

Records Management Strategy

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Related policies:	Data Protection Policy, Freedom of Information Public Interest Test Policy, Information Security Policy, Archive Collection Policy

Version	Final Sign Off
1	Executive Board 24 November 2009 Item 6.7 09/EXB/118

1	Introduction
	<p>Information is the lifeblood of a university¹. If the University of Surrey is to manage its information assets effectively, there must be an understanding of the University's information needs and how these can be met.</p>
1.1	Purpose
	<p>The University of Surrey recognises that information is a corporate asset and that the records of the University are important sources of administrative, evidential and historical information. They are vital to the University's current and future operations to support its core functions, to support operational efficiency and accountability and for awareness of its history and procedures. They form part of the corporate memory of the University.</p> <p>The volume of Freedom of Information requests received into the University has increased substantially since the introduction of the Act and time taken to retrieve information in response to requests has increased in line with this.</p>
1.2	Scope
	<p>The University recognises its obligations as a public body under the Freedom of Information Act 2000 to maintain and make available records to which the public has a right of access. It is committed to best practice records management and will seek to develop records management systems consistent with the <i>Lord Chancellor's Code of Practice on the Management of Records</i> issued under section 46 of the Freedom of Information Act 2000, and ISO 15489-1 <i>Records Management</i>.</p> <p>This Strategy, together with guidance issued from the Information Compliance Unit and the University's Records Retention Schedules will ensure that a framework exists to manage records so that information is available at all times to meet the University's legislative and regulatory obligations. It will also promote consistency of record-keeping across the organisation, reduce unnecessary and wasteful duplication of records, and enable the confident disposal of records that are no longer required, or their timely transfer to the University Archive.</p> <p>Information exists in many forms and this Strategy includes records stored electronically, transmitted across networks and printed or written on paper.</p>
1.3	Definitions
	<p>Records are any document or data, irrespective of format, which form evidence of a business activity or transaction.</p> <p>Records Management is the process for the efficient and systematic control of the creation, receipt, use and disposal of all records within an organisation.</p>
1.4	Legislative context
	<p>The University is committed to capturing and maintaining records in accordance with its obligations under the relevant pieces of legislation relating to records management. Key legislation includes:</p>

