

## ISC10D045

### Records management proposal

Following the agreement reached with the Information Commissioners Office and the undertaking signed by the University we are committed to make changes in a number of areas. The third part of the ICO undertaking refers to improvements to records management.

In September 2010 the Executive Team approved a high level records management policy, a copy of which is available on the ISD web site ([www.uea.ac.uk/is/strategies/infregs/recordsmanagement](http://www.uea.ac.uk/is/strategies/infregs/recordsmanagement)).

This document describes an approach to establishing records management at the University and has been circulated to Heads of Central Divisions and Directors of Faculty Administration for comment. It includes:

- Description of records management and its benefits
- What is needed at UEA for records management
- A proposal for approaching the work required

The Vice Chancellor has agreed timescales for the work required to support records management and these are:

- June 2010 – Records management Proposal to be considered for approval by ISSC
- Oct 2010 – Implementation plan to be considered for approval by ISSC.

The work that is required to implement records management is significant and will have a major resource impact across the University. There needs to be a coordinated approach to the work and there will need to be nominated people in departments who will implement local records management practice.

Originally the intention was that the coordination work would be undertaken by ISD and become part of the role of the Information Compliance Manager; unfortunately the level of Freedom of Information and Environmental Information requests continues to be exceptionally high. With current resources ISD is unable to provide coordination or further support for this work.

The Records retention Schedule can be accessed at the ISSC website:

<https://intranet.uea.ac.uk/committeeoffice/ueacombds/issc/issc1011/140611>.

**ISSC is invited to consider how this work should be progressed and where the responsibility for assurance and implementation of records management is to be placed.**

# Records management proposal

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## Version history

Including notes of endorsement and approval of different versions of the document

Version	Date	Note
0.1	17/12/2010	First draft
1.0	9/6/2011	Version for ISSC

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## Background<sup>1</sup>

The ISO standard definition for records management is as follows:

“The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.”

The Information and Records Management Society<sup>2</sup> (formerly the Records Management Society) defines records management as:

“The process by which an organisation manages all the elements of records whether externally or internally generated and in any format or media type, from their inception/receipt, all the way through to their disposal.”<sup>3</sup>

The application of records management within an organisation covers a broad range of areas including: policies, responsibilities, authorities, procedures, guidelines, services relating to the management and use of records, systems for managing records, and the integration of records management into business systems and processes.

There is a lot of good reasons to support the need for records management, including:

- To aid operation as an agile, modern, efficient organisation
- To provide the proactive, consistent and comprehensive approach needed to cope with current and future demands
- To enable the organisation to do more with less
- To structure and make available the institutional memory. Higher staff turnover and restructuring mean that institutional memory is no longer in individuals, but in records
- To yield the value in records, such as embracing the lessons learned from past experience
- To help protect rights and interests. Records are the evidence left behind from activities
- To demonstrate traceability and accountability
- To support compliance. Compliance requires a body of records to prove actions, why they were taken, on whose authority, and what were their outcomes. This is particularly relevant for the Freedom of Information Act 2000 as recommended in the “Lord Chancellor’s Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act 2000”<sup>4</sup>

## Record lifecycle

In records management, JISC offers a lifecycle model which they believe is fit for purpose and proportionate (avoids imposing a heavy management burden where none is warranted). This model

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<sup>1</sup> Information in this section is summarised from that available in the JISC infonet infokit on records management available at <http://www.jiscinfonet.ac.uk/infokits/records-management>.

<sup>2</sup> <http://www.irms.org.uk/>

<sup>3</sup> <http://www.irms.org.uk/about>

<sup>4</sup> <http://www.justice.gov.uk/guidance/foi-guidance-codes-practice.htm>

has a clear chronological structure, defined phases, consistent focus, breadth of application by avoiding jargon and comprises four stages:

- Creation
- Active use
- Semi-active use
- Final outcome

### Creation

All records are information, but not all information is a record. We therefore need to have a clear definition of a record, and to determine what characteristics that record needs to have for it to be of value in records management:

"Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business and that comprises content, context, and structure sufficient to provide evidence of the activity."

