUEST

Go to the Records Management menu in TULIP and select “Request Records Transfer”:

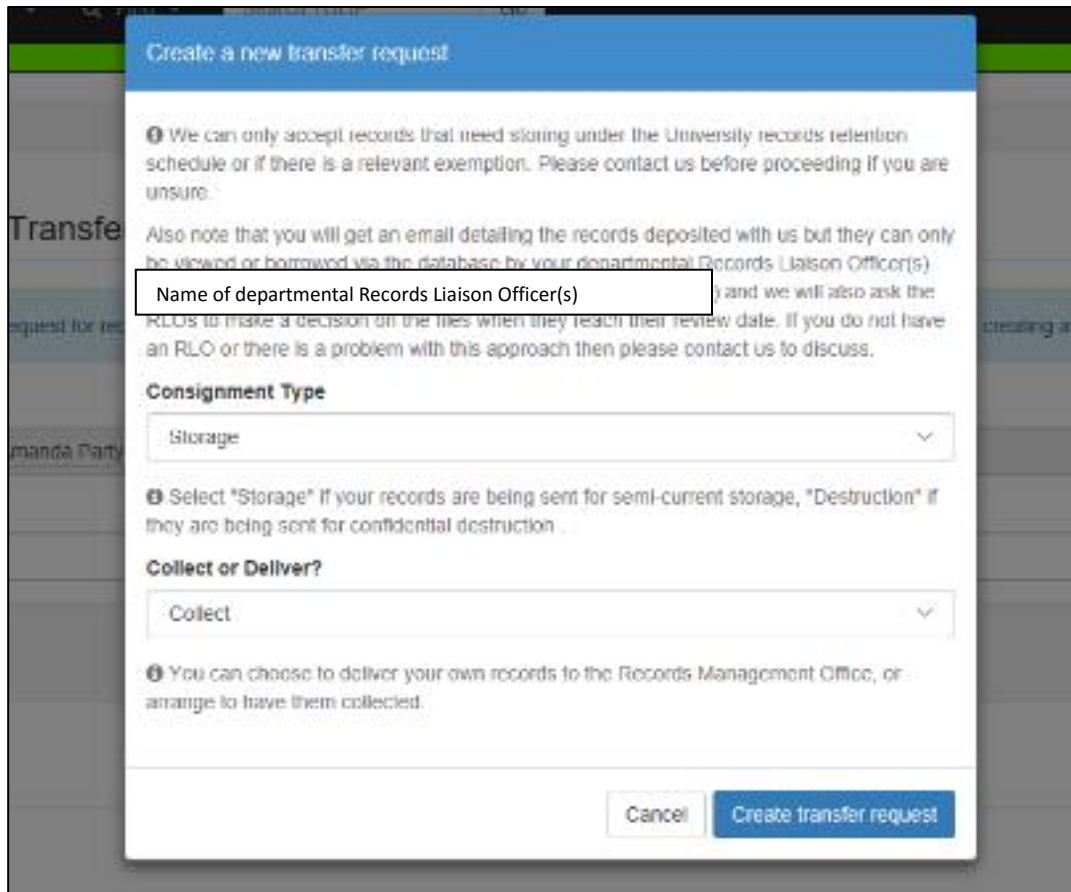


Click “Create a new transfer request”:



This pop up screen will appear, please fill in the details as described below:

This allows you to select if you want to store your records with us: select 'Storage', or if you want them to be confidentially destroyed: select 'Destruction'. You can also select whether you'd prefer to deliver the records to the Records Centre yourself, or if you'd like to arrange for us to collect them. If you require both storage and destruction you will need to submit 2 separate requests.



