F Resources Management

## 30 Information Resources Management

The function of managing the information resources which are generated or acquired by the institution in the course of its work or to support its work.

### [30.1 Information Resources Strategy Development](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3001infoResourcesStratDevt" \t "_blank)

The activities involved in developing and establishing the institution’s information resources strategy.

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records documenting the development and establishment of the institution's information resources management strategy. |  | Superseded + 5 years |  | Review for archival valueConsult Records Manager before disposal |

### 30.2 Information Resources Management Planning

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records documenting the formulation of plans for the implementation of the institution's information resources management strategy. |  | Superseded + 5 years |  | Review for archival valueConsult Records Manager before disposal |

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### [30.3 Information Resources Management Performance Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30#3003infoResourcesMgtPerfMgt)

The activities involved in monitoring the institution’s performance against the plans for implementing its information resources strategy.

Activities include: developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance; conducting formal reviews of performance and responding to the results, including preparing and implementing action plans to address under-performance or other issues raised.

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records containing data on, and analyses of, performance against the plans for the implementation of the institution's information resources management strategy. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records containing reports of performance against the plans for the implementation of the institution's information resources management strategy. |  | Current year + 5 years |  | Review for archival valueConsult Records Manager before disposal |
|  |  |  |  |  |
| Records documenting the conduct and results of audits and reviews of the information resources management function, and responses to the results. |  | Current year + 5 years |  | Review for archival valueConsult Records Manager before disposal |

### 30.4 Information Resources Management Policy Development

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| **Description** |  | **Retention Period** |  | **Notes** |
|  |  |  |  |  |
| Records documenting the development and establishment of the institution's information resources management policies. |  | Superseded + 5 years |  | Review for archival valueConsult Records Manager before disposal |

### 30.5 Information Resources Management Procedures Development

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| **Description** |  | **Retention Period** |  | **Notes** |
|  |  |  |  |  |
| Records documenting the development of the institution's information resources management procedures. |  | Superseded + 3 years |  |  |

### [30.6 Data Protection Act (DPA) Compliance Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30#3006dpaComplianceMgt)

The activities involved in managing the institution’s compliance with the Data Protection Act 1998.

Activities include: notifying the institution’s data controller details to the Information Commissioner; handling requests for personal information held by the institution, made under the Data Protection Act 1998.

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| **Description** |  | **Retention Period** |  | **Notes** |
| Records documenting the institution's notification of data controller details to the Office of the Information Commissioner. |  | Expiry of notification + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting the handling of requests for access to personal information held by the institution under Data Protection legislation including records released and the requests themselves. |  | Last action on request + 2 years***UNLESS*** complaint received or request referred to ICO - last action on request + 6 years |  |  |
|  |  |  |  |  |
| Log recording the handling of requests for access to personal information held by the institution under Data Protection legislation |  | Last action on request + 6years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records containing (anonymised) management statistics, analyses and reports of requests for access to personal information held by the institution under the Data Protection legislation |  | Current year + 10 years |  |  |

### [30.7 Freedom of Information Act (FOIA) Compliance Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3007foiaComplianceMgt" \t "_blank)

The activities involved in managing the institution’s compliance with the Freedom of Information Act 2000.

Activities include: developing, publishing and maintaining the institution’s Publication Scheme; handling requests for information held by the institution, including providing assistance to requesters; handling appeals against decisions to withhold requested information; handling complaints against the institution’s processes for handling requests for information.

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records documenting the development and maintenance of the institution's Publication Scheme, as required by the Freedom of Information Act 2000 |  | Completion of revision of Publication Scheme + 5 years |  |  |
|  |  |  |  |  |
| Records documenting the handling of requests for access to information held by the institution under the Freedom of Information Act 2000 and Environmental Information Regulations 2004 including records released and the requests themselves |  | Last action on request + 3 years***UNLESS*** a request sets a legal precedent or establishes principles for handling of future requests - last action on request + 6 years |  | Review for transfer to the Institutional Archive for permanent preservation |
|  |  |  |  |  |
| Log recording the handling of requests for access to information held by the institution under the Freedom of Information Act 2000 and Environmental Information Regulations 2004 |  | Last action on case + 6 years |  |  |
|  |  |  |  |  |
| Records containing (anonymised) management statistics, analyses and reports of requests for access to information held by the institution under the Freedom of Information Act 2000 and Environmental Information Regulations 2004 |  | Current year + 10 years |  |  |

### [30.8 Copyright Compliance Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3008copyrightComplianceMgt" \t "_blank)

The activities involved in managing the institution’s compliance with the Copyright, Designs & Patents Act 1988.

Activities include: obtaining permission to copy material outside the scope of the Higher Education Licence Agreement; monitoring copying activities and taking part in surveys undertaken by the Copyright Licensing Agency (CLA); providing statistics required by the CLA; administering payments to collecting associations and any sampling undertaken to support payment calculations; assisting with inspections by copyright owners or their representatives.