Records should have the following qualities: authenticity, completeness, reliability, and fixity whatever their physical format: paper, email, photograph, or database entry etc.

- **Authenticity.** Provenance - proof of origin, and the chain of custody through which it has passed. To create authentic records we need to have clearly defined processes for our transactions (meetings, plans, appraisals, discipline). Records are produced at certain points in the process. Systems (such as RDBMS) are good at capturing provenance because they require access via a password.
- **Completeness.** Records should include all relevant content and contextual information such as metadata like the date created. Ensuring records are complete is achieved at system design level - including the decision on what information it is appropriate to capture.
- **Reliability.** Records must be factually correct. If not, we could have problems, e.g. basing decisions on inaccurate data, e.g. the wrong salary is paid into staff bank account. If the record contains personal data, DPA requires us to ensure it is accurate and up to date. User training is important in ensuring you get accurate records. We need to create a culture where time spent creating accurate, reliable records is valued.
- **Fixity** and declaring records. We need set points in our processes where we fix the content of a record at a particular point in time, such as the final version of document. Once fixed, it should stay fixed (this is called declaration).

Records need metadata to describe them and help people find them, e.g. the title of a document, date of an email. There are different types of metadata (bibliographic, administrative, legal, preservation, technical, educational, structural), and different metadata formats (e.g. dates shown as DDMMYYYY).

The format of the material used for holding the record is also of interest, and the correct one should be used. Limitations in a format should be accounted for around storage and preservation of the records, e.g. CDs may only remain readable for 10 years, web pages may only be current for a short period of time before being replaced.

### Active use

The life of a record begins at the moment of its declaration. During the active life of a record, we need to consider version control, audit trail, master copy, and the protection of vital records.

- **Version control.** Even after declared as a record, further changes are likely to be made. The original record should not be changed (which protects its fixity). Therefore changes are applied to a new version of the record. These versions need to be controlled to avoid situations where people work with the wrong version of a record. To help this: we need to have a file naming convention, keep one definitive copy of a record, add version information to the document, link to central record rather than send out copies (via email).
- **Audit trail.** It is important to pin point what a record said at a particular point in time. This helps with checking decisions and with learning lessons. We need to decide whether earlier drafts should be kept once a final version is declared.
- **Master copy.** It is inevitable that multiple copies of records will circulate around the organisation. But a master copy could have additional features of value, e.g. original official signature. To handle a master copy, we need to agree the source of the master copy, and staff need to be aware of whether they are the holders of master records or copies.
- **Vital record.** Vital records are those required for the organisation to carry out its essential core functions in a legally compliant manner, e.g. estates records, insurance certificates, OOH contact details. It is therefore important to protect them. We need to identify and locate these records, control them and have offsite storage of backups. Examples include: legal (charter, insurance certificate, deeds), financial (accounts, payroll, pensions), operational (timetables, exam papers, student records), commercial (contracts, memoranda of understanding), intellectual capital (research data), disaster recovery (OOH staff contact details, estate plans, utility and emergency service contact details).

During the active use stage, the record is in regular use. It may still be draft or required to perform a function. We need to understand what the record is being used for and where it is located, so that those who need to access it can gain access. Records left in personal mailboxes can only be accessed by a single person.

### Semi-active use

This phase in the record lifecycle is the most difficult to define and control. Records' evidential value often far exceeds their informational value. During the semi-active stage, we need to consider record survey, retention of the audit trail, retention management, and records appraisal.

- **Record survey** (information audit). We need to conduct a comprehensive audit of all records held covering the processes which create them, and measures to manage them. This is a large undertaking, but yields significant benefits. It is the first and most important step towards gaining control of records. Other benefits include: finding unnecessary duplication of records, streamlining business processes, determining where records are held for too long, identifying areas where training in records management is required, finding vital records, establishing economies of scale, and defining preservation requirements.<sup>5</sup>
- **Retention management.** A retention schedule is a list of records for which a known destruction date exists. The aim of the record survey is to find those categories of record for which there is a disposal date, and to determine how long to retain records to satisfy operational, legal, regulatory purposes.

