

RM Framework Guidance Document: Archives and Storage

1. Aim

This guidance is aimed at all staff, as well as managers with overall responsibility for managing records. It provides information about current university wide facilities for records storage and archiving. Briefing notes are provided in **Appendix A** for managers to use in meetings, briefings or away days to reinforce key messages.

2. Background

Records Management is all about knowing **what we have, where we have it and how long we need to keep it.**

Most of our records contain a level of sensitivity. They may be commercially sensitive, they may be confidential, and they probably contain personal information. For these reasons it is vital that we keep them stored appropriately and in accordance with the Data Protection Act.

Principle 5:

Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes

Principle 7:

Appropriate technical and organisational measures shall be taken against unauthorised or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data

3. Records Checklist

This checklist will help managers focus on areas of records storage that might need some development.

1. We know what *records* we keep in our School/Department.
2. We have a *retention schedule* for the records we keep.
3. We routinely destroy records that reach the end of their *records lifecycle*.
4. We know where our records are stored.
5. We know what records our School/Department keep in the University's Storage Facility.
6. We keep either paper or electronic versions of a record.
7. We have enough storage space to keep our physical records in a systematic and organised order.
8. We keep our physical records in lockable cabinets and storage rooms.
9. We keep records in appropriate storage containers.
10. We identify records for permanent preservation and send them to Manuscripts and Special Collections.

Definitions in italic are explained in the Records Management Policy (see Records and Information Management webpages) <http://www.nottingham.ac.uk/governance/records-and-information-management/policies-and-guidance.aspx>

If you would like more guidance about how to manage your records then please contact the Information and Records Manager.

4. Records Retention

The University's Records Retention Schedule provides guidance about how long different types of records should be kept. It is a guide. <http://www.nottingham.ac.uk/governance/records-and-information-management/records-management/retentionschedule.aspx>

Schools and departments are responsible for ensuring that their records are retained for as long as they need them. If you would like further guidance about how to apply retention periods please contact Information and Records Manager.

5. University Storage

The University maintains its own in-house records archives and storage facility in addition to the storage spaces that each school or department may have.

a. Manuscripts and Special Collections:

Records that are identified for permanent preservation are managed by Manuscripts and Special Collections (MSC). There are numerous documents that are identified on the University Retention Schedule that should be transferred to MSC each year. For more information please see:

<http://www.nottingham.ac.uk/governance/records-and-information-management/records-management/records-storage.aspx>

b. Kings Meadow Campus (KMC) Records Storage Facility:

The Kings Meadow Campus Records Storage Facility is an in-house service provided for the storage of its Records. The cost of the service, which includes the collection, storage, retrieval and confidential destruction of University records, does come at a cost to the University, and space is not unlimited. Please only send records to this facility if they are University Records that need to be kept securely prior to their destruction, and electronic storage of them is not a viable option.

Myth: The KMC Records Storage Facility is responsible for your records

The KMC Records Storage Facility keeps storage boxes in a safe and secure environment. It will be able to locate your records on receipt of your records reference number. Under current procedures, if you lose your reference number we will not be able to locate your records. Records owners are responsible for managing their own records and for keeping their storage reference numbers secure. **Question: Does your School or Department know what Records it has sent into the Storage Facility?**

Myth: Records can be kept permanently in the Records Storage Facility.

Records will no longer be accepted into Records Storage without a Destruction Date. Records that reach their destruction date **will be destroyed at their destruction date** unless you tell us not to in advance. If you think that they should be permanently preserved as part of the University Archives please discuss this with Manuscripts and Special Collections.

6. Recommendation

It is recommended that each School/Department have nominated staff members who are responsible for records within the Records Storage Facility. If any of these staff members leave their position then the School or Department can easily manage the transfer of reference numbers and ownership to a new member of staff.

7. General Staff Guidance

All staff have responsibility for records. Follow these tips to ensure you are managing them appropriately.

Top Ten Tips: Archives and Storage

1. **Keep Filing Cabinets Closed:** they protect records for longer in the event of a fire
2. **Lock your Records Away:** don't leave keys or passwords out on display
3. **Have a Clear Desk Policy:** don't leave records on display when you leave your desk
4. **Consider Electronic Records:** paper records can't be backed up and recovered
5. **Don't Duplicate:** if you keep electronic records, why do you need a paper version?
6. **Don't keep for longer than you need to:** use your retention schedule, if you don't know – ask!
7. **Identify records for permanent preservation:** send to Manuscripts and Special Collections
8. **Preserve your Records:** use suitable labelled boxes and do not overfill. Protect digital media from magnetic fields, sunlight and use protective cases/jackets
9. **Keep Storage Areas Neat and Tidy**
10. **Securely dispose of unwanted records:** consider shredding or other means, do not leave out piles of sensitive data – lock away, or even better shred straight away.

8. News Update

The Records Storage Facility is currently undergoing review to ensure it is able to meet the University's needs and customer satisfaction. We will keep you informed of changes and an updated policy and operating procedures will be produced and circulated in the New Year.

To assist with records retention, suggested retention guides for student and staff records will be cascaded in the New Year.

Appendix A: Archives and Storage Briefing Notes

1. The University Records Management Framework focuses on a different Records Management topic each month. This month we are looking at **Archives and Storage**.
2. All guidance and information about Archives and Storage can be found on the **Records and Information Management** webpages, which can be accessed from the University homepage.
3. This month all staff have been provided with **Top Ten Tips** which provides guidance about how records should be stored. This is a common sense approach that should be relatively easy to follow and enforce. Please can you make sure you have read this top ten and try and encourage your staff and colleagues to follow them. For example, the clear desk routine.
4. There are some **important points** that have come out from this guidance:
 - a. Responsibilities: The University Records Management Policy clearly lists what our responsibilities are. Essentially this means that we are all responsible for the records we manage.
 - b. New Storage and Archives Policy: A new policy will be implemented soon about the KMC storage facility. No records will be accepted into the facility without a destruction date. Records that are currently in the storage facility will be confidentially destroyed by the storage staff when the records reach their destruction date unless we contact them in advance.
 - c. Manuscripts and Special Collections: There is some guidance on the webpages about Manuscripts and Special Collections (MSC) that lists the types of records that should be sent here and not to the KMC Storage Facility. Please can you make sure you are sending your records to the appropriate location. If they are records for permanent preservation, they need to be sent to MSC.
 - d. Electronic Scanning of Records: Whilst there are currently no preferred suppliers for the scanning of electronic files, keeping electronic records rather than paper records does have some clear benefits. Please read the guidance about this. (you may want to read this as part of your briefing too).
5. **Training**. If there is anything in this month's guidance that you are unsure about and feel that you would benefit from some training on, then please let the Records Officer know. If there is enough appetite, then centrally run courses can be facilitated to support this.
6. **The topic for next month is Data Protection**. Please note that if you have any suggestions for a monthly topic then please let the Records Officer know.
7. **Questions?** If you have any questions please can you make a note of these and pass them back to your Records Officer who can then update the Records Manager about them.