

## Information Asset and Records Management Policy

### 1. Purpose

- 1.1 This document sets out The London School of Economics and Political Science ("the School")'s policy on managing information assets and records. It provides an overview of requirements and directs you to more detailed guidance as appropriate.
- 1.2 If you have any questions relating to this policy please contact the School's Records Manager, Rachael Maguire, [r.e.maguire@lse.ac.uk](mailto:r.e.maguire@lse.ac.uk).
- 1.3 This policy replaces the Records Management policy.

### 2. Background to this policy

- 2.1 The School has a need to manage its information assets and records more effectively. There are several drivers requiring that the School create and maintain a list of its information assets and manage the records within them. These are:
  - 2.1.1 The General Data Protection Regulation, which requires that the School maintains and properly manages records relating to personal data and can produce these on request to the Information Commissioner's Office and data subjects.
  - 2.1.2 The School's cyberinsurance policy, which can only be applied correctly if we know what information assets we have, where they are and if they are secured properly.
  - 2.1.3 The requirements set by research funders and data providers regarding how research datasets should be created and managed through their lifecycle to disposal, either in an archive or by being securely destroyed.
  - 2.1.4 Better management of the School's information assets will lead to more efficient use of IT resources and storage space, both onsite and offsite.
- 2.2 Definitions of terms used in this policy:
  - 2.2.1 'Information Asset' can be defined as a body of information, defined and managed as a single unit so it can be understood, shared, protected and exploited effectively. Examples include databases and filing systems, though it may also be a single document.
  - 2.2.2 A 'Record' is the information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.
  - 2.2.3 A 'Critical Information Asset' is an information asset that the School cannot operate without.
  - 2.2.4 An 'Information Asset Register' is a list containing records about information assets.
  - 2.2.5 A 'Retention schedule' lists the time periods for which information assets should be retained.

### 3. Policy and guidance

- 3.1 The School is committed to a policy of managing information assets and records in accordance with all relevant legislation and good practice in information governance.
- 3.2 This Policy and the further School guidance it refers to apply to all information assets and records created by and/or maintained by the School, regardless of where they are held and, in respect of electronic information assets and records the ownership of the equipment used.
- 3.3 Links to relevant School guidance are set out at the end of this policy. This list is not exhaustive and all relevant guidance can be found on the School's website.

#### **4. Responsibilities**

- 4.1. All members of staff working with information assets must:
  - Keep information assets secure, according to their data classification;
  - Ensure that information assets are listed in the School's Information Asset register
- 4.1.1. The Records Manager will have overall responsibility for maintaining the School's Information Asset Register.
- 4.2. All members of staff who create, store, receive and use records must:
  - Treat records as a School resource;
  - Ensure as far as practicably possible that records are accurate and filed in such a way that they can be easily located;
  - Keep records no longer than they are needed;
  - Keep confidential records in a secure environment;
  - Keep records stored in a safe and cost-effective way;
  - Allow people to access information only if they need or have a right to do so;
  - Create records that are accurate and that do not defame another individual, expose the LSE to unnecessary risk or to tamper with records in a way that risks them becoming inaccurate;
  - Save long term records in an open source or archival format to ensure readability even if systems change. This covers both structured records in databases and unstructured records such as documents, emails, spreadsheets, etc.;
  - Regularly review access controls so only right people can access the right assets.
- 4.3. The heads of academic departments or administrative divisions are responsible for ensuring that the actions listed above are communicated to, and carried out by, the members of staff whom they manage.
- 4.4. The Records Manager is responsible for semi-current records, which are stored outside of a department or division in, for example, a central depository with numerous types of records or in off-site storage facilities. This is subject to paragraph 4.8.
- 4.5. The Records Manager will advise on records management procedures and best practice in the School and provide guidance on how to achieve best practice.
- 4.6. The Records Manager will lead on the creation and maintenance of retention schedules for the School, with input from other staff who will need to use them.
- 4.7. The Records Manager will have a coordinating role in the movement and/or storage of a department's or division's records, thereby helping to ensure that records are kept for their lifespan and then either destroyed or transferred to the School's Archives if they have historic value.
- 4.8. The LSE Archivist will ensure that School records with historical value are kept permanently.
- 4.9. The Information Security Manager will provide advice and guidance on ensuring records are kept secure in line with the Information Security Policy.
- 4.10. As per the Research Data Management Policy, researchers 'have a responsibility to manage effectively and securely the data they create, whether original or derived. Primary responsibility for design and implementation of effective Research Data Management lies with the Principal Investigator' .
- 4.11. The Data Librarian will be responsible for the management of data licences, with the support of the Information Security Team, the Head of Research Division and the Departmental and Research Centre Managers.