Records should be kept for as long as their contents have operational value, and required as evidence of transactions. Keeping records costs the institution money (storage, physical space, FOI).

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<sup>5</sup> More information on a records survey (also called information audit) at <http://www.jiscinfonet.ac.uk/infokits/records-management/semi-active-use/record-survey-guide>

Under the Data Protection Act 1998 (principle 5), we cannot keep records with personal data longer than for the stated purpose for which it was obtained. It is therefore recommended that we adopt and adapt the JISC HE retention schedule<sup>6</sup>. When selecting IT systems, we should consider how retention will be handled.

We should take steps to prevent unauthorised access and accidental loss, destruction or damage to personal data (DPA principle 7). This applies through the lifecycle, but it is in semi-active that it tends to get forgotten. We could consider adopting a clear desk policy, where staff are asked to lock away confidential or sensitive information.

### **Final outcome**

At the end of the period for which the record is to be retained, either the record is destroyed, or it is preserved in an archive. It is important that records follow the correct path, and decisions are made according to pre-determined rules and criteria.<sup>7</sup>

- **Appraisal and disposal.** This process should be done according to pre-defined criteria and processes so that we can explain why the records were destroyed, and to ensure no trace of the records remain. Because the University is bound by the Freedom of Information Act 2000, there is an even greater need for transparency and accountability, and clear guidance and practice around records retention. The schedule only defines minimum retention periods, and there may be exceptions (esp. if the information is subject to a current FOI request) where records need to be retained for longer periods. Record destruction should be a regularly scheduled business process. Processes need to ensure that all copies of records are destroyed (inc. off site stores, backups, etc.).
- **Preservation and curation.** There is operational and legal value in records as well as historic value. Our archive needs to have appropriate conditions for storing items (with controls for humidity, temperature, insects, and security). Electronic records are sensitive to environmental conditions, hardware obsolescence (floppy disks), software changes (format incompatibility). We should have separate facilities with correct environmental controls, tools to help find records in the archive, use standard methods for describing the archive, and test before moving electronic records to new formats.

It is good practice to document the disposal process: what has been destroyed, by what criteria has it been selected for destruction, whose authority said it should be done, what were the outcomes of the process. We do not need to document the deletion of every email in this way, but could have a general policy statement which defines what types of email users should routinely destroy, and which should be formally retained.

## **Requirements to establish records management at UEA**

To establish records management at the University through all stages of the record lifecycle, a number of things need to be put in place:

- Suitable policies (all stages)
- Records management staffing structure (all stages, esp. Creation and Active use)
- Storage solutions (Semi-active use stage)

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<sup>6</sup> An early adaption of this schedule is offered as a separate document 'Records retention schedule (RRS)'.

<sup>7</sup> The records retention schedule is intended to hold a description of the action at the end of the retention period.

- Disposal solutions (Final outcome stage)
- Archiving solution (Final outcome stage)
- Support, training, and guidance (all stages)

## UEA policy context

Records management at UEA is supported by a number of policies as summarised in the following table. Some of these policies do not yet exist, and are therefore proposed for development.

