



University of Liverpool

Information and Records Management

Service Level Agreement

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Signatories:	Associate Director, Strategy, Partnering and Projects
Implemented by	Information & Records Management
Comments	This SLA reflects the level of service currently provided. To be reviewed by the signatories at next review date.

Service Level Agreement – Information & Records Management

Service Name

Information & Records Management.

Service Description

See scope.

Service Provider

Information & Records Management (part of IT Services).

Customer

University staff and departments using services offered by Information & Records Management as listed in Appendix A.

Agreement valid until date:

SLA to run until amended; it is reviewed annually.

Signatories

Associate Director, Strategy. Partnering & Projects, IT Services.

Scope

This agreement covers the following services provided by Information & Records Management and described in full in Appendix A:

1. Advice on records and information management, covering both paper and electronic information, including email. Advice includes the retention, storage, management, and disposal/deletion of all information from creation until disposition
2. Maintenance of University Information Management Policy and Retention Schedule and assistance in implementing them
3. Storage of semi-current paper records in the University Records Centre
4. Retrieval of records from the Centre
5. Disposal of records from the Centre – via confidential destruction, transfer to the University Archives or return to originating department
6. Confidential waste service run by Information & Records Management for paper and digital media e.g. CDs, cassettes, floppy disks – see Exclusions section below for exceptions to this service

The purpose of this SLA is to establish a co-operative partnership between us and our users by clarifying roles, expectations, and providing mechanisms for resolving problems.

Exclusions

- Departments should limit their use of paper records and create electronic information where possible.

- Ownership for information, both paper and electronic, lies with the creating department, so while the Information and Records Management team can advise they are not responsible for final decisions or for the deletion/disposal of information held locally.
- The Information and Records Management team can only provide access to records held in the University Records Centre, unless permission is given by the creating department for colleagues in another team to access.
- The confidential waste service does not cover IT equipment such as PCs, hard drives, or laptops. IT Services handle disposal of these.
- The Information and Records Management team can advise on the management of all information but may need to pass a query onto another team, e.g. Information Security, if more appropriate.

Provider responsibility

Information & Records Management will:

- Comply with service standards as described in Appendix A
- Provide the services covered by this agreement and listed in Appendix A
- Follow University policies and procedures, in particular the University Information Management Policy and Retention Schedule (see www.liverpool.ac.uk/it/records-management/) and those pertaining to freedom of information and data protection legislation (see www.liverpool.ac.uk/legal/)

Customer responsibility

- Users of the services offered by us should follow all relevant University policies and procedures, particularly those listed above, the guidelines laid down on our website (www.liverpool.ac.uk/it/records-management/) and also any training or instructions given by our staff. We reserve the right to refuse our services to departments that do not comply with these instructions.
- Users should be aware that we will not take responsibility for the ownership of their records. Rather we will provide services and support to enable departments to manage their own records responsibly. Good management of records rests with the owning department at all times, with each individual member of staff and ultimately with the head of department.
- In the event that we cannot agree a suitable course of action (for example, if the member of staff who deposited records has left the University and is unable to advise us) we will escalate the decision to the relevant Head of Department. Records Liaison Officers or any member of staff may be given authority to act on behalf of the Head of Department concerning information and records management decisions.

Service Hours, Availability and Reliability

Our services are available during standard office hours, Monday to Friday, 9am-5pm, and if users need to access the Records Centre they should contact the team for an appointment via recman@liverpool.ac.uk.

Support Arrangements

If a user is unable to reach the Information and Records Management team and their query is so urgent that it cannot wait until their return, they should contact itshrops@liverpool.ac.uk with “Urgent” in the subject line.

Escalation

We will use reasonable endeavours to provide the services as detailed in Appendix A. Users should be aware however that there may be occasional issues with covering the service and that we rely on the joint cooperation of other departments to deliver some of the services. Where difficulties occur, we will make every effort to put them right and to keep users informed.

All complaints should be addressed to the University Information & Records Manager, who will respond as soon as possible, usually within five working days. If you are not satisfied with the response, you may then escalate the complaint to the Associate Director, Strategy, Partnering & Projects in IT Services who will respond as soon as possible, usually within five working days.

Service Continuity

See IT Services Business Continuity Plan. The University Information & Records Manager also maintains an Emergency Plan for the University Records Centre.

Security

This SLA operates with existing University policies, including the Information Security policies.

Reporting and reviewing

Reviewed annually by the University Information & Records Manager and signed off by the Associate Director, Strategy, Partnering & Projects in IT Services.

Appendix A

1. Advice on records management issues

We undertake to:

- Respond to queries on all aspects of information and records management, including the retention of information. Queries sent via the main departmental email address or telephone number will be answered within two working days. We also welcome queries via Teams although, as this goes to individual team members, response times will vary depending on working patterns/ absences etc., as is the case with queries to individual staff emails, mobile numbers or via internal mail.
- Provide advice and support to departments concerning their information and record keeping. This will be done on request from departments and also via a programme of targeted work. This advice covers both electronic and paper information, including email and information stored in University systems, and may support a wider project or piece of work.
- Provide support to departments where a project with record-keeping or information management implications is being undertaken. Project involvement may come from a request by the project team or by IRM initiative e.g. approaching areas where we have identified information management risks.

