APPENDIX F
Service Instruction 0687
Preparing and Transferring records to the RM Archive Store – Vesty Building

"An Excellent Authority"

Document Control

Description and Purpose

This document will provide guidance on the steps required for the preparation and transferring of records to the Records Management archive store.

Active date	Review date	Author	Editor	Publisher
16/06/2011	01/11/2014	Jean Crimmins	Deb Appleton	Sue Coker
Permanent	x	Temporary		If temporary, review date must be 3 months or less.

Amendment History

Version	Date	Reasons for Change	Amended by
V.2	16/06/2011	Amendments to process	Catherine Galvin
V.3	30/05/2013	Merging of SI 0687 and 0733 and amendment to Author, Editor and Publisher,	Jean Crimmins

Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)

Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location
Y		19/04/2011	Catherine Galvin	

Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location

Related Documents

Doc. Type	Ref. No.	Title	Document location
Service Instruction	0438	Data Protection Instructions	Portal
Service Instruction	0433	Retention of Records	Portal
Policy	N/A	Information Security and Governance Policy	Portal

Contact

Department	Email	Telephone ext.
Strategy and Performance	strategyandperformance@merseyfire.gov.uk	4474/4479

Target audience

All MFS	X	Ops Crews		Fire safety		Community FS			
Principal officers		Senior officers		Non uniformed					

Relevant legislation (if any)

Data Protection Act 1998.
Freedom of Information Act 2000.
Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000.

1.   Introduction

This document will provide guidance for the management and control of paper based records and how to prepare records for transfer to the records management archive store. Prior to the preparation of records for transfer please ensure that you read and understand Service Instruction **SI 0021 Manual Handling**.

Records Definition

The ISO 15489: 2001 records management standard defines records as information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. Records series are those file units or documents kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

Data Protection Act 1998

You must adhere to the principles of the Data Protection Act 1998. Any employee acting outside the requirements of the Authority's Information Governance and Information Security Policy and SI 0435 Data Protection maybe subject to MFRA's disciplinary procedures. Breach of the Data Protection Act 1998 may also result in legal action.

Individuals whose information is held and processed by MFRA can be assured that MFRA will treat their personal data with all due care. It is possible that other legislation may (at times and under certain conditions) override Data Protection law.

Information security of records is addressed in the Data Protection Act 1998, Principle 7 of the Act states:

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

MFRA has implemented appropriate security measures as required under the Data Protection Act 1998. In particular, unauthorised staff and other individuals are prevented from gaining access to personal information. Appropriate physical access to the stores area is in place with visitors being received and supervised at all times within MFRA offices where information about individuals is stored. Your responsibilities under the Act and in relation to access to the RM store are as follows:

- You must **NOT** access information pertaining to individuals without appropriate authority
- You must **NOT** allow unauthorised staff or other individuals access to personal information;
- You must ensure records containing personal data are transferred to the RM store securely; this may include use of service vehicles to transport boxes.

2.   File management

File management will help control and organise paper records, ensuring records are easily located when required. Keys to good filing practices are filing only what you need to file, filing it in a way that facilitates access and disposition, and doing it consistently. Benefits of file management include:

- Reduction of lost/missing information

- Promote filing efficiency

- Comply with legal requirements e.g. Data Protection Act 1998 and Freedom of Information Act 2000.

2.1   Organising records

Before placing records into archive boxes, ensure they are organised into records series. As part of the classification process records series have been identified for each function. People responsible for records will also need to consider if records are ready for transfer to archive storage. Records should only be transferred to storage when they become inactive.
.

2.2   Process

Take the following steps to ensure records are prepared correctly for storage.

- Split bulky items into smaller manageable files by creating volumes, which are easier to work with.
- Describe records in a meaningful way.
- When using dates, use a standard date format e.g. DD/MM/YYYY, be consistent;
- Do not use post-it notes to reference a record/document/file, they will fall off;
- Do not overload folders, the records will become damaged;
- Avoid using boxes as folders, paperwork should be batched together and placed in a file/folder or envelope and clearly labelled before it is placed in a box.

3. Boxing, Labelling and Depositing records

Records must be placed in archive boxes for storage at Vesty records management store. The standard archive box is available to order from **Supplies Team Solutions** product no **646-2237** for a pack of 10. Implementing a standard size archive box will ensure maximum capacity of the racking system.

3.1   Preparation of Records

Take the following steps to ensure records are prepared correctly for storage:

- Do not overload boxes – maximum of 16kg per box. If necessary weigh each box. See figure 1 below, the box has been packed correctly. The contents are neatly packed, allowing easy access to the contents. Figure 2 has been packed **incorrectly**.
- Ensure box handles are not obstructed.
- Archive boxes will be stacked on top of each other, two boxes high, when in storage. It is important that the boxes are not over-packed and the lid can fit on top of the box without causing damage to the contents.

