RLO- RECORDS MANAGEMENT TULIP DATABASE – PROCESSES

For RLOs without review rights, please ignore sections 8+9

1) LOGGING INTO THE RM DATABASE
2) CREATING A TRANSFER REQUEST
3) FILLING IN YOUR TRANSFER LIST
4) HOW TO SEARCH FOR RECORDS
5) SEARCHING FOR PAST OR PENDING TRANSFER REQUESTS
6) REQUESTING AN ISSUE
7) RETURNING AN ISSUED RECORD
8) REVIEWING YOUR RECORDS
9) MULTIPLE REVIEWS

IF YOU HAVE ANY QUERIES OR NEED ASSISTANCE WITH ANY OF THE BELOW PROCESSES
PLEASE DON’T HESITATE TO CONTACT THE RM TEAM ON x45675 OR RECMAN@LIVERPOOL.AC.UK
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 (see section 1) and select “Request Records Transfer”:

From this screen, click “Create a new transfer request”, if you are looking for a previous request see section 5:
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.
Fill in the transfer request screen:

The transfer request will now be automatically assigned a consignment number (this is visible at the top of the screen). You may want to make a note of this to track the records you send for storage, or when liaising with the RM team.

If you are unsure how many bags or boxes you may have to collect, please overestimate - this can be amended later if necessary. Please note that we can only accept a maximum of 25 items per collection slot.

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 necessary.

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:

At this stage 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.

When the Records Management team offer you a date you the contact name for collection will receive the following email:

You are booked in for a collection from Records Management on 29 Nov 2018. 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.

Once you have been offered a collection date you will need to log back into TULIP and into your transfer request and use the buttons to either ‘accept’ or ‘reject’ the date.

If you reject the given date the Records Management team will offer you a new date for collection.
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’:

![Transfer List Tab](image)

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. **You can also find the retention schedule on our website:** [https://www.liverpool.ac.uk/csd/records-management/retention-schedule/](https://www.liverpool.ac.uk/csd/records-management/retention-schedule/). Follow the guidance under the ‘i’ symbol to complete your list.

Once the list is complete ensure you click the ‘submit your list’ button. Once you have submitted the list, and it has been 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. If you need to make changes then you will need to submit a note via the database and the RM team can amend things for you.

**Bear in mind that you can copy boxes if you have more than one with similar details.** *(see example 3 below)*
Example 1- Examination Scripts:

Add a record to the transfer list

Box number: 1

(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

Exam Scripts

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

O  Class X O.21: Examination scripts (i.e. the students’ completed answers)

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 the database and in the meantime can be viewed at www règle pos.ac.uk/records-management/retention-schedule. If you are unsure about class type or class numbers then contact us for help.

Trigger date type

Graduation leave date

Date

31/07/2019

Trigger date

31/07/2019

Action date

31/07/2023

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
Example 2- Financial records:

![Financial records form](image-url)
Example 3- Copying a box:

Ensure that if you copy a box you change the box number/ref, and the trigger/action dates if applicable:
Remember to submit the list when you have finished:

Your name will appear here - this can be changed if necessary
4) **How to Search for Your Records**

If you need to search for some records that you have deposited with us, you can do so as shown below. First, log into the TULIP database and from the Records Management menu, select “Search Records Management Files”:

![Search Records Management Files](image)

You will be taken to this screen:

![Records Management Box Search](image)
Use the fields to search. You do not have to enter information into every field, though the more accurate information you input, the easier it will be to find the box:

If you are searching for a file rather than a whole box, you will still need to locate the box it is in. However, if you don’t know which box this is, you can fill in the “Subfile” field with any words from the title of the file.

If you know the status of your box, this will narrow the search. For example, if you are searching for a box that has been issued because you want to return the records, you can select “currently issued boxes only”. Selecting “all current boxes” will only bring back those still in the Records Centre whereas “All boxes regardless of status” will return every box for your search terms, including ones that have been destroyed or permanently returned to a department.

If you want to view consignments only rather than individual boxes then tick the checkbox at the bottom of the search screen. Alternatively, when you get the search results you can go from the individual boxes to the consignment information by clicking on the consignment number.

Once you have put the information in then press any of the blue search buttons.