RLOs undertake to:

- Act as a point of contact between colleagues in their section and the Information & Records Management Team.
- Disseminate advice and guidance on good record-keeping to their colleagues and promote good practice in this area.

Users undertake to:

- Take responsibility for good information and records management in their department and to follow University policies and procedures.

2. University Information Management Policy and Retention Schedule

We undertake to:

- Maintain the University Information Management Policy and the Retention of Assessed Work Policy and ensure they are regularly reviewed and approved by the appropriate committees.
- Work with departments to maintain the University Retention Schedule, reviewing it regularly and taking into account any relevant compliance and operational requirements.
- Ensure that the University Retention Schedule covers all records maintained by the University regardless of format, i.e. both paper and electronic.
- Use the University Retention Schedule when deciding on disposal actions for records held in the University Records Centre and when advising staff on other records.

RLOs undertake to:

- Encourage use of the University Retention Schedule in their area of the University.
- Contribute towards the regular reviews of the Schedule, either by making comments or suggestions themselves and/ or by coordinating such responses from their area.

Users undertake to:

- Work with us on developing the Retention Schedule and keeping it up to date.
- Follow the recommendations laid down by the Retention Schedule.
- Notify us as soon as any changes (e.g. to working practices, legislation etc.) occur which require the Retention Schedule to be updated.

3. Storage of semi-current paper records

We undertake to:

- Take in semi-current records (i.e. those only needed infrequently for the conduct of current business) for storage from departments on request. N.B. We will only take records that require to be kept under the University retention schedule and are unable to store CTIMP files (there are separate arrangements for these). If departments cannot deliver the records themselves then we can collect. We will notify departments of a collection date for their records within two working days of a request for collection. Based on current support from Property and Campus Services and a steady level of demand we aim to collect from departments within six weeks. We will always endeavour to provide the best option for each department which may mean departments arranging their own transport to cut down waiting times.
- Deliver flat pack boxes for storage via the internal mail on request – normally these will be sent out on Tuesdays and Thursdays. It may be possible to send urgent requests more quickly or for users to collect.
- Assign an appropriate disposal action and date and notify the department of this decision within two weeks of deposit. Note that this may be delayed if we are not given all the relevant information by the department that we need to make this decision.
- Provide departments with a location number to enable retrieval of the material – this will be done within two weeks of deposit, provided the department has given all the required information, (although records can still be retrieved before the location number has been issued if necessary).
- Ensure secure storage of the records until the disposal date and then work with departments to review their records.

RLOs undertake to:

- Order boxes and book collections or transfers through the Records Management database.
- Enter the correct information about the records before the transfer date, in particular information about the correct retention period under the University Retention Schedule.
- Help users in their department to follow the guidelines below.
- Respond promptly to reviews, either authorising disposal on behalf of their department or giving a new review date with a valid reason for the records to be kept longer. N.B. An area should have more than one RLO so they need to assign responsibility between them for reviews. If none of the RLOs in an area can make a decision on these records then they must contact the Information & Records Management team to help find the right person to do so. RLOs can also refer records to other members of staff for sign-off via the database. The RLO will then need to approve that sign-off.

Users undertake to:

- Arrange a suitable date with us for collection or delivery of the material and to give as much notice as possible. This is especially important if they are having large clear-outs at certain times of year or when moving offices as we can only take a limited quantity of material on each pickup.

- Package the material and fill in the transfer list according to the guidelines on our website. Please **do not overfill boxes** as they need to be safely handled by Information & Records Management and Property and Campus Services staff.
- Only use the boxes provided by Information & Records Management for sending records into the Records Centre.
- Only send in paper records for storage – consult us if you have material in other formats.
- Ensure that the lists are accurate and detailed enough to retrieve records if necessary and to make future decisions about the retention of the records. Departments should note that we are not able to check the contents of the boxes against the lists, so they need to be accurate when packing material.
- Only send in material which the University Retention Schedule states should be retained, unless there is a good reason for an exception, or it is a record type that needs to be added to the schedule.
- Ensure they have utilised their own storage space in the first instance. Space limitations in the Records Centre means that sending material there should always be considered carefully and only done if it is the best solution. In particular, departments should not use the service purely to help manage an office move; a removal service which provides boxes should be built into the initial move plan.
- Ensure that they only send material that needs to be retained by the department and will only need to be consulted occasionally.
- Cancel a collection if it is not required, as soon as possible, so the slot can be offered to someone else.
- Respond promptly to queries about records held in the Records Centre so Information & Records Management staff have the necessary information and/or authorisation required to manage those records.

4. Retrieval of paper records from the Records Centre

We undertake to:

- Retrieve records promptly within three working days when a department makes a retrieval request and cites the location number. Urgent requests can normally be processed within forty-eight hours.
- Provide a suitable time for the user to come and consult or collect the records in the Records Centre or work with the user to find an alternative way of delivering the records if they are unable to come to the Records Centre.
- Remind departments of issued boxes/ files regularly via the database.
- Where possible help departments to search for material when they do not know the location code, but it should be recognised that this is not part of the service we offer and can only be done if and when we have the resources.

