1. Section 3.3 of the University’s Records Management Policy states: “The Governance Office is responsible for … overseeing compliance with this policy at a central level. The Governance Office, with appropriate assistance from those responsible for the University’s archives, has the authority to conduct audits and spot checks to ensure that local units are operating in accordance with this policy and the Master Records Retention Schedule.”

2. This note sets out the procedures which the Governance Office will use to oversee compliance with the Policy and to carry out spot checks on an annual basis. These procedures are designed to ensure a consistent approach but also to offer tailored support to Schools and Divisions in their efforts to manage records appropriately.

3. The Governance Office will write annually to those individuals charged with the operational oversight of a School’s or Division’s records asking them to briefly report on their arrangements for records management. Such ‘Responsible Individuals’ are the School Administrator for the Schools and the Divisional Director (or nominee) for the central Professional Services. These reports will be requested in March each year, although an initial assessment report will also be requested in summer 2010.

4. The Governance Office will conduct spot checks annually on a small number of Schools and Divisions on a rotational basis. These spot checks will be conducted in March each year, although an interim spot check will also be conducted in summer 2010. Responsible Individuals will be given advance notice of any spot check under the formal procedure and timetable as follows:

(a) Advance notice
The Governance Office will write to the Responsible Individual to inform them that a spot check is due to take place. The Governance Office will set out the sections and sub-sections of the Master Records Retention Schedule which are of relevance to the School or Division and will offer an initial meeting to discuss any technical or operational issues that might require resolution before the spot check can meaningfully take place.

(b) Formal meeting: three weeks later
The Governance Office will arrange to meet formally with the Responsible Individual to discuss the systems they use for the management of records within the School or Division. The Governance Office will highlight any areas where local practice appears to differ from the requirements of the Policy and Schedule.

(c) Formal spot check visit: two weeks later
The Governance Office will visit the School or Division at a mutually agreed time to assess how far selected records are being managed in accordance with the Policy and Schedule (and any processes put in place locally which are derived from them).

(d) Issue of written report: one week later
The Governance Office will issue a short written report to the Responsible Individual.
(e) Issue of written response: one week later
The Responsible Individual may provide a short written response to the Governance Office on the report's findings.

(f) Publication of findings: one week later
The final written report and any response will be published on the Records and Information Management pages of the University website and may be further disseminated to other Responsible Individuals for their information and to share best practice.

Governance Office
July 2010