Policy	Status	Description	Link
High level records management policy	Approved – version 1.1	The University’s policy on records management defining key principles and responsibilities	<a href="http://www.uea.ac.uk/is/strategies/inregs/recordsmanagement">http://www.uea.ac.uk/is/strategies/inregs/recordsmanagement</a>
Information classification and data policy	Approved – version 1	A classification system for all electronic data and documents. A security class is assigned to each classification which defines how associated data should be stored, handled, transmitted and accessed	<a href="https://intranet.uea.ac.uk/is/itregs/ictpolicies/secman/SM11.1+Information+Classification+and+Data+Policies">https://intranet.uea.ac.uk/is/itregs/ictpolicies/secman/SM11.1+Information+Classification+and+Data+Policies</a>
Records retention schedule	In draft – version 0.3	An adaption of the JISC records retention schedule to suit UEA’s requirements and structure. The adaption will be progressive dependent on the information audit	n/a
Management information taken off site policy	Not started - proposed	A policy defining how staff may access management information when away from the institution (see below)	n/a
Business use of email	To be reviewed	Email best practice guidelines address business use of email. Their context in records management should be reviewed and guidelines updated (see below)	<a href="https://intranet.uea.ac.uk/is/itregs/userguide/emailguide">https://intranet.uea.ac.uk/is/itregs/userguide/emailguide</a>
Disposal of records policy	Not started – proposed	A policy defining how staff should dispose of records: paper and electronic. Disposal methods may vary according to the classification of the records (i.e. confidential)	n/a
Collection development policy (archives)	Approved – version 8.1	The Library’s collection development policy includes the archives policy covering: acquisition, terms of deposit, and standards	<a href="http://www.uea.ac.uk/is/colldevpolicy">http://www.uea.ac.uk/is/colldevpolicy</a>

## Policy for off-campus information

The following is taken from a policy established at Durham University<sup>8</sup>. A policy on accessing information from locations off campus could include the following points:

<sup>8</sup> <http://www.dur.ac.uk/records.management/policies/>

- must not take personal or confidential information off campus unless absolutely necessary and with permissions of HoD
- master copies should be left on campus (this includes paper as well as electronic)
- use VPN rather than take information off campus
- must take reasonable steps to protect information from loss or theft, unauthorised access, alteration, damage
- staff and students should avoid use of non-University email accounts to conduct University business. If using non-University accounts, then must copy any email sent or received to the University account in a timely manner, deleting the emails from the personal account
- IT dept has sole authority for the disposal of IT equipment which might store University information

### **Policy for business emails**

The following is taken from a policy established at Durham University<sup>9</sup>. A policy on use of email for business records could include the following points:

- applies to records created by conducting University business via email
- records in email format must be able to be accessed by the University
- appropriate content in business emails
- business emails can be interpreted (context established, when and by whom, and how it relates to other information)
- business emails can be maintained (including transfer to other systems)
- business emails disposed of in accordance with the RRS
- notes that Lord Chancellor's Code of Practice on the Management of Records under Section 46 of FOIA includes email management

### **Records management staffing structure**

In most Universities where records management is already established, there is a central records management service. This service is usually allied with other central services related to information compliance such as Data Protection, Freedom of Information, Environmental Information Regulations, and Copyright. Records management may also be looked after by staff responsible for central archives.

There are natural links between records management and Freedom of Information:

- Records management provides a system for identifying and managing records held by the University, and FOI applies to any information held by the University
- Effective FOI management needs accurate information on what is held, and where it is held
- Information may not be held by the University because it has been destroyed because it has passed its retention period
- Records related to a current FOI request (and for 60 days after response) may not be destroyed
- Though all records are information, not all information are records. FOI therefore has a broader reach than records management

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<sup>9</sup> <http://www.dur.ac.uk/records.management/policies/>

There are also natural links between records management and Data Protection. There are eight data protection principles whose application rests heavily on good records management practice. Personal data must be:

- Obtained and processed fairly and lawfully (principle 1)
- Obtained for specified and lawful purposes (principle 2)
- Adequate, relevant and not excessive (principle 3)
- Accurate and up to date (principle 4)
- Not kept for longer than is necessary (principle 5)
- Processed in accordance with the rights of data subjects (principle 6)
- Kept safe from unauthorised access, loss or destruction (principle 7)
- Not transferred to countries outside EEA, except where those countries have equivalent data protection (principle 8)

It is therefore recommended that a central records management service is included in the work currently undertaken by ISD staff on information compliance. Further links with archives should be developed, but see below for a discussion on archiving.

### **Records management staff and responsibilities**

The central records management team should at its head a records manager (75% of HEIs responding the 2009 JISC information and legislation management survey do)<sup>10</sup>. In the approved Records Management policy, the responsibility for this role is attributed to the Information Policy & Compliance Manager (IPCM). It is unclear whether these additional responsibilities can be assigned to this role without providing additional resource.