¹ University of Surrey Information Strategy 2004-2009

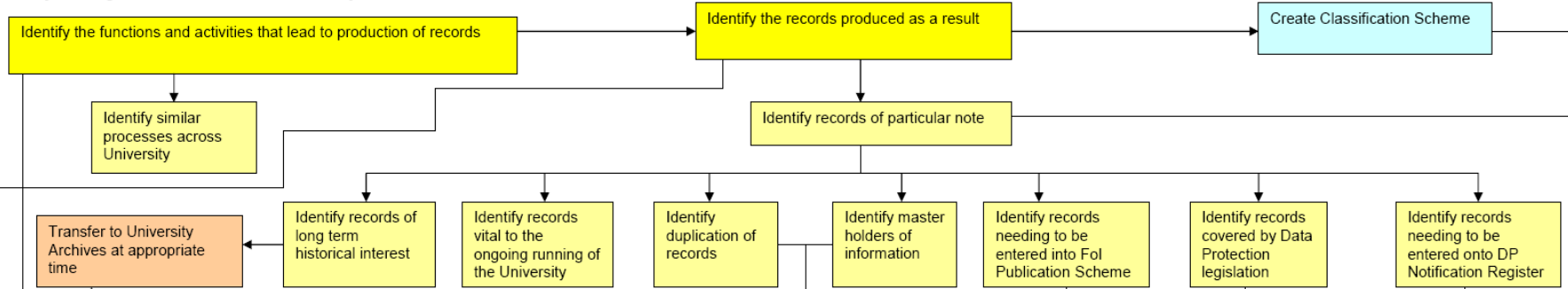
	<ul style="list-style-type: none"> • Limitation Act 1980 • Data Protection Act 1998 • Freedom of Information Act 2000 and the Environmental Regulations (2004) • Lord Chancellor’s Code of Practice on the Management of Records under Freedom of Information • Disability Discrimination Act 1995 • Employment Act 1989 and 2002 • Finance Acts 1973, 1985 and 1998 and Taxes Management Act 1970 • Health and Safety At Work Act 1974 • Human Rights Act 1998 <p>Key professional standards/codes of practice include:</p> <ul style="list-style-type: none"> • Lord Chancellor’s Codes of Practice under Sections 45 and 46 of the Freedom of Information Act 2000 • BSI DSC PD0008:2004 <i>Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically</i> • ISO 15489:2001 <i>Information and Documentation – Records Management</i> • ISO/IEC 27001:2005 <i>Specification for Information Security Management</i> • JISC <i>Developing an Institutional Records Management Programme</i> <p>The University also works in consultation with organisations that may be concerned with the management of its records, for example Higher Education Funding Council for England, HM Revenue and Customs etc., to ensure it meets statutory requirements.</p> <p>This Strategy has been formulated within the context of University policies and guidelines. Key University policies relating to the Records Management Strategy are:</p> <ul style="list-style-type: none"> • IT Strategy (due for completion October 2009) • Information Security Policy • Freedom of Information Public Interest Test Policy • Data Protection Policy • University Archive Acquisitions Policy
2	Policy
2.1	Principles
	<p>The objective of this Strategy is to ensure that the University’s information assets are fit for purpose and that information is managed to realise best value and to support University core functions.</p> <p>This will be achieved through improvements in the quality and flow of information and greater coordination of records and their storage in order to ensure that:</p> <ol style="list-style-type: none"> 1. The Authenticity of records is maintained <ul style="list-style-type: none"> • Records are created and maintained in the best format for their purpose • The University has the relevant information needed to form a reconstruction of activities or transactions that have taken place to ensure the continued operation of the University • Records can be proven to be what they claim to be through version control and adherence to guidelines • Master holders of information are identified to ensure that information is not duplicated unnecessarily throughout the University

	<ol style="list-style-type: none"> 2. The Reliability of records is maintained <ul style="list-style-type: none"> • The regulatory and legislative requirements for the management of records are met • Ownership and responsibility for managing institutional information is clearly established • Historical accountabilities are met and records of long term value are identified and preserved as archives • Other records are appropriately destroyed when no longer required 3. The Integrity of records is maintained <ul style="list-style-type: none"> • Records provide adequate evidence of the business to which they relate • Records comply with the recordkeeping requirements of best practice outlined in relevant standards and legislation • Staff have confidence to exercise their responsibilities to information • Information required by stakeholders and members of the public is provided in a timely and cost effective way 4. The Usability of records is maintained <ul style="list-style-type: none"> • Information is available and easily accessible at all times to authorised users as required • Inconsistencies and errors with regards to storage and access to information are minimised • The qualities of accessibility and interpretation are maintained for as long as the record is required
2.2	Procedures
	<p>A detailed chart of the Records Management Process and deliverables is available at Appendix A.</p> <p>The Strategy is delivered through the following tools:</p> <ul style="list-style-type: none"> • The creation and maintenance of records in the most appropriate media • The recording of all information created or held by the University on a classification scheme/records retention schedule • The recording and implementation of appropriate retention periods for all records based on legislative and statutory requirements, best practice, and organisational needs • The development and management of information storage and preservation strategies and procedures for physically held records • The appropriate disposal of all time expired records • The identification of material with long term interest and its timely removal to the University Archives • The identification and delivery of relevant records management, data protection and freedom of information training to all staff • The reporting, investigation and recording of all breaches of records management Strategy
3	Governance & Directory Requirements
3.1	Responsibility
	<ul style="list-style-type: none"> • The Executive Board of the University has a duty to ensure that the University of Surrey complies with legislation, including supporting regulations and codes, affecting the management of records • Central Services Administrative Section (CSAS) Heads of Department and/or Faculty

