

Instruction for managing paper archives at the VU

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Related to	- Procedure for the destruction of paper archive material; - Instruction packaging paper archive material.
Intended for	Employees of faculties and departments that manage documents and archives
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Preface

■ Reason for the instruction

In 2016, the Institutional Affairs department took the initiative for the DigiDoc Program. This program aims to renew the document and record management of the VU. One part of this is the cleaning up of the paper archives of the departments and faculties. This takes place within the Project VU archive.

The DigiDoc Program developed this instruction in accordance with the Policy of the organization for managing the document and records of the VU. The Document Management en Archives department (BZ/DMA) is the owner and point of contact for this instruction

■ Purpose of the instruction

This instruction provides handles for clearing paper documents and files in cabinets and archive rooms of the faculties and departments. The instruction outlines the activities that are necessary for this, and indicates who is involved at what time.

The activities ensure that the paper archival material that has to be kept for a period of time, or even permanently, is stored in an orderly and safe manner, and that the material that can - and therefore must be - destroyed immediately, is actually destroyed.

■ Application

The instruction focuses on the paper archive material of the faculties and departments.

■ Users of the instruction

Employees of faculties and departments that manage documents and archives, these employees select, edit and destroy archive materials. They also transfer archival material to the DMA department.

Faculties and departments can decide to have the activities be carried out by external hiring instead of their own employees. DMA can advise on the specialists to be deployed and the suppliers to be approached.

■ More information

Appendix 1 gives the definitions of the terms underlined in the text.

Questions about the content and application of this instruction? Contact the DMA department, Mirjam Brouwer, m.a.brouwer@vu.nl, 06 111 78 456.

Activities to be carried out

There are five activities that must be carried out consecutively:

Activities	
1	Selecting <u>archive material</u> for storage or destruction.
2	Destroying of directly destructible material.
3	The processing and storage of material to be stored temporarily.
4	Preparation and <u>transfer</u> of materials with a statutory permanent retention period and VU heritage, older than 15 years.
5	The preparation of materials with a statutory permanent retention period and VU heritage, younger than 15 years.

The text below mentions the goals, the steps to be taken and the results to be achieved for each activity.

Activity 1. Selecting archive material for storage or destruction.

Goals	1) Putting together the paper <u>archive material</u> in 3 separate collections: - collection 1: instantly destroyed; - collection 2: stored temporarily; - collection 3: materials with a statutory permanent retention period and academic heritage VU. 2) Assigning <u>years of destruction</u> to the material that must be stored temporarily (collection 2). As a result, this material can be destroyed at the right time in due time.
Implementation	Splitting the paper <u>archive</u> to three collections, based on the retention schedule that applies to the material. The employees of the faculties and departments check whether the present document or dossier is included in the schedules, assign the retention period and place the materials – given the retention period and the start date of this period- in one of the three collections. When in doubt, contact the DMA department, Mirjam Brouwer. If, in addition to paper documents, the employees also encounter other materials, such as microfiches, audiovisual material (video and audio tapes, cassette tapes, etc.) or digital file carriers (floppy disks, CD-ROMs, external hard disks, DVDs, etc.), then they provide this material with accompanying information wherever possible and contact the DMA department.
Results	The paper <u>archive material</u> is placed together in three separate collections.

Activity 2. Destroying directly destructible material.

Goals	1) Obtaining permission for the destruction of the directly destructible material (collection 1). 2) Destroying the material for which permission for the destruction has been given. 3) Capturing some data about the destruction.
Implementation	Approving of the destruction of the directly destructible material (collection 1), the destruction itself and the recording of data about this destruction is done on the basis of the Procedure for the destruction of paper archive material .
Result	The directly destructible material has been effectively destroyed in the correct manner. Permission has been given for this. Data on the destruction is documented and archived.

Activity 3. The processing and storage of materials to be stored temporarily.

Goals	1) Organizing the material that must be stored temporarily (collection 2). 2) Packaging this material correctly, given the remaining storage period until the destruction year. 3) Securing this material in a lockable room.
Implementation	Step 1 The employees of faculties and departments organize the material that has to be stored temporarily (collection 2). They assemble the documents and dossiers that belong together according to their content and / or destruction year. Step 2 The employees of faculties and departments label and package the material according to the Instruction Packaging Paper archive. Step 3 The employees of faculties and departments transport the packaged material to the (archive) space designated by the DMA department, for storage and management.
Result	1) The material that must be stored temporarily is arranged, labeled and packaged. 2) The material is stored in a safe environment.