[For maintaining computer software licences, use 32.7 ICT Systems Management – ICT Systems Operations Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F3207ictSysOpsMgt#F3207ictSysOpsMgt)

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records documenting applications for permission to copy material outside the scope of the Higher Education Licence Agreement, and the results. |  | Last action on application + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting routine monitoring of copying. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting calculation of payments due to collecting associations. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records containing copies of statistics provided to the Copyright Licensing Agency. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the institution's participation in surveys undertaken by the Copyright Licensing Agency. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the institution's participation in inspections undertaken by copyright owners or their representatives to check the institution's compliance with legal and contractual provisions. |  | Last action on inspection + 1 year |  |  |

### [30.9 Records Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3009recordsMgt" \t "_blank)

The activities involved in managing the institution’s business records.

Records means documents and other items in any medium and format which are generated or received by the institution and retained as records of its activities and operations.

[For providing records management services, set up a customised section using the framework in 36 Internal Services Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F36_intServsMgt#F36_intServsMgt)

Activities include: creating and capturing records; organising, classifying and indexing records; storing records; controlling the retention of records; carrying out preservation or conservation work on records; organising the disposal of redundant records.

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| **Description** |  | **Retention Period** |  | **Notes** |
|  |  |  |  |  |
| Records documenting classification and indexing schemes for records. |  | Superseded + 5 years |  |  |
|  |  |  |  |  |
| Records documenting the monitoring and control of the storage of records. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the movement of records from / to storage. |  | Return of records + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the determination of retention periods for records. |  | Superseded + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Final versions of Records Retention Schedules |  | Life of institution |  |  |
|  |  |  |  |  |
| Records documenting the review of individual records to determine requirements for ongoing retention. |  | Life of records + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting conservation work undertaken on records. |  | Life of records |  |  |
|  |  |  |  |  |
| Records documenting authorisation for the disposal of redundant business records. |  | Life of records + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting the transfer of records to the institution's archives, where this is required by established Records Retention Schedules. |  | Completion of transfer + 1 year |  |  |

### [30.10 Archives Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3010archivesMgt" \t "_blank)

The activities involved in managing the institution’s archives.

[Archives are institutional business records (see 30.9 Records Management) which have been selected for permanent preservation as historical archives.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F3009recordsMgt#F3009recordsMgt)

Activities include: acquiring archives; organising, classifying, describing and indexing archives; storing archives; carrying out preservation and conservation work on archives; promoting archives as a corporate asset and research resource; de-accessioning and disposing of archives that are no longer considered suitable for preservation by the institution.

[For managing collections of manuscripts, including collections of personal papers of academic staff, use 30.11 Information Resources Management – Collections Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F3011collectionsMgt#F3011collectionsMgt)

[For providing services to staff, students and others using the institution’s archives, set up a customised section using the framework in 36 Internal Services Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F36_intServsMgt#F36_intServsMgt)

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| **Description** |  | **Retention Period** |  | **Notes** |
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| Records documenting the development and establishment of the selection criteria for records to be preserved as archives. |  | Life of archives |  |  |
|  |  |  |  |  |
| Records documenting the appraisal, selection and acquisition of records for preservation as institutional archives. |  | Life of records |  |  |
|  |  |  |  |  |
| Records documenting the accessioning of records acquired for preservation as archives. |  | Life of archives |  |  |
|  |  |  |  |  |
| Records documenting the institution's scheme of arrangement for its archives. |  | Life of records arranged according to the scheme |  |  |
| Records documenting the development of the institution's standard descriptive model for its archives. |  | Life of records described using the model |  |  |
|  |  |  |  |  |
| Records describing the arrangement and contents of institutional archives. |  | Life of records |  |  |
| Records documenting the monitoring and control of the storage of archives. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting conservation work undertaken on items in the archives. |  | Life of records |  |  |
|  |  |  |  |  |
| Records documenting requests for access to items in the archives and the responses provided. |  | Last action on request + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the movement of items from / to storage. |  | Return of items + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to (items in) the archives. |  | While current |  | Review for archival valueConsult Records Manager before disposal |
|  |  |  |  |  |
| Records documenting the design and distribution of promotional materials to raise awareness and encourage use of (items in) the archives. |  | While current |  | Review for archival valueConsult Records Manager before disposal |
|  |  |  |  |  |
| Records documenting enquiries about (items in) the archives, and the responses provided.*Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.* |  | Last action on enquiry + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the selection and use of items from the archives by institutional staff (e.g. for teaching events, publications, exhibitions). |  | Current year + 5 years |  |  |
|  |  |  |  |  |
| Records documenting the selection and use of items from the archives by third parties (e.g. for exhibitions, publications, television programmes). |  | Last action on project + 5 years |  | Review for archival valueConsult Records Manager before disposal |
|  |  |  |  |  |
| Records documenting loans of items from the archives to third parties. |  | Termination of loan + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting authorisation for the disposal of de-accessioned records. |  | Life of archives |  |  |

### [30.11 Collections Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3011collectionsMgt" \t "_blank)

The activities involved in managing collections of artefacts, specimens, manuscripts or other items owned or otherwise held by the institution.