The image shows a screenshot of a web application with a modal pop-up window titled "Create a new transfer request". The pop-up has a blue header bar with the title. Below the header, there is a paragraph of information starting with an information icon (i) and stating: "We can only accept records that need storing under the University records retention schedule or if there is a relevant exemption. Please contact us before proceeding if you are unsure." This is followed by another paragraph: "Also note that you will get an email detailing the records deposited with us but they can only be viewed or borrowed via the database by your departmental Records Liaison Officer(s) and we will also ask the RLOs to make a decision on the files when they reach their review date. If you do not have an RLO or there is a problem with this approach then please contact us to discuss." Below this text is a text input field containing the text "Name of departmental Records Liaison Officer(s)". Underneath the input field is a section titled "Consignment Type" with a dropdown menu currently showing "Storage". Below the dropdown is another paragraph of information starting with an information icon (i) and stating: "Select 'Storage' if your records are being sent for semi-current storage, 'Destruction' if they are being sent for confidential destruction." This is followed by a section titled "Collect or Deliver?" with a dropdown menu currently showing "Collect". Below the dropdown is a final paragraph of information starting with an information icon (i) and stating: "You can choose to deliver your own records to the Records Management Office, or arrange to have them collected." At the bottom right of the pop-up are two buttons: a "Cancel" button and a "Create transfer request" button.

Create a new transfer request

i We can only accept records that need storing under the University records retention schedule or if there is a relevant exemption. Please contact us before proceeding if you are unsure.

Also note that you will get an email detailing the records deposited with us but they can only be viewed or borrowed via the database by your departmental Records Liaison Officer(s) and we will also ask the RLOs to make a decision on the files when they reach their review date. If you do not have an RLO or there is a problem with this approach then please contact us to discuss.

Name of departmental Records Liaison Officer(s)

Consignment Type

Storage

i Select "Storage" if your records are being sent for semi-current storage, "Destruction" if they are being sent for confidential destruction.

Collect or Deliver?

Collect

i You can choose to deliver your own records to the Records Management Office, or arrange to have them collected.

Cancel Create transfer request

Fill in the transfer request screen:

Where it says type of record, if the type is not in the drop down or if there is more than one type, then select the 'Other' option and use the notes to elaborate. Some of the fields that are completed automatically can be changed if you need.

The contact name for content should be the person who owns/ is responsible for making decisions on the records. In some cases this will be you, in others the departmental RLO but it may also be someone else that you nominate, e.g. if you are submitting the list on behalf of someone. **This can only be changed in the transfer list screen.**

The contact name for collection is the person who will be around on the day when we come to pick up the records and will be the person who gets the reminder emails about the collection.

Click the save button and then submit the request:

① Please select an option that best fits the type of files in this consignment. If there is a mix of file types, select 'Other' and provide further details in the notes.

Contact Name for Collection

① The name and telephone number of the person in your department responsible for coordinating this transfer.

Department

Record Liaison Officer(s)

Contact Name for Content

① The name and telephone number of the person who has knowledge of the content of the boxes. This will normally be the person who has filed in the transfer list.

Collection Address

① Enter the room number, building name/id and address from which the boxes or bags should be collected.

Notes

① Enter any additional information that may be relevant.

Created by Gemma Parry on 1 November 2018

Collection Address

① Enter the room number, building name/id and address from which the boxes or bags should be collected.

Notes

① Enter any additional information that may be relevant.

Created by Gemma Parry on 27 September 2018

Once submitted, the contact name for collection will receive the following email:

You submitted a request to store xx boxes on dd/mm/yyyy. The consignment id for this request is 2000xxxx. Please now begin to create your records transfer list. Your transfer list must be completed as soon as possible, and at least one week prior to the agreed transfer date, or your transfer will be cancelled.

The Records Management Team will then offer you the next available date for collection and the contact name for collection will receive the following email:

You are booked in for a collection from Records Management on dd/mm/yyyy. You must now confirm your acceptance of this date by accessing your transfer request and clicking the 'Accept' button, or 'Reject' if you are unable to accept this date.

The collection will take place between 9 a.m. and 11.30 a.m. so please ensure that you, or a colleague, are on hand to give us access during this time.