Activity 4. Preparation and transfer of materials with a statutory permanent retention period and VU heritage, older than 15 years.

Goals	1) The materials with a statutory permanent retention period and the VU heritage material (collection 3) older than 15 years, prepared in such a way that it can be transferred to DMA. 2) Making the transfer to the archive room(s) designated by the DMA in the correct manner.
Implementation	Step 1 The employees of faculties and departments divide the permanently to be stored material that is older than 15 years, into two separate subsets, namely: 1. the material s with a statutory permanent retention period, to be transferred to the Amsterdam City Archives; It concerns documents and data that have "PB" as a retention period in the Record Retention schedules 2. the VU heritage material, to be included in the collections of the University Library; it concerns documents and data that a) have "PB-AE" as a retention period in the record retention schedule; b) meet the criteria in the VU Heritage record retention schedule Step 2 The employees of faculties and departments prepare the material according to the Instruction packaging paper archive and use the instructions for long storage (≥ 15 years).
Result	The paper material s with a statutory permanent retention period and the paper academic heritage material of the faculties and departments that is older than 15 years, has been prepared for inventory for inclusion in the City Archive of Amsterdam and the collections of the University Library.

Activity 5. The preparation of material s with a statutory permanent retention period and VU heritage, younger than 15 years.

Goals	1) The material s with a statutory permanent retention period and the heritage VU (collection 3) that is younger than 15 years, prepared in such a way that it can eventually be transferred to DMA. 2) The storage of this material in a suitable and lockable room at the faculty or department. 3) Managing this material by faculty or department.
Implementation	Step 1 The employees of faculties and departments prepare the material that is younger than 15 years according to the instruction for the packaging of paper archives and use the instruction for long storage (> 15 years).
	Step 2 The employees of faculties and departments store the prepared material in a suitable space at their own faculty or department.
	Step 3 The employees of faculties and departments follow activity 4 once a year for the transfer of material which is older than 15 years, that can be stored permanently.
Result	The material of the faculties and services that needs to be stored permanently and is younger than 15 years of age has been prepared for inventory for inclusion in the City Archives of Amsterdam and the collections of the University Library.

Appendix 1. Concepts and instruments

■ Concepts

Archive

Archive is the entirety of all archival worthy documents, files and data of a faculty or department.

The archive contains both current and closed cases, and can be divided into physical and digital archives. Physical records can consist of paper documents, but also of photo's, videos, posters and microfiches.

The documents and files belonging to the digital archive are located on network drives, in process support systems and applications for mail and social media, and in systems for storing, managing and archiving digital documents.

Archive material

Papers and digital documents, files and data collections in the archive of a faculty or department.

Archive worthy

A document, file or a dataset is archival worthy when it is:

- relevant to the business operation of the faculty or the department;
- provides evidence that certain actions have been performed and agreements have been made;
- indicates how policies and decisions have been made;
- can be regarded as historical heritage of the faculty and the VU.

The process of determining what the archival worthy material is of a business process is called 'valuing'.

Transfer

Faculties and departments have material s with a statutory permanent retention period. These are documents, files and data that have to be kept 'forever'. After storing this material for 15 years at the faculties and departments, they transfer it to the Document Management and Archive department (DMA). This department prepares this material and then transfers it to the archive repository of the VU, the Amsterdam City Archives.

Selecting

The actual allocation of retention periods or years of destruction to the materials in an archive.

Destruction year

The year in which the storage period of the material has expired and the material must therefore be destroyed. To be determined by adding the storage period of the material to the year in which the document of file was created.

■ Instruments

This instruction for dealing with paper archives refers to the following instruments:

1. Record retention schedules:

- Record retention schedules Education
- Record retention schedule Research
- Record retention schedule Valorization
- Record retention schedule Management and organization
- Record retention schedule Support
- Record retention schedule VU Heritage

2. Procedure for the destruction of paper archive material

This procedure focuses on the destruction of directly destructible material (**collection 1**), in particular on:

- obtaining permission to destroy the directly destructible material;
- the destruction of the material for which permission for the destruction has been given;
- to record data about the destruction.

3. Instruction Packaging Paper Archive

This instruction provides for the proper storage of archival material for the duration of the retention period. Plastic, elastic and metal are removed and the material is packaged in a responsible manner to prevent damage to the archive material.
