## Version Control

<table>
<thead>
<tr>
<th>Version</th>
<th>Author</th>
<th>Date</th>
<th>Changes</th>
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</thead>
<tbody>
<tr>
<td>V 1.0</td>
<td>Archivist and Records Manager</td>
<td>March 2008</td>
<td>This is the first approved version of the document</td>
</tr>
<tr>
<td>V 2.0</td>
<td>Interim Archivist and Records Manager</td>
<td>February 2017</td>
<td>Alterations made to cover records in electronic format</td>
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Kew is dependent on its records to operate efficiently and to account for its actions. The aim of this policy is to establish a framework to ensure that adequate records are maintained at Kew and that they are managed effectively, in accordance with legislative, operational and information requirements.

Background
Kew’s Registry was established in 1928 and manages all current and semi-active records. The records form a corporate memory, providing evidence of actions and decisions taken at Kew. They support policy formation and managerial decision making and complement the collections of books and specimens. They are essential to the efficient and productive running of Kew.

All records created at Kew, regardless of format, are Public Records under the Public Records Act and should be kept in accordance with the following legislation and guidelines:

- National Heritage Act 1983
- Data Protection Act 1998
- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- ISO 23081, Information and documentation – Records management processes – Metadata for records
- PD 0008:1999, Code of Practice for Legal Admissibility and Evidential Weight of Information Stored Electronically
- Lord Chancellor’s Code of Practice on the management of records under section 46 of the Freedom of Information Act 2000

Scope
This policy relates to all records created at Kew, defined as information created or received in the course of business, providing evidence of functions, activities and transactions. This includes registered files, records in electronic format (e.g. e-mails), unregistered papers, photographs, microfilms, memorandum, plans and any other form of documentary evidence. It does not include ephemeral or duplicate documents kept for reference or information only.

All records created in the course of business at Kew are corporate records and as such are public records under the terms of the Public Record Acts 1958 and 1967. This includes e-mails and other electronic records.

Objectives
All Kew staff and volunteers will ensure that:

- complete and accurate records are created, captured and maintained, either through the modern Registry or Centris
- records required for accountability are created and kept for the requisite period of time in accordance with Kew’s retention schedule
- sufficient records are kept to ensure that Kew can account fully and transparently for all actions and decisions made
- records are created and maintained in a way such that they are legally admissible and authenticity can be guaranteed. In some cases this may require the hardcopy to be retained
- only those records required for business are created and that they are retained for the minimum amount of time and that those records containing personal data are not retained for longer than is necessary, as required by the Data Protection Act
records can be retrieved efficiently and quickly in order to aid decision-making, increase management effectiveness and comply with FOI legislation
- all records are assigned appropriate and consistent retention periods, which are regularly reviewed
- retention decisions are acted upon promptly and with the agreement of the Information Asset Owner (IAO)
- resources relating to the management of information are effectively used
- those records that are to be retained permanently due to their administrative, organisational, information or historical value are identified and that this is done at the earliest possible time
- records are secure from unauthorised access, alteration or erasure and that access and disclosure is properly controlled and auditable
- records are accessible and held in a format that remains readable for as long as the records are required
- all staff are aware of their record-keeping responsibilities, through training and guidance
- records management procedures and policies are regularly monitored against agreed indicators and improved as necessary
- those records without which the institution cannot function (i.e. vital records) are identified and safeguarded

Implementation/Methodology
Kew is responsible for the following:
- the creation of adequate records to document essential activities
- ensuring records created in the course of business are registered with Registry in accordance with Registry guidelines
- the tracking of movement of records
- the identification and safeguarding of vital records
- providing training and guidance for all staff
- the creation of systematic retention schedules and procedures for consistent and prompt dispositions

Responsibilities
The Director has overall responsibility for ensuring that records are managed responsibly within Kew.

The Archivist and Archives & Registry staff are responsible for co-ordinating records management within the organisation and providing guidance and advice on the management and retention of records. The Archivist is the Departmental Records Officer, responsible to the National Archives for the management of records and archives within Kew.

The heads of departments are responsible for ensuring that the policy is implemented within their individual departments.

All staff must ensure that they keep appropriate, adequate and accurate records of their work at Kew and manage those records in accordance with this policy and any guidance produced by Records Management. This policy applies to all records in hard copy and digital formats that are created, received and maintained by Kew staff in the course of carrying out their duties.

The Head of Legal & Governance is Kew’s DP and FOI officer. The Archivist will assist with these areas as required.

This policy does not address technical issues of digital preservation or electronic systems management, which are the responsibility of the Head of IT.

Supporting Documentation
- Filing and Records Management at Kew Explained (Updated 2016)
- What to Save on Registered Files - User Guide
- File Creation Form
- Contract File Creation Form
- Metadata standards for electronic records (in development)
- Review and Disposition Policy for Electronic Records (in development)
- Electronic Records Management Policy (in development)