Typically, HEIs of a similar size to UEA staff their central information compliance team with two FT staff and two PT staff. The responsibilities of this team lie solely with information compliance activities.<sup>11</sup>

In addition to the central records management team, there is a need for records management contacts in all departments (academic and administrative) of the University. There already exists a network of contacts for handling FOIA and EIR requests<sup>12</sup>, and it is proposed that this group additionally serve the needs for records management. The records management contacts in departments will require support from their heads of department.

Responsibilities of central records manager (IPCM):

- Development and maintenance of processes to register records
- Development and maintenance of guidance for good records management practice and promoting compliance with the policy
- Development and maintenance of a retention schedule
- Provision of appropriate and timely communication to enable staff to be aware of obligations and responsibilities

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<sup>10</sup> <http://www.jiscinfonet.ac.uk/foi-survey/2009/records-management>

<sup>11</sup> It should be noted that UEA has a much higher level of activity for FOIA/EIR requests than average HEIs. A survey produced by JISC indicates UEA to be one of busiest institutions in the country only comparable with considerably larger institutions. <http://www.jiscinfonet.ac.uk/foi-survey/2009/index.html>

<sup>12</sup> [https://intranet.uea.ac.uk/is/foi/foi\\_contacts](https://intranet.uea.ac.uk/is/foi/foi_contacts)

- Review and update of records management policy

Responsibilities of departmental records management contacts:

- Raise the profile of effective records management
- Ensure good practice is adopted
- Ensure compliance with FOIA and DPA
- Ensure implementation and adherence to records management policies
- Records management coordinator should be well informed about the range of information held by the department
- It should also be noted that all staff have records management responsibilities (mainly DP related about storing data on University systems only etc.)

Responsibilities of HoDs:

- Registration of records held
- Implementation and maintenance of guidance for good records management practice and promoting compliance with the policy
- Nomination of records management contacts within each department to work with the IPCM
- Registration of record destruction

### **Information compliance governance**

Governance structures for records management should be in line with those already in place for all other information compliance activities at the University.

The Director of Information Services (DIS) and Registrar & Secretary provide monitoring and oversight of the activities of the central information compliance team. Annual reports on activities are offered to the Information Services and Strategy Committee (ISSC).

### **Services offered by the central records management team**

The following are offered as a list of potential services which the central records management team could consider providing:

- Training and support
- Advice on records keeping
- Secure storage for semi-active records in records centre
- Transfer and retrieval of information in records centre
- Confidential destruction of records
- Identification and transfer of archival material to archives for preservation
- Presentations
- Oversee compliance with records management policy
- Conduct audits and spot checks to ensure units are operating in accordance with policy and RRS
- Publish spot check reports on the University website
- Maintenance of University Archives (responsibility of DIS in UEA policy)

## Storage solution

An essential element of establishing records management is the creation of a storage solution. Storage is required to hold records during the semi-active phase of their lifecycle where records still need to be retained according to their RRS for irregular reference and to comply with financial and legal regulations.

For storage to be effective, it needs to be managed, and processes are required for:

- Submitting records to storage
- Maintaining a record of records in storage
- Ensuring all records have agreed retention periods
- Controlling access to records in storage
- Transfer and retrieval of records from storage
- Passing records to their final outcome at the end of the retention period

Records could be stored on paper or electronically. The implementation of an EDRMS (Electronic Document & Records Management System) provides a single centrally-managed solution for all records (paper records are scanned into an electronic format).

Without use of an EDRMS, separate solutions are required for paper and electronic storage of records.

It is assumed that some departments may already be operating local storage solutions for their records. Details on what these are and how they operate would be discovered by the Information Audit (IA). Better use of University space may be possible and should be investigated through better implementation of RRSs and central storage solutions. Things to consider around records storage include:

- Discovery of existing storage solutions (via the Information Audit)
- Whether there is a need and business case for a central storage solution
- Staffing and procedures for a central solution
- Use of existing space on campus, space off campus, or outsourced to a third party solution

## Disposal solution

At the end of a record's retention period, the RRS will define what should next happen to the record in its final outcome. In most cases, the record will be disposed of, and some will be passed to archives.