If you are having confidential waste collected it must be in the white sacks (provided on request). Do not overfill the sacks and ensure that there is no plastic and no large metal fastenings. Paper/card files containing records may be put into the sacks, and small metal fastenings such as staples and paperclips are permitted. If you have non-paper media for confidential destruction such as CDs or disks then do not put these into the sacks. Please package them separately and clearly mark them as non-paper confidential destruction.

If you are having records collected for storage in the University Records Centre then they must be in the Iron Mountain boxes (provided on request). The boxes should not be overfilled - the lid must fit securely onto the box and it should be an easy weight for one person to lift. The paper records should be removed from plastic wallets, ring binders, box files, elastic bands, and plastic or metal binding. Nothing should be written on the outside of the boxes. The electronic transfer list should have been completed at least one week before the collection date and if you have not submitted it, please do so by the end of today.

If the above conditions are not met we may be unable to take the material and you will have to wait until the next available collection date which could be some time in the future. If you have any queries or need to change your collection date then please let us know by adding notes to your transfer request.

After receiving this email you must then log back in to TULIP and onto your transfer request screen where you will see a green 'accept' or red 'reject' button. Please press which one is applicable.

If you reject the given date, you will be offered a new date by the Records Management team

3) FILLING IN YOUR TRANSFER LIST

After you have clicked save on the transfer request page, scroll back up to the top and click the “Transfer List” tab. Select ‘Add a record’:

The screenshot shows the 'Records Management Transfers' interface for user 20001305. At the top, there are two tabs: 'Transfer Request Details' and 'Transfer List', with a red arrow pointing to the 'Transfer List' tab. Below the tabs, there is a warning message about record access and a note about clinical trial records. A 'Contact Name for Content' field is present with a red text overlay: 'Your name will appear here- this can be changed if necessary'. Below this is a 'Click here for guidance for boxes' link. There are 'Copy', 'Excel', and 'Print' buttons. A table header is visible with columns: 'Box number/ref', 'Description of records', 'Trigger date', 'Class type', 'Action date', and 'Location'. The table body shows 'There are no entries on the transfer list'. At the bottom, it says 'Showing 0 to 0 of 0 entries' and 'Created by Gemma Parry on 1 November 2018'. A red arrow points to the '+ Add a record' button at the bottom left.

At this point you can begin to fill in the information for the records you are adding to the list. You should use the retention schedule available on the database which will allow for the correct record type to be easily found and it will add in the trigger type automatically. Follow the guidance under the ‘i’ symbol to complete your list.

Once the list is complete ensure you click the ‘submit your list’ button submitted, and processed by the Records Management Team, it will be locked. This means that Records Management Staff can still make changes, but the staff member/RLO submitting the request and list will not.

Bear in mind that you can copy boxes if you have more than one with similar details.

Add a record to the transfer list

Box number/ref

❗ If you have a unique departmental code/references for each box then use that. Otherwise just number the boxes. Write this reference on the outside of the boxes so we can match each box to the correct entry on the list but do not put anything else on the outside and do not write anything that could identify the contents.

Description of records

❗ Please make your description as detailed as possible so that we can check the class number and retention period and so that you or your colleagues can easily identify material from the description in the future.

Special instructions

❗ Please enter notes here if access to the records should be restricted, or if any other important information specifically applies to this box.

Class type

Class

❗ This is the section of the retention schedule that your records come under, e.g. student administration records are O and examination papers are O.21. You can use the University retention schedule to find this out. It will soon be available via this database and in the meantime can be viewed at: www.liverpool.ac.uk/csd/records-management/retention-schedule/. If you are unsure about class type or class number then contact us for help.