- Store like records together, e.g. the same series of records or related series. This will make the retention review process easier to manage as those records will very likely have a similar retention period.
- Do not write personal or confidential information on any part of the box.
- Do not attach indexes or contents lists to any part of the box.

Figure 1 – packing boxes - correct example.		**Figure 2 – packing boxes - incorrect example.**
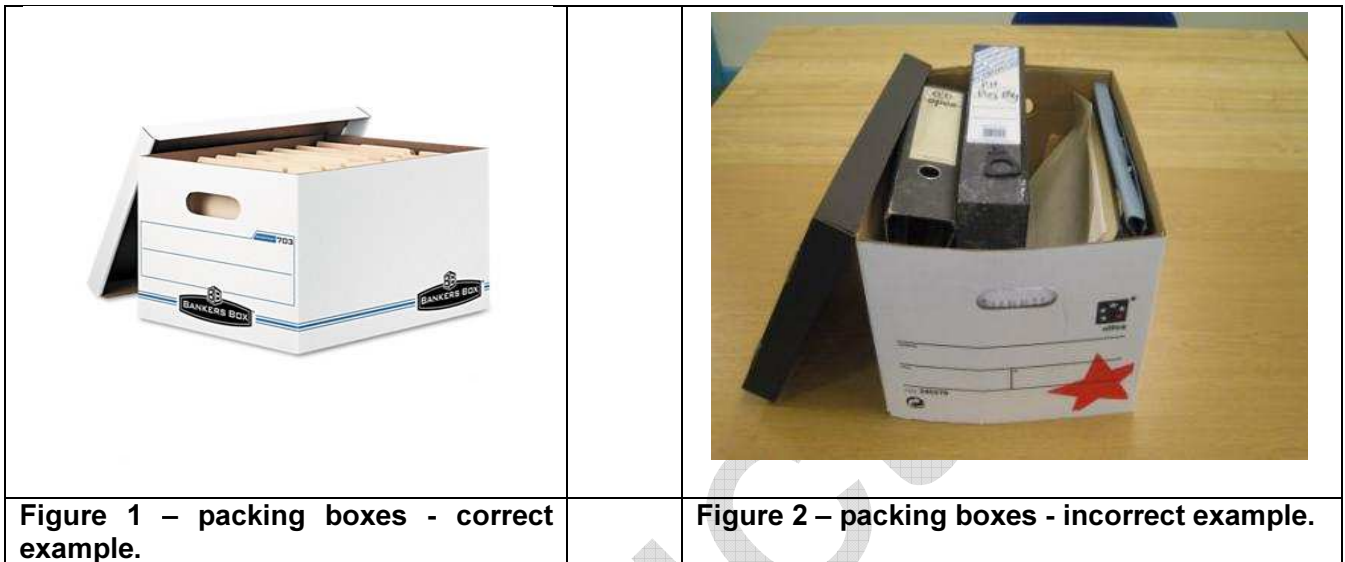
3.2 Labelling boxes

Ensure boxes are labelled to display minimal information only, see figure 3. This information can be **written on the box or printed on a label** that is attached to the box. Place the label or write the information on one of the short sides of the box.

Figure 3 – example box label information

Function:	XXXXXXX
Team:	XXXXXXX
Series description:	XXXXXXX
Box no:	XXXXXXX
Review date	DD/MM/YYYY

Take the following steps to ensure records are correctly labelled:

- Uniquely number each box, record the box number on the index, see figure 3.
- Do not write the contents of the box on the outside of the box. The records series title should be sufficient.
- Do not write personal or confidential information on any part of the box.
- Do not attach indexes or contents lists to any part of the box.
- Write the date the records are due for review, this can be calculated by adding the retention term to the current year, e.g. 6 yrs retention term added to the date 15/06/2011 will produce a review date of 16/06/2017.

3.3   Depositing boxes

- All records must be transferred to a standard archive box. Boxes are available to order via a stationery request.
- Boxes must be delivered and collected in person from the RM store and by prior arrangement with Stores staff. The internal post system **must not** be used to deliver records to the Vesty building.

- Special arrangements can be made to access the RM store for audit purposes or to review records for destruction. You **MUST** contact the Corporate Information Sharing Officer to arrange this: recordsmanagement@merseyfire.gov.uk.
- Stores staff will check deposited boxes to ensure they have been allocated a unique box reference number and that they have been prepared in accordance with Sections 1 – 5 of this Service Instruction

- Boxes that have **NOT** been prepared correctly will not be accepted for storage. You will be asked to remove the boxes and to prepare the boxes in according with Sections 1 – 5 of this Service Instruction. Once this has been completed you may resubmit the boxes for storage by contacting Stores team.
- The responsibility for the contents of boxed records lies with the record owner. If records are removed or added to a box, it is the responsibility of the record owner to update the RM database to reflect the changes.