For effective disposal of records, we need to develop the following procedures:

- How to dispose of records
- Special handling of confidential material
- Disposal of paper records
- Disposal of electronic records

Record destruction should be recorded, and where necessary certificates guaranteeing destruction should be obtained and filed. This applies to the safe disposal of computer equipment which may hold University information.

There is an example of a records disposal policy at Essex.<sup>13</sup>

## Archive

The archives are populated with “records which are considered to have enduring public, research, historical, informational, evidential or legal value, which are permanently preserved as an enduring record of the conduct of business and organisation of the institution.”<sup>14</sup>

At the end of the retention period, some records may qualify for preservation in the University archives. Some records may be immediately passed to the archives without any need for storage during the semi-active phase of the lifecycle. The decision on what should be preserved will be based on:

- Archiving policy
- Advice and opinion of the archivist

There is presently no central University archive or archivist with responsibility or processes and systems for holding University records of historical (or otherwise) value. There is a collection development policy which determines what materials the University is interested in collecting, and preserving in the archive<sup>15</sup>.

It should be noted that the following points are recorded in the policy<sup>16</sup>:

- In consultation and, where appropriate, collaboration with other departments, the Library will identify, collect and preserve the documentary record of the University of East Anglia
- The records of the University of East Anglia (in association with the Registry) will be considered for acquisition

There may well be pockets of activity within the University where storage of records is managed as an archive. For instance, it is thought that the following maintain archives: CRU, ENV, MUS, EAFA, and SRU. Details on the scope of these archives, how they are run, and the policies and procedures determining their operation would be uncovered by the information audit.

Managing an archive is a complex task requiring professional skills. Areas to consider around archiving include:

- Submission processes
- Access to archives processes
- Retrieval of archived materials
- Cataloguing of material in the archive
- Availability of the catalogue to enable searches through the archive

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<sup>13</sup> <http://www2.essex.ac.uk/rm/records/disposal.shtm>

<sup>14</sup> <http://www.uea.ac.uk/is/strategies/infregs/Records+management+policy>

<sup>15</sup> <http://www.uea.ac.uk/is/colldevpolicy>

<sup>16</sup> Though these points are in the collection development policy, they are not presently acted on, and there are no processes in place for gathering and preserving University records in the Library archive. The Library archive is principally in place to support the teaching, learning and research activities of the University. University records may be preserved within an archive managed with the Registry, and the Information Audit will seek to discover current practice in this area.

- Provenance of the materials
- Metadata describing the materials sufficiently well such that others may use the materials (particularly important around research materials)
- Storage facilities with access controls and environmental controls
- Preservation of materials to ensure they can continue to be accessed (particularly important for electronic materials)
- Preservation of interactive materials<sup>17</sup>

## Guidance and support

Staff will require support and guidance in establishing best records management practice in their areas of responsibility. One of the responsibilities of the central records management team will be to provide this guidance, though the local departmental records management contacts may also play a role in providing local support.

Guidance can be delivered via training courses, web materials, FAQs, and traditional support routes face-to-face or via phone or email. The following list is offered for consideration of the sorts of practical assistance that staff may require:

- Creation and receipt of records
- Classification of records
- Ownership of records
- Data quality
- Determining levels of access (guidance on what access to give an individual - is there a legitimate business need)
- Security and storage of records
- Storing paper records (records are accessible, secure, efficiently stored)
- Records storage (semi current storage at central facility: how to use it, what to send, how to send, how to prepare for storage, reviewing records)
- Transfer of records
- Retention periods for records
- Disposal of records
- Destruction of confidential paper waste
- Selection criteria for archives
- Archiving for preserving records
- Private sector contracts
- Links to FOIA, EIR and Data Protection
- File management (file types, deletion)
- Electronic security, data backup and recovery
- Scanning and file formats
- Email guidance and electronic records
- Shared drives (getting the most out of them)
- Off site access to drives (no need to carry USB sticks around)

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<sup>17</sup> The preservation of complex digital objects such as video games, interactive websites, and digital environments is currently the subject of JISC research projects

<http://www.jisc.ac.uk/whatwedo/programmes/inf11/digpres.aspx>.