Activities include: selecting and acquiring collections by purchase; negotiating the acquisition of collections by donation or deposit; organising, classifying, describing and indexing collections; storing collections; carrying out preventative or remedial conservation work on collections; promoting collections as a corporate asset and as a research resource for staff, students and others; de-accessioning and organising disposal of collections that are no longer considered suitable for preservation by the institution.

[For legal agreements and contracts relating to the acquisition of collections, use 20.3 Legal Affairs Management – Contracts & Agreements Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_e#E2003contractsAgreesMgt)

[For providing services to staff, students and others using the institution’s collections, set up a customised section using the framework in 36 Internal Services Management.](http://www.jisc.ac.uk/index.cfm?name=srl_fam_f#F36_intServsMgt#F36_intServsMgt)

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| **Description** |  | **Retention Period** |  | **Notes** |
|  |  |  |  |  |
| Records documenting the development and establishment of the institution's selection/acceptance criteria for collections. |  | Life of collections |  |  |
|  |  |  |  |  |
| Records documenting the appraisal, selection and acquisition of collections. |  | Life of collections |  |  |
|  |  |  |  |  |
| Records documenting the accessioning of collections. |  | Life of collections |  |  |
|  |  |  |  |  |
| Records documenting the institution's scheme(s) of arrangement for its collections. |  | Life of collections arranged according to the scheme |  |  |
|  |  |  |  |  |
| Records documenting the development of the institution's standard descriptive model(s) for its collections. |  | Life of collections described using the model |  |  |
|  |  |  |  |  |
| Records describing the arrangement and contents of collections. |  | Life of collections |  |  |
|  |  |  |  |  |
| Records documenting the monitoring and control of the storage conditions and environment for collections. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting conservation work undertaken on collections. |  | Life of collections |  |  |
|  |  |  |  |  |
| Records documenting requests for access to (items in) collections and the responses given. |  | Last action on request + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the movement of (items from) collections from / to storage. |  | Return to storage + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the development and maintenance of specialised finding aids to promote and facilitate access to collections. |  | While current |  |  |
|  |  |  |  |  |
| Records documenting the design and distribution of promotional materials to raise awareness and encourage use of collections. |  | While current |  |  |
|  |  |  |  |  |
| Records documenting enquiries about collections and the responses given.*Note: key information from substantive enquiries may be extracted and indexed to avoid repetitive research.* |  | Last action on enquiry + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the selection and use of (items from) collections by institutional staff (e.g. for teaching events, publications, exhibitions). |  | Current year + 5 years |  |  |
|  |  |  |  |  |
| Records documenting the selection and use of (items from) collections by third parties (e.g. for exhibitions, publications, television programmes). |  | Last action on issue + 5 years |  | Review for archival valueConsult Records Manager before disposal |
|  |  |  |  |  |
| Records documenting loans of (items from) collections to third parties. |  | Termination of loan + 1 year |  |  |
|  |  |  |  |  |
| Records documenting authorisation for the disposal of (items from) collections. |  | Life of collections |  |  |

### [30.12 Publications Management](http://www.jisc.ac.uk/index.cfm?name=srl_rrs30" \l "3012publicationsMgt" \t "_blank)

The activities involved in managing collections of publications acquired or assembled by the institution to support its work.

Publications include third-party publications in all media and formats, and reference collections of in-house publications.

Activities include: reviewing and selecting publications to acquire by purchase, subscription or loan; classifying, cataloguing, indexing and maintaining publications; storing publications; specifying and, where appropriate, carrying out preventive or remedial conservation work on publications; managing the loan of publications; monitoring the use of publications, and alternative sources of supply, to determine whether they should continue to be purchased, or whether items already held should be retained; organising disposal of redundant publications.

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| **Description** |  | **Retention Period** |  | **Notes** |
|  |  |  |  |  |
| Records documenting the process of selecting publications to purchase. |  | Completion of purchase |  |  |
|  |  |  |  |  |
| Records documenting the institution's scheme(s) for classifying and cataloguing publications. |  | Superseded + 1 year |  |  |
|  |  |  |  |  |
| Catalogues / indexes |  | While current |  |  |
|  |  |  |  |  |
| Records documenting the monitoring and control of storage conditions. |  | Current year + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the movement of items from / to storage. |  | Return of items + 1 year |  |  |
|  |  |  |  |  |
| Library patron records  |  | End of patron relationship + 2 years |  | Organisational need |
|  |  |  |  |  |
| Inter library loan declaration forms |  | Current academic year + 6 years |  | [1980 c.58](http://www.legislation.gov.uk/ukpga/1980/58)  |
|  |  |  |  |  |
| Records documenting conservation work undertaken on publications. |  | Life of items |  |  |
|  |  |  |  |  |
| Records documenting decisions to dis/continue purchase of publications. |  | Last action on issue + 1 year |  |  |
|  |  |  |  |  |
| Records documenting the authorisation for the disposal of redundant publications. |  | Disposal of publications + 1 year |  |  |