4.   Records Management (RM) Database

This section of the Service Instruction will provide guidance on how to transfer records to the records management (RM) store based within unit1, Vesty Building. Prior to the physical moving of any paper based information (manual handling), and in the preparation of records for transfer, please ensure you read and understand Service Instruction **SI 0021 Manual Handling**.

A database has been created to index MFRS business records. The RM database issues a unique number to each box containing records. The RM database will manage requests for boxes from storage. Access and training is required before you are able to access the RM database. Contact the Corporate Information Sharing Officer to arrange access and training: recordsmanagement@merseyfire.gov.uk. For further information see the Records Management link http://intranetportal/sites/kim/recordsmanagement/default.aspx

5   Records Management (RM) Store

- o The RM store houses inactive and closed MFRA records on high-density mobile shelving.
- o The RM store is located on first floor, unit 1 Vesty building. The RM store operates between the following hours:

Monday – Friday 8.00am to 5.00pm
Saturday and Sunday - closed
Bank holidays – closed

Access to the Vesty building is by access card. However, access cards will **NOT** be provided to visitors to the Vesty building. Access must be arranged in advance with Stores staff. Contact Stores staff immediately after making a request via the RM database. Stores staff will confirm a date and time when you can access the RM store. Contact details are:

Email: stores@merseyfire.gov.uk

Contact telephone no: **4554**

- Access to the RM store is restricted to **Stores staff** only.
- When accessing the Vesty building you must ensure you sign in when entering the building and sign out when exiting the building. Please ensure your MFRS ID badge is clearly visible.
- You will be met by a member of the Stores team who will **escort** you to the RM store.
- Use of service vehicles is recommended when delivering and collecting boxes from storage.

Requesting a box from storage

- Boxes must be requested from storage via the RM database.
- You must follow up the request with a telephone call to the stores team, to arrange a suitable time for collection.
- Requested boxes must be collected from the RM Store in person and by prior arrangement with Stores staff. Boxes will be held for a minimum of **2 days** in the holding area. If they are not collected they will be returned to storage.
- Upon collection you will be asked to confirm receipt by signing for the boxes.
- Requested boxes will be checked out to you in the RM database.
- The Corporate Information Sharing Officer will review records that have been checked out for more than **3 months** and an email issued to the holder to confirm the current holder and location of the records.

Returning a box to storage

- A request must be made via the RM database. Records **MUST NOT** be returned via the internal post system.
- You must follow up the request with a telephone call to the stores team, to arrange a suitable time for delivery;
- You must quote the unique box reference number to return a box to storage. Boxes must be returned to the RM store in person and by prior arrangement with Stores staff. Boxes must be returned within **7 days** of making the request.
- Boxes will be deposited in a holding area and will be checked to ensure they have been allocated a unique box reference number and that they have been prepared in accordance with Sections 1 – 4 of this Service Instruction
- Upon completion of these checks a receipt will be issued to you confirming receipt of the boxes by Stores staff.
- The boxes will then be placed in storage and the RM database will be updated with a location code.

6   Out of hours access – urgent requests

There will be no routine facility for requests for archived records outside of normal core hours. Record owners who may require such items at such times e.g. weekends or bank holidays should make a request during the working week so that every effort can be made to meet this request.

However in extenuating circumstances when access is required urgently this can be achieved by contacting **Mobilising & Communications Centre (MACC)** who will contact the on call key holder for unit 1 Vesty Building to pass on your contact details and arrange their attendance to access the RM store. The on call key holder will arrange to access the RM store to locate the requested item. You must ensure you advise the on call key holder of the unique box reference number(s) you require.
At the next available working day, follow the guidance in section 5 and request the record in the normal way as this will provide an audit trail for the requested record.

7.   Destruction of Records held in the Stores RM Archive Area, Vesty Building

For guidance on the secure destruction of records held in the Archive Area, Vesty Stores please see Section 8 of Service Instruction 0759 ' Destruction of Information Assets (Including Protectively Marked Information)

Related policies and Service Instructions:

STRPOL09 Information Governance & Security Policy.
SI 0437 Freedom of Information requests and Publication Scheme
SI xxxx CCTV Use
SI 0759 Destruction of Information Assets (including protectively marked document)
SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.
ICTPOL03 Acceptable use policy
SI0703 Internet Access and Usage
SI0699 Using Social Media
SI0730 Email
STRPOL (to be agreed) – Protective Security Policy – in draft
Protective Marking SI in draft
Personal Security SI in draft