- Homeworking (for business continuity: management, H&S, accident reporting, security, IT at home, insurance)
- Cloud computing and offsite data processing
- Web publishing (transparency on availability of information)
- Records management manual
- Web based FAQ on records management
- Glossary of terms

As well as having the means to provide guidance either on demand or from prepared materials, there is a need for training courses for staff to inform them of their records management responsibilities and to help them develop local procedures which support records management. There could be different types of course to serve different needs of staff:

- Presentations on records management to inform staff with decision-making responsibilities
- Participation in staff induction sessions to advocate the importance of good records management and staff responsibilities
- Managing your records effectively training course for staff with specific RM responsibilities within their departments. Topics could include: what is RM, why we need it, records lifecycle, issues to consider when creating records, guidance on organising, using, retaining, and disposing of records

## Next steps

### Information audit

To get from our current position to a place where records management practice is established at UEA, it is necessary to conduct an information audit<sup>18</sup> across the whole of the organisation. This is a significant task, but is the only practical way to ensure that we understand our information assets and have effective and fit for purpose records retention schedules in place.

The information audit is intended to identify records and record owners. The outputs from the audit will include:

- records inventory
- report (inc. disparities between information needs and record keeping systems)
- classification scheme (dept's work organised into functions, activities, transactions)
- retention schedule (period and disposal actions, register of vital information assets required for business continuity planning)
- who decides what is a record
- when does information become a record
- identify which functions produce which records
- what are records used for, and who uses them
- where the records are kept

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<sup>18</sup> Also referred to as a 'records survey'.

- links to the FOI publications scheme (information which is regularly published put into the Pub Scheme)
- Expect some records to be common across a number of depts and other records to be based only in that dept

Guidance on conducting an information audit is available from the JISC infonet website at <http://www.jiscinfonet.ac.uk/infokits/records-management/semi-active-use/record-survey>.

## Records retention schedule

A key tool to assist with records management is the record retention schedule. Once it is clear from the information audit what records are held, who is holding them, and what they are being held for, we need to decide how long to hold the records for (during the semi-active stage). The records retention schedule (RRS) records the retention periods for particular record types.

A separate document discusses RRSs in more detail and offers an approach for developing and adopting them in departmental processes.<sup>19</sup>

## Project approach

Given that the information audit is a substantial piece of work which would be expected to take a significant period of time, and that there is a pressing need for some guidance to be available as a matter of urgency, it is proposed that a two stage approach to establishing records management is taken.

This approach is similar to that taken by SOAS.<sup>20</sup>

### STAGE 1

- Identify records manager and departmental records management contacts
- Adapt JISC RRS for use at UEA (first draft)
- Assign record types to departmental owners
- Select key record types and examine in more detail with departmental owners
- Storage solutions (and the differences between storage and archiving)
- Archiving solutions (and the case for a central archive)
- Develop support and training materials

### STAGE 2

- Conduct an information audit
- Discovery of current practice
- Refinement and extension of draft RRS
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<sup>19</sup> "Records retention schedule (RRS).docx"

<sup>20</sup> <http://www.soas.ac.uk/infocomp/recordsmanagement/>

## **OTHER ACTIVITIES**

The following are suggestions for other activities which could be considered to be undertaken to support or enhance records management at UEA:

- Information audit (commissioned from external contractor to produce interim RRS, full RRS once Records Manager appointed)
- Use of off site commercial storage contract for closed records (procedures for deposit, retrieval, and return of records)
- Electronic records management project
- Digitisation projects, e.g. departmental student record project (scanning the paper files of students who predate the electronic system, placed on secure server in archives, paper records destroyed)
- RM week in the summer to raise awareness of RM
- RM week every summer (staff will be encouraged to spend time sorting and assessing records, destroying what is no longer required)
- Electronic University-wide archiving system