Trigger date type

Trigger date

dd/mm/yyyy

Action date

dd/mm/yyyy

❗ This is the date that will determine the retention period, i.e. it is this date to which we will add the appropriate number of years to determine when the records will be reviewed. You can find the correct trigger date type for your records in the retention schedule and then work out the trigger date. Often it will be the date of the latest material in the box, however there are some exceptions, for example:

- For most student files and assessed work we require the date of graduation in order to set the appropriate retention
- For projects, such as research projects, we require the completion date of the project

If selecting 'Other', please clarify in the notes what type of date you are using.

You should then base the action date on the guidance given in the retention schedule for the class(es) of records in this box. [Open Retention Schedule](#)

Notes

Cancel

Save

Remember to submit the list when you have finished:

this is test tulip [tip]

Records Management Transfers / 20001305

Transfer Request Details

Transfer List

⚠ Please note that records sent in by a department can usually be accessed by any member of that department. If there is any reason why this is not appropriate (for example you are sending in confidential staff files), you should add a note in the "Special instructions" field for that box. We will contact you to make arrangements for restricting access to the material.

Similarly, if the records relate to a clinical trial of an investigative medicinal product (CTIMP), please also note this in "Special instructions" and state who can have access to and authorise the destruction of the records (this will normally be the nominated archivist for the study).

If you have any questions then please contact Records Management Services on extension 45675.

Contact Name for Content

Your name will appear here- this can be changed if necessary

Save

📞 The name and telephone number of the person who has knowledge of the content of the boxes.

Click here for guidance for boxes

Copy

Excel

Print

Box number/ref	Description of records	Trigger date	Class type	Action date	Location	
1	test	01-NOV-18	O.22	01-NOV-24		<div>Edit box</div> <div>Copy box</div> <div>Delete box</div>
2	test	01-NOV-18	O.22	01-NOV-24		<div>Edit box</div> <div>Copy box</div> <div>Delete box</div>