N.B. It is usually better to search via this screen than via the transfer request screen as it has better functionality built in.
5) **Searching for Past or Pending 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 then be taken to this screen:

You can use the ‘Filter by’ feature to narrow your search through the requests, or if you simply click the ‘Show requests’ button, you can view all of your previous and pending requests with the oldest being at the top of the first page, and the most recent being at the bottom of the last page.
### 6) REQUESTING AN ISSUE

First, search for the records you need, as above. (see section 3)

If you want to view a whole consignment then you can click the consignment number on the left, if you want to view a box then click the title of the box.

<table>
<thead>
<tr>
<th>No.</th>
<th>Date</th>
<th>Department</th>
<th>Name</th>
<th>Consignment No.</th>
<th>Description</th>
<th>Box No.</th>
<th>Status</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>20000621</td>
<td>01 May 2014</td>
<td>Computing Services Department</td>
<td>Sue Highfield</td>
<td>10556</td>
<td>Nothing issued</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20000602</td>
<td>01 May 2014</td>
<td>Computing Services Department</td>
<td>Michele Alexander</td>
<td>11373</td>
<td>Nothing issued</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20000701</td>
<td>05 Aug 2014</td>
<td>Computing Services Department</td>
<td>RC Audit Drivers</td>
<td>Nothing issued</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20000713</td>
<td>16 Oct 2014</td>
<td>Computing Services Department</td>
<td>Michelle Burns</td>
<td>12045, 12109, 12056, 12053, 12055</td>
<td>Nothing issued</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Showing 1 to 50 of 140 entries
Next, select the box that contains the records you wish to view:

NB Ensure you click the title of the boxes and if you press control as you click on the title of the box then it will open in new tab so your original search results screen is still there. This can be useful if you need to check several boxes.
Click the issues tab at the top of the screen:

Details of previous and current issues will appear on this screen, select ‘request issue’:
The window shown below will then appear where you can enter the details of your request:

[Image of a form]

Your name and contact number will appear here—this can be changed if necessary.

Fill in the details and click “Save”. A member of the RM team will then get in touch to arrange either delivery/consultation of the records.

Please note: all records will be issued for 4 weeks unless otherwise agreed, if you have not returned the files by the return date you will receive automated emails requesting their return. Through liaison with the RM team we can either arrange to return your records (see section 6) or extend the return date.
7) RETURNING AN ISSUED RECORD

You can return records that have been issued at any time by searching for the box number on TULIP and selecting the Issues tab as demonstrated above.

Select “Request return”:

This window will then appear where you should say if the files are being collected or delivered and the date:

The RM team will then get in touch with you to arrange the return of your records.
8) REVIEWING YOUR RECORDS

Whenever a box of records reaches the end of its retention period it will appear on the filter ‘boxes due for review’ on the drop down menu on the Records Management home screen:

Automated emails are now being sent to RLOs to notify them when boxes are awaiting review.
From the search page you can see what records are due for review. To begin the process click “Review”:
This window will open. Use the drop-down menu to indicate which action you wish to take, and click ‘Submit’ once complete:

- If you select “Review”, you’ll have to enter the “New Review Date” (i.e. the new date you want the records kept until). Use the Notes field to state your reasons:
- If you choose to have the records returned to the department or if you choose to offer them to University Archives, you will have to enter your confirmation in the Notes field. **Please note: only select ‘return to dept’ if you want the box to be permanently returned to department. If you only want them to be returned temporarily, please request an issue (see section 6.)**
- You can refer the review decision to this member of staff. Select “Refer for Decision”, then use the drop-down menu to select their name and department. You can use the Notes field to send them a message about the referral.
- If you approve the destruction of the records in line with the suggested retention period stated in the Retention Schedule, select “Destroy”. In this case, the Notes field will be filled automatically but you can add further information if required, for example you should reference the email from the department giving authority to dispose of the records.
Once submitted the box will now disappear from the boxes due for review screen (once refreshed). It will now appear under the filters ‘Due for, or currently undergoing review’:
9) **Multiple Reviews**

To review more than one box at once (if they are the same information to be added, for example a series of the same type of records with the same action and approval information) tick the checkboxes on the right hand side of the screen:

![Checkboxes to select multiple records](image1)

Then go to the top of the screen and press the ‘Review Selected Boxes’ button:

![Review selected boxes button](image2)
It is then the same process but the information and any notes will be added to all the boxes in one go. So only do this if the information is exactly the same for all the boxes you select: