

Document Title	Archiving Policy – Paper Records
Type of document	Corporate
Brief summary of contents	<ul style="list-style-type: none"> • Guidance for staff in archiving records • Process for onsite and offsite archives • Correct storage guidance
SLT member responsible for policy	Executive Director of Strategic Planning & Corporate Services
Date written	6 th January 2020
Date last revised	17 th January 2023
This document replaces	Not applicable
Approval route/consultation	Department Head, SLT member
Head of Department (HOD) responsible for policy	Kelly Condon
Author of policy	Department Head
Contact details	DPO@rnnngroup.ac.uk
Publication location	Public and portals
Date of final approval	7 th January 2020
Date policy becomes live	8 th January 2020
Review period	Annual
Links to external standards	The National Archives Information and Records Management Society
Related documents	<ul style="list-style-type: none"> • Archive Process Flowchart • Data Retention Policy • Data Retention Schedule
Keywords	Archiving, Data, Documents, Paper Records, Privacy, Retention
Training needs	Data Protection

This document is only valid on the day of printing

Controlled Document

This document has been created following the RNN Group policy production guidelines. It should not be altered in any way without the express permission of the author or HoD detailed above.



Archiving Policy – Paper Records

Version 1.1

17th January 2023

Version Control Table

Date	Version No	Summary of Changes	Changes Made By
6 th January 2020	1.0	Birth of policy	Ian Headley
17 th January 2023	1.1	Minor changes to process and annual review. Amendment to department name.	Kelly Condon

All or part of this document can be released under the Freedom of Information Act 2000

Table of Contents

Section	Description	Page
1	Purpose, Scope and Users	5
2	Roles and Responsibilities	5
3	Boxing Records	5
4	Onsite/Offsite Archiving	6
5	Archiving Records - Offsite	6
6	Retrieval of Offsite Records	7
7	Contacts	7
8	Linked Policies and Guidance	7

Appendices

Appendix	Description	Page
A	RNN Group authorised archive label	8
B	Paper records flowchart	9
C	Box filling	10

1. Purpose, Scope, and Users

- 1.1 The intention of this policy is to provide clear instructions to all RNN Group (hereinafter referred to as the Group) Staff regarding the appropriate retention and disposal of paper-based records via an agreed archiving process.
- 1.2 For the purposes of this policy Staff shall be deemed to include “designated senior post holders” as defined in the Corporation’s Articles of Governance and those newly appointed and in their probationary period. It shall also include all RES employees and workers, external agency staff, contractors, volunteers, student teachers and those undertaking work experience.
- 1.3 The policy is also intended to aid paper records storage issues identified at various Group sites and to eliminate the need to retain paper records unnecessarily.

2. Roles and Responsibilities

- 2.1 It is the responsibility of all Group Staff to ensure that paper records are filed and archived correctly and all employees have a duty to keep personal information safe which is defined within the Data Protection Act 2018, further details can also be found within the Group’s Data Protection Policy.
- 2.2 The policy relates to all paper-based filing systems, not just those containing student information.
- 2.3 It is the responsibility of the Information Governance and Assurance (IGA) team to maintain the central register of archived records and issue the appropriate boxes and labels for official archives and to approve offsite storage.
- 2.4 The IGA team will also manage the internal process of collection and storage throughout the Group’s approved onsite storage locations.

3. Boxing Records

- 3.1 In addition to any Group policy and/or guidance regarding the maintenance of student, Staff or other client paper-based records or other filing systems, it is good general office practice to weed out, destroy, or archive, unnecessary paperwork on a regular basis.
- 3.2 Before any archiving process is implemented, whether on or offsite, all collections of paper forming a file must be checked for duplicates to ensure that the minimum number of documents are kept. In addition, only documents considered essential to the file should be kept.
- 3.3 Any duplicates identified must be destroyed in local confidential paper disposal facilities or by other appropriate confidential methods e.g. shredding.
- 3.4 All remaining documents must be correctly filed according to any departmental procedures. The file must not contain loose papers unless the file is to be sealed.
- 3.5 Each file placed within an archive box, must be clearly and appropriately labelled with details of the file content and the agreed review/destruction date as a minimum. An example of the authorised label for the archive box can be located in Appendix A, the labels themselves can only be issued by a member of the IGA team. Refer to the Group Data Retention Schedule for appropriate destruction dates of records.
- 3.6 In some instances, it is usual practice within the Group for paper files to be archived on the premises and it is assumed that filing space has been allocated for this purpose for all closed files that need to be retained. In areas, however, where storage of records is

limited, offsite storage will be required. It is the aim of this policy to guide Staff through the process of archiving correctly, particularly in relation to offsite storage.

4. Onsite/Offsite Archiving

- 4.1 Where space is limited, it may be necessary to archive paper records away from the premises. The Group has therefore arranged for access to an archiving service based in Thurcroft, which is run by Chandlers Archive.
- 4.2 It is extremely important to note that each box of records that is sent to offsite storage has a cost implication to the Group, in terms of the cost of processing the box, the cost of storing the box for the agreed retention period, and the cost of retrieval or destruction.