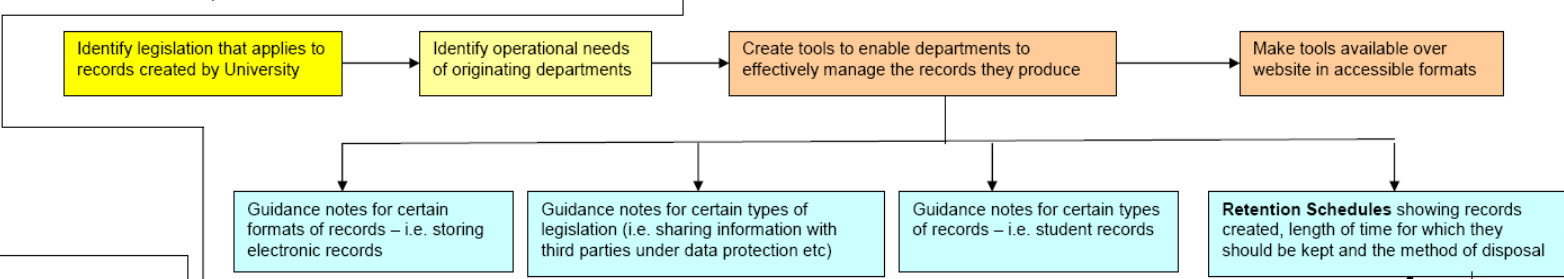
	<p>Managers are responsible for liaising with the Records Management and Information Compliance Officer to develop procedures and implement best practice within their areas and to agree with the Records Manager and University Archivist which information is designated for transfer to the Archives</p> <ul style="list-style-type: none"> • All managers are responsible for implementing the policies and procedures within their working areas • All employees are responsible for adhering to policies and procedures in their areas • IT Services provides the technical support for records management strategies on management of electronic records • Estates and Facilities Management support storage, preservation and disposal strategies for paper and other physically held records • The Records Management and Information Compliance Officer has overall responsibility for developing and maintaining this Strategy, and provides advice and guidance on its implementation
<p>3.1.1</p>	<p>Contacts with external organisations</p> <p>The University shall establish and maintain appropriate contacts with other organisations, regulatory bodies, and professional organisations in respect of its Records Management Strategy.</p>
<p>3.1.2</p>	<p>Review</p> <ul style="list-style-type: none"> • Staff and system compliance with this Strategy will be regularly monitored by the Information Compliance Unit • This Strategy is due for approval from the Executive Board • This Strategy will be reviewed every 5 years by the Information Compliance Unit to ensure it remains appropriate for the organisation • Appendices will be updated as appropriate • This Strategy will be reviewed by the Executive Board after significant organisational change to ensure it remains appropriate for the organisation.
<p>3.2</p>	<p>Supporting documentation</p>
	<p>Appendix A – Records Management Process (see below)</p>

Appendix A - Records Management Process

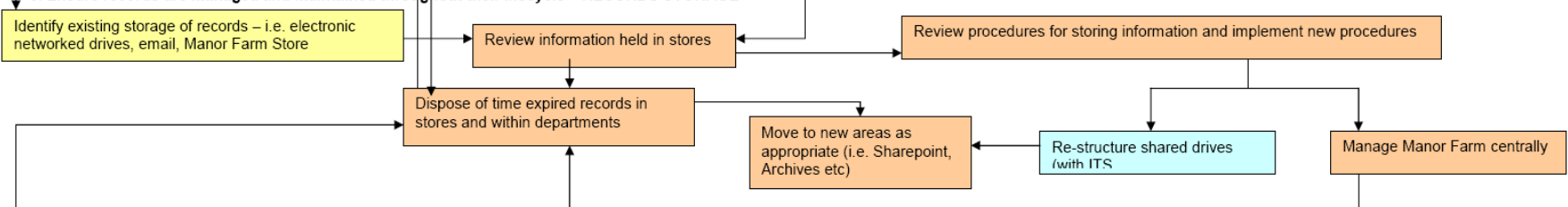
1. Identify existing records and the information they contain – RECORDS SURVEYS



2. Identify length of time for which records should be kept – RECORDS RETENTION



3. Ensure records are managed and maintained throughout their lifecycle – RECORDS STORAGE



4. Ensure compliance with specific information legislation (Data Protection and Freedom of Information) – LEGAL OBLIGATIONS