Showing 1 to 2 of 2 entries

Created by Gemma Parry on 1 November 2018

+ Add a record

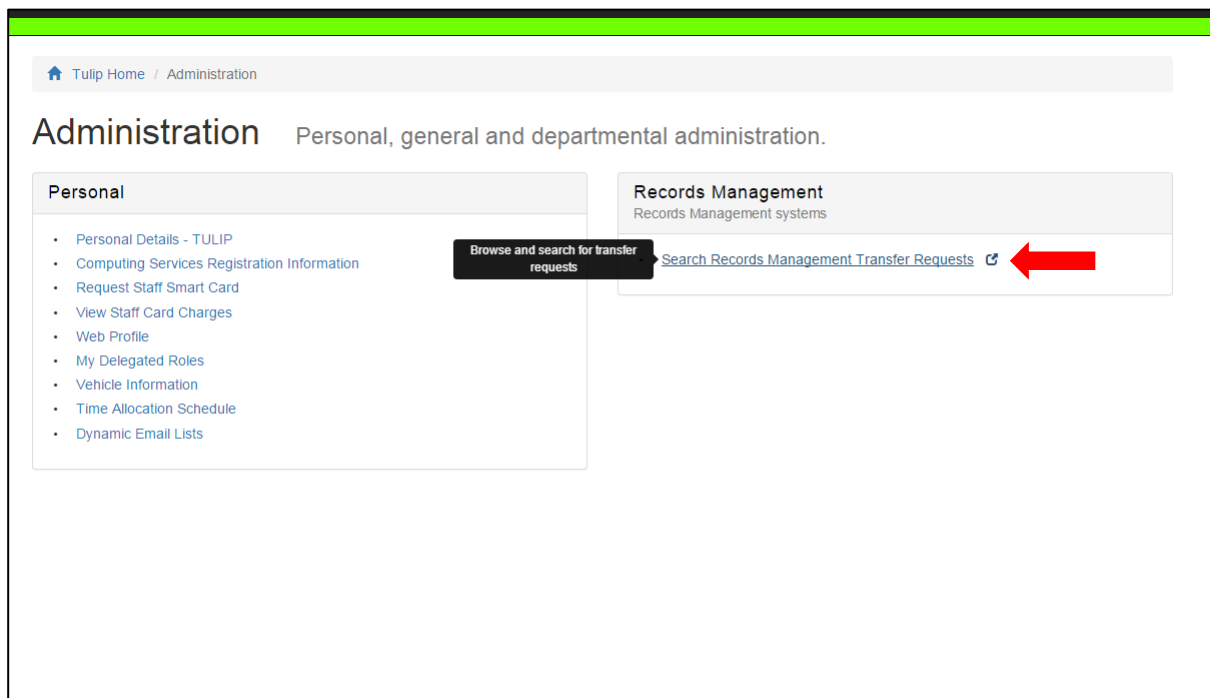
✔ Submit transfer list

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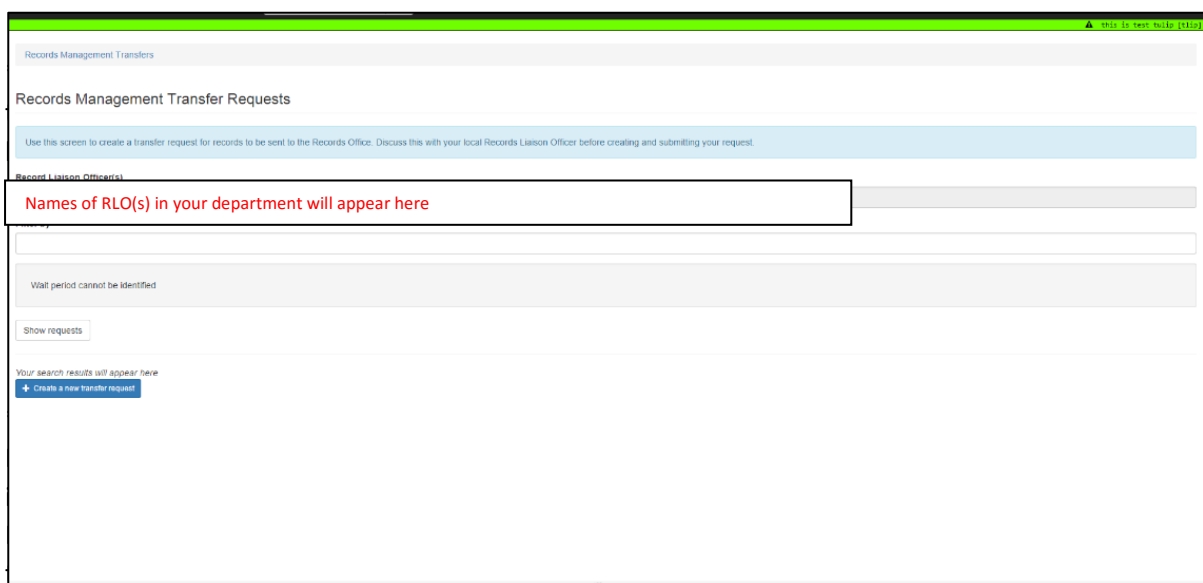
4) HOW TO SEARCH FOR YOUR PAST, CURRENT AND FUTURE TRANSFER REQUESTS

If you need to search for your previous or pending transfer requests to Records Management, you can do so as shown below:

First, log into the TULIP database and from the Records Management menu, select “Search Records Management Transfer Requests”:



You will be taken to this screen:



5) REQUESTING AN ISSUE

If you require a file or box to be temporarily returned to you, you should contact your departmental RLO to arrange this for you. If your department does not have an RLO or you are unsure who it is you should contact Records Management directly on x45675 or recman@liverpool.ac.uk, and we will arrange the issue of the records.

6) RETURNING AN ISSUED RECORD

When you want to return a box or file that you have had issued to you, you should follow the same advice as above and either contact your departmental RLO or the Records Management team directly on x45675 or recman@liverpool.ac.uk, and we will arrange the return of the records.