

Records Management Policy

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A. Purpose

The University recognises that the efficient management of its records is necessary in order to comply with its legal and regulatory obligations, to support its core functions and to enable the effective management of the institution. The purpose of this Policy is to provide a framework for managing the University's records.

The objectives of the policy are:

- i. To support the management of the University's records so that they underpin day-to-day business and act as an effective information resource;
- ii. To ensure the security, authenticity and integrity of all records and to aid efficiency and accountability across the University;
- iii. To ensure compliance with all legal and statutory obligations to include the full requirements of GDPR;
- iv. To ensure that the University's records are retained in line with the agreed retention periods, as laid out in the retention schedules;
- v. To ensure that records vital to the operation of the University are identified and immediately accessible when required in an emergency;
- vi. To ensure that all records are held and handled appropriately and ensuring that they are secure and readily accessible when needed;
- vii. To enable selection and preservation of the historic records of the University's operation, development and activities.

B. Scope

This policy applies to all records created, received or maintained by all staff that relate to University business. Records and documentation created in the course of research, whether internally or externally-funded, are also subject to contractual and academic record-keeping requirements. It encompasses records in all media, in all forms, in all parts of the organisation.

C. Relationship with existing policies

This policy should be read in conjunction with the following policies:

- i. Information Security
- ii. Data Protection Policy
- iii. Information Classification Policy
- iv. Records Retention Schedule
- v. Subject Data Access Requests

D. Policy Statement

It is the policy of the University to create and maintain authentic, reliable and useable records, which are capable of supporting business functions and activities for as long as they are required. This will be achieved through the consolidation, establishment and continuous improvement of effective records management policies and procedures. Records will be classified and handled in accordance with the University Information Classification Policy and the University Records Retention Schedules.

Records should be managed to ensure that they are authentic, accurate, accessible, complete, comprehensive, compliant, effective, secure, discoverable and reliable. This will be achieved by:

- i. The development and implementation of the University Information Classification Policy;
- ii. The development and implementation of the University Records Retention Schedules which detail the recommended retention periods for records created or received by the University, in line with business need and legislative, statutory and regulatory requirements.
- iii. The regular review of destruction arrangements to ensure that correct procedures for the disposal of business information are followed. Records will be retained for no longer than is necessary for the purpose for which they were created, except for those selected for permanent preservation.
- iv. The selection of a proportion of the University's records for permanent retention as part of the University Archive, for the purpose of historical research and as a permanent record of the conduct of business and the University's activities.
- v. The development of guidelines and training on records management issues and techniques to be made available and regularly reviewed.

E. Responsibilities

Departmental data owners including Heads of Schools have day to day responsibility for the management of records generated by their department activities.

Individual employees have accountability for ensuring the records they are responsible for are complete and accurate records of their activities, and that they are maintained and disposed of in accordance with the University's records management guidelines.

The Data Protection Officer is responsible for providing guidance and developing best practice in records management across the University.

F. Records Retention Schedule

The [Records Retention Schedule](#) will be reviewed at regular intervals to ensure records are being managed in accordance with operational requirements, legal compliance and professional obligations.

G. Audit

Auditing of records management practice across the University will be conducted by the Data Protection Officer to measure success and identify areas for improvement.

H. Training

The University will provide access to appropriate training in records management

I. Relevant Legislation

The University will seek to ensure that its records management policies and best practice guidance facilitate compliance with relevant legislation and specifically the Freedom of Information Act 2000, the Data Protection Regulation 2018 and the Data Protection Act 2018.

J. Evaluation and review

This policy will be formally reviewed every year by the Data Protection Officer and the relevant department(s) within the University. In addition, the effectiveness of this Policy will be monitored as necessary on an on-going basis to ensure it is compliant with relevant legislation.

This policy was last updated in June 2023.