**5. Information asset register**

- 5.1 The School's Information Asset Register will provide a definitive list of the information assets held by the school, based on the specification in Annex A.

**6. Training and guidance**

- 6.1 The Records Manager will be responsible for organising an appropriate amount and level of training for relevant members of staff regarding use of and maintaining the Information Asset Register.
- 6.2 The Records Manager will produce further guidance on records and information management, including use of the School's retention schedule.

**7. Compliance, policy awareness and disciplinary procedures**

- 7.1 All current staff, students and other authorised users will be informed of the existence of this policy and the availability of supporting policies, codes of practice and guidelines.
- 7.2 Any breach of this policy will be handled in accordance with all relevant School policies, including the Conditions of Use of IT Facilities at the LSE and the appropriate disciplinary policies.

**8. Status of this policy**

This Policy has been approved by the Information Governance Committee on 21st November 2017. It is available in the policies and procedures section of the website.

**Information Asset Register specification**

**Data fields required by the IAR**

Field name is the label for the field.

Description covers what the field should contain.

Asset types can be: Electronic; Paper; Database; Office PC; Mobile Devices; All

Source is where the field comes from e.g. is it in-house or sourced from another IAR

Notes are any extra information

Maps to Archive Survey form shows the links between the IAR field and the Archive survey.

Field name	Description	Which asset type	Source	Notes	Maps to Archive Survey form
<b>Core fields</b>					
Asset type	Physical, Electronic, Database, Office PC, Mobile Device	All	HSCIC-AQP template		- Sort of matches 10, but Format is closer
Asset name	What is the asset called. Sometimes this will be a database name e.g. SITS, sometimes it will be a description of a collection e.g. personnel files.	All	LSE		5 Title of record series
Asset description	Short description of what information the asset contains – I've so far seen three templates which all contain this field but under different names.	All	HSCIC-AQP template/DoT IAR/TNA template		7 Content of record series
No of records	How many records are held within the asset? This may be shelf metres, number of records in a database, size in KB/GB/TB, etc.	All	DoT IAR/TNA template		Covers 11 Approximately how many files are there; 12 How many linear metres of shelving; and 13 E-records – how many megabytes of storage

<b>Core fields cont.</b>					
Retention	How long should the information asset be kept	All	TNA template		26 How long will you keep the records
Location	Where is the information asset? In general, we would want a specific room number or drive or cloud storage name.	All	HSCIC-AQP template/TNA template		28 Where are the records stored
Asset Platform	What software manages the information asset e.g. Oracle, proprietary system and/or the format e.g. Word. Excel	Potentially All	HSCIC-AQP template	This could be important when particular software is used to manage an information asset	10 Records format (both paper and electronic)
Owner	Who is responsible for managing the information asset	All	HSCIC-AQP template/TNA template		22 Who is responsible for the collection
Business area	Department/Division/ Centre and sub team if necessary	All	DoT IAR		3 Division
Data collection activity	E.g. ongoing, ceased	Database, Paper, Electronic	DoT IAR		24 Is the record series continuing to grow. This leads to 25 What is the rate of growth, but not sure if this is needed in IAR