5. Archiving Records

- 5.1 In all cases identify the documents that need to be kept in accordance with the Group Data Retention Schedule. Remove all duplicates and any unnecessary documents.
- 5.2 Obtain the agreed official archiving boxes and labels by contacting the IGA team on ext. 4666, see Appendix B for the process flowchart.
- 5.3 When commencing archiving, secure papers with treasury tags, or place in appropriately labelled envelopes. Do not use staples, paper clips or rubber bands as these can rust or perish.
- 5.4 When filling the box, itemise all the records that are to be placed in the box on the departmental spreadsheet, should this be necessary, the Group central record of archive will be maintained by the IGA team.
- 5.5 Do not mix types of records or years, keep one type of record to one box, wherever possible.
- 5.6 It will be necessary to identify how long the archived records need to be kept and a disposal date will be added to the label, see Appendix A. To identify retention and disposal arrangements use the Group Data Retention Schedule that can be located within the IGA web pages on the Group website.
- 5.7 In all cases the archive box should contain a list of each set of records that is in the box.
- 5.8 Make sure that the box is not overfilled or too heavy as detailed in Appendix C. The maximum weight for Health & Safety purposes is 13 kg. Lie documents flat in the archiving box, as standing documents upright puts excess strain on the sides of the box and causes it to become misshapen so the lid will no longer fit, only fill the box up to bottom of the handle hole.
- 5.9 Once the box is full and a list of the contents has been put inside the box, parcel tape must be used to seal the box by taping around the lid and across the top of the box. Place an archiving label at the short end of the box where it is printed 'box reference', see Appendix A and Appendix C.
- 5.10 When boxes are ready to be collected, contact the IGA team who will arrange collection.
- 5.11 Boxes that are not appropriately filled or labelled will be refused collection.
- 5.12 In cases of offsite Storage – the IGA team will liaise with the offsite storage contractor to arrange collection.

6. Retrieval of Offsite Records

- 6.1 If the records for retrieval are required urgently, delivery can be arranged for the same day, or alternatively, the retrieved record can be collected in person (subject to prior arrangement and agreement). However, bearing in mind the costs involved, retrieval will normally be delivered via the Group contractor the next working day or a specified day of the week.
- 6.2 Where offsite records have been approved, the IGA team will have advised the contact details for the approved archive contractor to the relative department. When records are recalled, the IGA team should be made aware that records will be returning to site.
- 6.3 Records should be returned to the offsite contractor as soon as practicable and the IGA team informed accordingly.

7. Contacts

- 7.1 Information Governance and Assurance team – Internal 4666, external 01909 504666
- 7.2 Chandlers Archive - 01909 561835

8. Linked Policies and Guidance

- 8.1 Policies and guidance linked to this policy:
 - Data Protection Policy
 - Data Retention Policy and Schedule

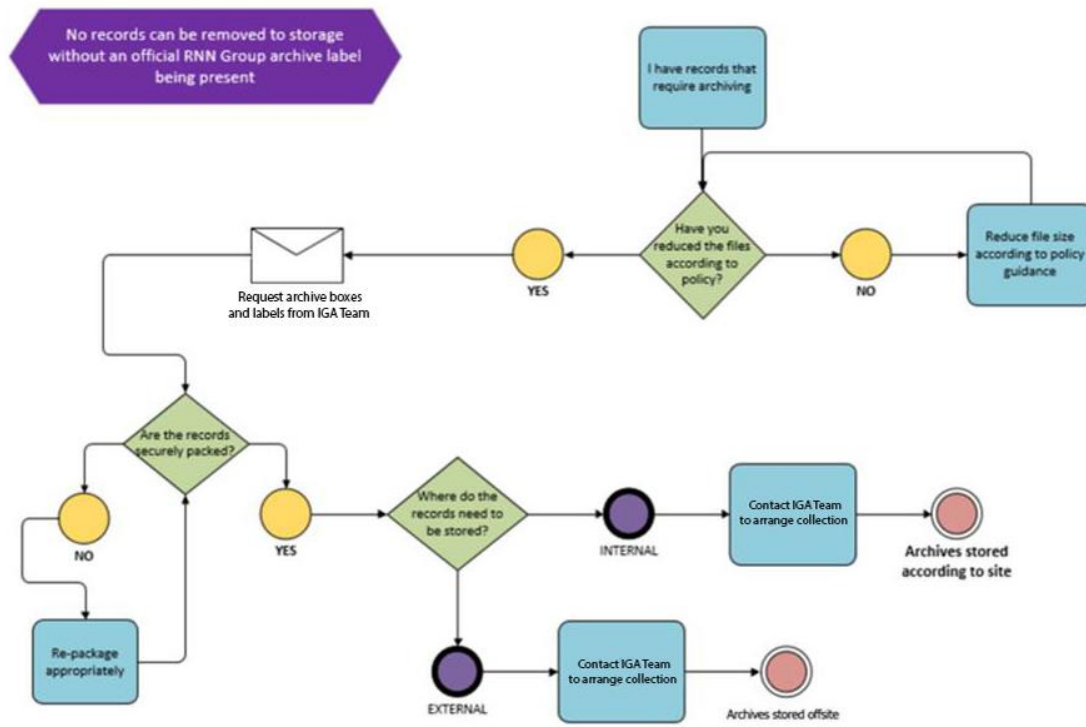
Appendix A



Authorised Archive Records

Department	
Contact	
Contents	
Box Number	
Destruction Date	

Appendix B



Paper Archives



Box Filling

Label to be placed at the short end of the box (as pictured)



Do not stand files upright, as this puts pressure on the sides, which bulge and prevent a lid fitting correctly.

The lid must fit onto the box

Do not over fill above the handle holes



Just Right

Lay files flat in the box and fill up to the handle holes

Maximum weight per box is 13kg

Once your box is full put a list of the contents inside the box, then use parcel tape to seal the box by taping around the lid and across the top of the box.