RLOs undertake to:

- Request retrievals for their area through the Information and Records Management database.
- Ensure records are returned in a secure manner when finished with.

Users undertake to:

- Not send material into the Records Centre which will be needed on more than an occasional basis.
- Keep accurate records of what has been sent into the Records Centre so that they can request items by giving the correct location code.
- Wherever possible arrange a time with Information & Records Management staff to come and consult their records in the Records Centre (printer/ scanner available) or collect files to take away with them. When visiting the Records Centre users must sign a visitor form and be mindful of health and safety and confidentiality requirements within this area.

- If the user is unable to come to the Records Centre, then they can request delivery and Information and Information & Records Management will work with the user to identify the best method of transfer:
 - some smaller items may be able to be hand delivered by the Information & Records Management team but please note that there may be a wait for this service
 - large quantities of records or other requests that cannot be facilitated by the options above (for example, a large number of boxes required at the same time for an audit) may be able to be moved by Property and Campus Services.
- Return all retrieved items when they have finished with them (call Information & Records Management first to arrange a secure method of transfer) or notify us that they are withdrawing the item permanently.

5. Disposal of paper records from the Records Centre

We undertake to:

- Remind departments via the database when their records come up for review.
- Document review decisions about the records from departments and from any referrals (for example to Student Administration and Support or the University Archives) and record what action was taken.
- Where records have been approved for destruction, carry out a thorough check to ensure the material is what the list says it is and check for anything that should be offered to Archives, remove any plastic etc. and send for confidential destruction.
- Where records are selected for permanent preservation in the University Archives, arrange for secure transfer to the Library and provide the University Archivist with the information from the database about the records.
- Where records are to be returned to the originating department, arrange for secure transfer and document this on the database.

RLOs undertake to:

- Respond promptly when they are notified about records due for review.
- Assign the review decision to someone else if the records owner or the contact person has left the university.

Users undertake to:

- Give clear instructions at the time of deposit about the required retention period, particularly if it does not follow the usual recommendations of the University retention schedule.
- Respond promptly to their RLO or to Information & Records Management if asked for information about the records in order to make the correct disposal decision.
- Understand that records with potential historic value will be offered to the University Archives.

6. Confidential destruction of paper records and digital media

We undertake to:

- Deliver confidential waste sacks via the internal mail on request – normally these will be sent out on Tuesdays and Thursdays. It may be possible to send urgent requests more quickly or for users to collect.

- Pick up confidential waste from departments on request. Departments can now request collections directly through the Tulip Records Management menu (under the Administration tab). If unsure of how to do this, departments can contact us via email at recman@liverpool.ac.uk. We may also collect material when collecting boxes for storage if there is a reason the confidential waste company cannot collect direct. We have also provided many areas with consoles for confidential waste – additional sacks in these areas can also be booked in via the database.
- Arrange for the secure and confidential destruction of the material with an approved company.
- Investigate options for special arrangements for confidential waste, for example if required by auditors. Please note there may need to be a fee charged to departments in such cases.
- Act as key-holder for the consoles so we can give access if required, e.g. if someone has accidentally put in records which are still required or other items by mistake.

RLOS undertake to:

- Order sacks from us when needed.
- Book collections of confidential waste when required.
- Ensure that users are aware of the requirements laid out below.

Users undertake to:

- Arrange a suitable date with us for collection or delivery of the material and to give as much notice as possible. This is especially important if they are having large clear-outs at certain times of year or when moving offices as we can only take a limited quantity of material on each pickup.
- Package the material according to the guidelines on our website. This applies in particular to non-paper waste which should be clearly marked and packaged separately to paper waste. Please **do not overfill bags** as they need to be safely handled by the confidential waste company or Information & Records Management/ Property and Campus Services staff.
- Ensure that they only send material that requires confidential destruction.
- Cancel a collection if it is not required as soon as possible so the slot can be offered to someone else.
- In areas with consoles users should:
 - only put paper confidential waste into the consoles
 - not move the console to another location without first checking with Information & Records Management
 - not block the slot, cover up the information displayed on the console, try to open the console or in any other way interfere with the consoles and their correct use
 - notify Information & Records Management if there is any problem, such as missed collections, overflowing consoles, broken locks or if someone puts something in by mistake and needs to retrieve it.

7. Electronic Information and Records Management

We undertake to:

- Provide advice and guidance as in Appendix A, Section 1 to departments regarding their creation, storage, management and deletion of electronic information, including emails and individual or team inboxes.
- Advise teams on applying the University Retention Schedule to their electronic records.
- Support any projects or systems development undertaken by departments where record-keeping or information management implications are present.
- Advise on transfer of electronic records with historic value to the University Archives for permanent preservation.

Users undertake to:

- Apply records and information management principles to their electronic information, including appropriate retention and timely review/deletion.
- Ensure that electronic information is managed in line with the same principles as paper information.
- Take responsibility for ensuring that University policies and the Retention Schedule are applied to all electronic information, including email.