Establishing consistent procedures is essential in ensuring that records are managed as per legal, regulatory and operations requirement and that services are consistent. This document includes some of the considerations commonly included in planning to operate record storage locations.

There are a number of factors to consider:

On Premise	Cloud	Lifecycle Management	Format	Access

This document walks through services for on premise paper-based information but an expanded conversation needs to happen when the information is electronic. If you need more information related to cloud storage or other electronic assets reach out to OCIO or your IT-support team to start the conversation. OCIO has published a number of materials including a number of FYIs (Managing Digital Online Services and Cloud Based Storage Services).

Services

Based on the services that will be offered, develop any required procedures. This may include the following.

Records processing and retrieval services:
— How will records be received?
— What activities will staff perform to catalog and process records?
— How will staff identify records ready for disposal?
— How will staff prepare boxes for transfer to offsite storage?
— How will employees request files or records?
— How will requests be tracked and processed?

⸺ Who will retrieve files?

⸺ How will returns be re-filed?

⸺ How will returns be tracked?

Mail/Fax Services:

⸺ The storage location may be used as a central point for information flow. Centralizing mail and courier processing ensures that IM is engaged at the point that information first reaches the department. Mail services can be as simple as tracking and logging mail or more detailed in that mail is scanned and routed to recipients.

Recall service for offsite records:

⸺ How will users request a recall?

⸺ How will staff process a recall?

⸺ How will recalled records be physically transferred to users?

Document scanning or printing:

⸺ Instructions on the development of this process are included in the OCIO *Guideline Developing Scanning Services.*

"Keep in View" (KIV) file service:

⸺ How will users request a KIV?

⸺ How will staff process a KIV?

⸺ How will KIV records be physically transferred to users?

Operations

Operating procedures relate to the way that staff manage the use of the location.

Ongoing Education and Awareness:

⎯ Ensure that all staff understand their role in the operation of the facility. Reinforce roles with periodic procedure review and testing.

Performance reporting:

⎯ Based on the types of services offered, determine how staff will track their performance. A spreadsheet for example can be used to track request processing including the date, volume, processing time, etc. This can be used to support the overall IM program reporting requirements.

After Hours Support:

⎯ Depending on the criticality of the records and the nature of the business, support may be required outside of core business hours. Define a process for after-hours support that includes:

o Under what circumstances support will be provided

o How users make an after-hours request

o Anticipated turnaround time

Office Closure Routine:

⎯ Establish a routine for closing the facility each day. Provide a checklist for staff to ensure that the closure process is adhered to consistently.

Assessment:

⎯ A physical assessment should be scheduled periodically to ensure that there are no physical risks to the storage location. Prepare a checklist identifying the frequency points of review for the manager and staff.

Security

Access:

—— Access to the facility should be restricted to authorized staff. Maintain a contact list of staff that have access to the facility. Indicate contact information, whether they have keys, etc.
—— Determine whether key card access via government issued identification badges is possible or required.
—— Maintain a key tracking log that records all keys and to whom they have been assigned (e.g. spare key xxx has been assigned to the summer student).
—— Will the facility have an alarm system? If so, prepare instructions for its daily use including contact numbers, when the alarm is set, how to turn on/off, etc.; Alarm system should have the capability of reviewing environmental conditions.

Visitor procedures:

—— Will visitors be allowed to access the centre? It is likely that there will be times that maintenance and support staff will need to access the centre.

After hours sign in/out sheet:

—— Maintain a listing of staff, contractors, maintenance people that access the centre outside of operating hours. This should be located on or near the entrance.

Security Audit:

—— A periodic walkthrough of the storage facility is required to validate that security procedures are adhered to and that there are not potential security issues.