



**CAYMAN ISLANDS
NATIONAL ARCHIVE**

PORTFOLIO OF THE CIVIL SERVICE

CAYMAN ISLANDS GOVERNMENT

GUIDELINE 12

NOTIFICATION OF DAMAGED RECORDS

JUNE 2022

1. PURPOSE

The purpose of this guideline is to establish a mandatory framework for public agencies to notify the Cayman Islands National Archive of any substantial damage from natural or manmade disasters to physical public records. Records created, received and managed by public agencies are considered crucial information assets of the C.I. Government, and should be monitored for accountability and good governance. They provide valuable evidence of business operations to agency clients, as well as legal and strategic planning decisions.

Section 6 of the National Archive and Public Records Act (2015 Revision) (NAPRA) specifies that the responsibility lies with “the most senior officer in every public agency to ensure that public records of that public agency – (a) are maintained in good order and condition”, and managed in accordance with the records management standards and disposal schedules drawn up under this Act. Section 11 of the NAPRA goes on to outline the consequences of wilful and intentional neglect which results in the damage, alteration or destruction of public records.

2. SCOPE

This guideline applies to public records in any format, i.e. paper and electronic, and is applicable to all public agencies, including statutory authorities as defined by Section 2 of the NAPRA. Note that the restoration of individual damaged digital records sits outside the scope of this guideline and should be dealt with by the agency’s ICT provider.

3. AUTHORITY

The NAPRA under Section 7, also gives authority for the National Archive, with approval of the Deputy Governor, to “issue standards relating to all aspects of records management by public agencies.”

4. ROLES AND RESPONSIBILITIES

Agency	Responsibilities
Cayman Islands National Archive	<ul style="list-style-type: none">• Verify and witness the disposal of public records.• Monitor and inspect the records and information management (RIM) practices of public agencies.• Provide advice on damage to physical records.• Review requests for authorised destruction of records.
Public Agency	<ul style="list-style-type: none">• Manages records in accordance with CINA issued RIM guidance and Cabinet approved disposal schedules.• In accordance with CINA and Cabinet, develop and implement approved strategies for managing and preserving records over time, including incorporating such strategies in the agency's business continuity plan.• Secure records from the unauthorised or inadvertent alteration, damage or destruction.• Notify the National Archive of any damage to or deterioration of public records.• Take action to protect the records from further deterioration.• Contact the National Archive regarding requests for authorised disposal of public records.
Records Advisory Committee (RAC)	<ul style="list-style-type: none">• RAC reviews and makes recommendations to Cabinet concerning:<ul style="list-style-type: none">○ disposal schedules for public records;○ proposals with respect to the disposal of public records.

5. Protection

To ensure compliance with NAPRA, the National Archive's *Creation, Maintenance and Disposal Records Management Standard* sets out requirements for the long term preservation of physical records. These protective measures will assist with minimising the

risks of damage, and slow the deterioration of hardcopy records. Some of the main considerations include the following:

- location, maintenance and security of storage facility.
- environmental controls.
- shelving and packaging.
- careful handling.

All of the above require public agencies to continuously monitor record storage areas to ensure records are accessible for as long as they are required. There may be instances where unexpected disasters occur. Consequently, protective measures for records should also be incorporated as part of each public agency's Continuity of Operations Plan.

6. NOTIFICATION

It is essential that agencies document substantial damage to any paper records as a means to either undertake remediation measures or pursue the authorised disposal of records which cannot be recovered. Once the damage has been discovered, time is of the essence to stabilise or prevent further damage.

Notification of damage should be submitted immediately in writing to the National Archive, along with images and additional evidentiary documentation, using the *Damaged Physical Records Notification Form* (see Appendix A or contact the National Archive at cina@gov.ky.) Agencies should retain a copy of the *Damaged Physical Records Notification Form* for their records. If damage has occurred as result of a major natural disaster such as a hurricane, the National Archive can also be notified through the procedures of the NEOC.

If a public agency suspects that damage has been caused by mould, it is recommended that following submission of the *Damaged Physical Records Notification Form*, contact the Department of Environmental Health (DEH) to have the presence of mould confirmed. Once DEH undertakes an inspection, the public agency should forward a copy of the DEH report on their findings to the National Archive. For damage to IT equipment and data, contact

Computer Services Department (CSD) or your ICT provider to confirm if restoration is possible.

7. RESPONSE

Upon receipt, the National Archive will process the *Damaged Physical Records Notification Form* and liaise with the relevant public agency on the appropriate actions. This advice will be dependent on the individual incident and level of damage sustained. Note that there may be costs associated with remediation processes, which the public agency may have to cover.

If the public agency wishes to engage a private contractor for remediation services, the public agency should contact the National Archive before proceeding.

8. DISPOSITION

For disposal of physical records and electronic storage media, public agencies should adhere to the National Archive's *Guideline 1: Destruction of Public Records*, and notify Computer Services Department (CSD) via the *Computer Equipment Condemnation Policy* (for core government).

Each agency shall ensure that public records are disposed of in accordance with RIM standards and Cabinet approved disposal schedules. Records should not be prepared for or disposed until the necessary documentation has been verified by the National Archive.

If the retention period (as per approved administrative or operational disposal schedules) has not yet expired, or the records are not covered by an approved schedule, an ad-hoc destruction request must be submitted to the Records Advisory Committee (RAC), through the National Archive.

Note that under section 11 of the NAPRA, it is an offence for a person, without proper authority, to knowingly and intentionally dispose or remove a public record from official custody. Contact the National Archive for further information on disposition.

Appendix A: Damaged Physical Records Notification Form

Prepared by		Date	
Agency		Date of Damage	
Point of Contact		Contact Email and Phone Number	
Location (Street Address /Building/Floor/Room) of Damage/Area			
<div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>Type of Damage</p> <p><input type="checkbox"/> Fire</p> <p><input type="checkbox"/> Smoke</p> <p><input type="checkbox"/> Mould/Mildew</p> <p><input type="checkbox"/> Other _____</p> </div> <div style="width: 48%;"> <p><input type="checkbox"/> Clean Water (Fire Suppression/Roof Leak)</p> <p><input type="checkbox"/> Dirty Water (Sewage/Flood)</p> <p><input type="checkbox"/> Debris/Torn</p> </div> </div>			
<p>Types of Materials Damaged</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p><input type="checkbox"/> File Folders/Loose Papers</p> <p><input type="checkbox"/> Microfilm</p> <p><input type="checkbox"/> Microfiche</p> <p><input type="checkbox"/> Bound Volumes</p> <p><input type="checkbox"/> Other _____</p> </div> <div style="width: 48%;"> <p><input type="checkbox"/> Photographs</p> <p><input type="checkbox"/> Tapes (audio/data/video)</p> <p><input type="checkbox"/> Maps/plans</p> <p><input type="checkbox"/> Film Negatives/slides (Colour or Black and White)</p> </div> </div>			
<p>Replacement/Backup/Salvage (Use additional pages if necessary for explanations)</p> <p>Are Damaged Materials older than 50 years? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Explain _____</p> <p>Are Damaged Materials Replaceable? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Explain _____</p> <p>Can Backup Copy be Used and Original Discarded? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Explain _____</p> <p>Outside Remediation Vendor Required? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>			
Comments/ Request			

For more information on damaged records and best recordkeeping practices,
contact the National Archive.

Cayman Islands National Archive | P.O. Box 10160 | Grand Cayman KY1-1002 | CAYMAN ISLANDS
Tel: +1 345 949 9809 | CINA@gov.ky | www.cina.gov.ky