1. **Introduction**

1.1 The processes involved in the management of most corporate records within the University are largely being addressed as part of a programme of major process redevelopment. This implementation guidance is specifically designed for those records that fall outside the scope of this programme or where specific redevelopments are unlikely to be undertaken within a reasonable timeframe.

1.2 This guidance does not apply to research data and associated records. Records management requirements for these types of records are being defined separately. Records associated with research administration fall within the scope of the programme of redevelopment.

1.3 Although major processes are being redeveloped separately, the records management approach and guidelines laid down within this document should still be used to inform the process.

2. **Information Survey**

2.1 The Information Survey is a systematic exercise to locate and identify key records held by a particular department, section or unit, and the systems used to manage them. The survey should identify those records that fall within the scope of the redevelopment programme and those which do not. The findings should be measured against the requirements that have been identified by the retention schedule. Essentially this exercise is a gap analysis – the difference between the University’s evidentiary requirement and the existing system’s ability to meet that requirement.

2.2 It is important to stress that the survey should identify key records and be conducted at a high level. It is not essential to identify and list every single record; the aim of the survey is to identify the major record types and any particular concerns.

2.3 During the survey it is useful to identify areas where there may be a need to operate a system of version control. This normally relates to policy, procedural and contractual documents, where the draft versions of documents may be retained to provide evidence of the document’s development or details of the consultation process. It is important that the ‘golden copy’ is clearly identifiable. Draft records can be prolific and care should be taken to retain only those that are essential.

2.4 The survey should follow the following sequence.

   a) Undertake survey of records held within the department.

   b) Identify whether they are/are not covered by the redevelopment programme, and if so, within which period of time.
c) Check the results of the survey against specific criteria (the Retention Schedule, Information Security and Data Protection criteria)

d) Undertake a **spring clean**, identifying records that can be destroyed and undertaking destruction in line with the guidelines laid down in the Record Retention and Disposal Guidance (RMP-I2)

e) Identify areas of concern (i.e. records not covered by the retention schedule, issues around the storage or security of records)

2.5 The survey can be collated by either record type, or by location, but should be consistent.

2.6 A detailed breakdown of the information that should be recorded when conducting the survey is as follows:

a) **Record Category:** Student, Staff, Finance, Research Admin etc.

b) **Record Type:** Invoice, letter, staff card etc.

c) **Location:** Office, filing cabinet, X-Drive.

d) **State:** Are they Active, Semi-active, Inactive or Archive?

e) **Date range:** Earliest record to latest.

f) **Restrictiveness:** Does it contain confidential, personal, or sensitive information.

g) **Volume:** The approximate number of records.

h) **Security:** Are there issues around the security of these records?

i) **Storage:** Are there issues around storage e.g. space?

j) **Retention:** Are appropriate retention timescales applied?

k) **Disposal:** Are procedures in place for the eventual destruction or transfer to archives of these records.

2.7 Information Assurance Services will work with departments where possible and provide support and assistance as required during the survey.

2.8 Where issues are identified an action plan will be developed in cooperation with Information Assurance Services, prioritising those areas of significant risk.

2.9 Where the survey identifies records not covered by the Retention Schedule, Information Assurance Services should be made aware so that these records can be allocated a retention timescale and added to the schedule.

2.10 The Information Survey and Spring Clean should be produced annually on a cycle of review and action and an annual status report should be submitted to Information Assurance Services.

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**Failure to comply with University Policy may lead to disciplinary action.**

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The official version of this document will be maintained on-line. Before referring to any printed copies please ensure that they are up-to-date.