<b>Information Asset Security fields</b>					
Access	Who can access the asset – may need to specify certain individuals and who the asset is shared with internally or externally	All	TNA template		30 Who should have access to the records
Information Security Classification	Based on the School's scheme	Potentially All	LSE		Closest is 34 Do the records hold sensitive or confidential information
Security measures	Where security measures are necessary e.g. for business critical or have the information security classifications of 'Confidential' or 'Restricted'.	Where necessary: All	HSCIC-AQP template		33 What measures are used to keep the records securely
Level of data destruction	To what level should the data be destroyed e.g. normal deletion, encryption key destruction, Degausser	Electronic, Database, Office PC, Mobile Devices	LSE		-

<b>Business Continuity fields</b>					
Risk/impact	The TNA defines this as: Loss of Confidentiality both safety impact and privacy impact; Loss of Availability; Loss of Integrity..	All	TNA template		-
Support contacts	Where necessary, the names and contact details of the external/internal support for the information asset	Where necessary: All	HSCIC-AQP template		Closest is 23 Is there a staff member who knows how to use/maintain the records
Backed up	If the information asset is backed up, where is the back up and how long is it kept	Electronic, Database, Office PC, Mobile device	LSE	Should this be two fields – 1) where backup stored and 2) how long	-
Make and Model	What make and model is the device containing the information asset	Office PC, Mobile Devices	HSCIC-AQP template	This field is only required if the PC or Mobile Device is the only storage space for the information asset	-
Serial Number	Serial number of device containing the information asset	Office PC, Mobile Devices	HSCIC-AQP template	This field is only required if the PC or Mobile Device is the only storage space for the information asset	-

<b>Data Protection fields</b>					
Personal DP	Does the information asset contain personal data and/or sensitive personal data	Potentially All	DoT IAR		36 Do the records contain personal information? Records survey also breaks down classes of personal data e.g. 37.1 Students, 37.2 Staff, etc. Also exact types e.g. 38.1 Name, 38.2 DOB/Age, etc. and who supplies data e.g. 39.1 Data subject Also 34 Do the records hold sensitive or confidential information
Condition for processing	Which condition(s) for processing listed in the GDPR are used for processing the data	Potentially All	LSE		-
Data processor	If a third party helps to process data, their name should be here	Potentially All	DoT IAR		Closest is 18 Who uses the records



<b>Published Information Assets fields</b>					
In public domain	Is it published or made available through the LSE or any other archive? DoT have this as a yes no, and uses published where to give the location but we could combine the fields.	Potentially All	DoT IAR		Closest is 31 Is the information in the records disclosed outside the University
Published where	If the asset is published either as a print publication or on a website,	Potentially All	DoT IAR		-
<b>Licence agreements fields</b>					
License agreement (LA)/ Depositor agreements (DA)	Does the information asset have a licence agreement	Database, Paper, Electronic	LSE	Relates to data licence agreements	-
LA/DA Permitted/Restricted uses	What are the permitted uses for the information asset i.e. what are we allowed to do with it	Database, Paper, Electronic	LSE	Relates to data licence agreements	-
LA/DA responsibilities for use	Are there specific instructions as to how the School should store and allow access to the information asset	Database, Paper, Electronic	LSE	Relates to data licence agreements	
LA renewal date	If the LA needs to be renewed, what date does it need to be renewed by	Database	LSE	It would be useful if whatever system we use can flag these before the renewal date so we can organise renewal in time.	-

**Review schedule**

Review interval	Next review due by	Next review start
3 years	30 Nov 2020	1 Sep 2020

**Version history**

Version	Date	Approved by	Notes
1	2 Feb 2010	Council	
2	21 Nov 2017	Information Governance Committee	Reclassified as a Management document

**Links**

Reference	Link
Retention schedule	<a href="http://www2.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/retSch.pdf">http://www2.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/retSch.pdf</a>
Information Security policy	<a href="http://www2.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/infSecPol.pdf">http://www2.lse.ac.uk/intranet/LSEServices/policies/pdfs/school/infSecPol.pdf</a>
Archive policy	When available
Research Data management policy	<a href="https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resDatManPol.pdf">https://info.lse.ac.uk/staff/services/Policies-and-procedures/Assets/Documents/resDatManPol.pdf</a>

**Contacts**

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