

Records Management Policy

Purpose

The purpose of this records management policy document is to ensure that the University

- has appropriate records to meet its business needs and the needs of its stakeholders;
- operates records management procedures and practices that conform to applicable legislative requirements, including its obligations under Freedom of Information legislation to have a policy in operation for records management;
- clearly defines responsibilities and accountability for records;
- provides staff with the resources, knowledge, competences and procedures to manage records according to the policy.

Context: Legislation, standards and other University policies

The University is subject to the provisions of the

- Data Protection Act 2018
- Freedom of Information Act 2000
- Environmental Information Regulations 2004

Specific business functions and activities within the University are also subject to specific legislation or to professional best practice or relevant ethical guidelines. For example, personnel activities are regulated by employment law; finance activities are governed among other things by the Finance Acts, the Taxes Acts, the Pension Act 1995, and by ethical guidelines issued by the Institute of Chartered Accountants of England and Wales and other professional bodies.

Records management systems and procedures also inter-relate with a number of other University policies which are listed in Appendix A.

The University will, so far as is practicable, seek to comply with professional standards and codes of practice including the relevant international standard on records management, ISO 15489. It will also seek to comply with other relevant documentation such as guidance material from The National Archives and the codes of practice and other guidance material from the Information Commissioner. It will co-operate with other higher education institutions and other relevant public authorities with the aim of benefiting from best practice experience.

The University will also, so far as is practicable, comply with relevant guidance in specific business areas, eg. financial audit requirements.

Scope

This policy covers all records created, received or maintained by staff of the institution in the course of carrying out their corporate functions. Records and documentation created in the course of research, whether internally or externally funded, are also subject to contractual recordkeeping requirements.

1. What is Records Management?

- 1.1. A record is a specific piece of information produced or received in the initiation, conduct or completion of an institutional or individual activity. It comprises sufficient content, context and structure to provide evidence of the activity. It is not ephemeral – that is, it contains information that is worthy of preservation in the short, medium or long term. It may exist in hard copy, or electronically (eg. an email and its attachments).¹
- 1.2. The University recognises that the efficient management of its records
 - promotes efficiency and effectiveness: it supports ease and efficiency of working because employees can easily find the information needed, at the right time;
 - protects individuals and the University: it provides evidence of people's rights and entitlements, shows what the University did and why it did it, and gives records a high value as evidence if they are needed in a court of law;
 - reduces costs, particularly physical and virtual storage space: it helps staff not to keep any more records than are necessary and to know when records can be destroyed.

2. Policy Statement

- 2.1. The University will treat the information located in its records as a valuable resource. Records will be managed to aid efficient information retrieval, in order that they can be used as effective sources of information. Records which are vital for business continuity will be identified.
- 2.2. All staff are responsible for recordkeeping, and records will be created, maintained and disposed of in a consistent way across the University.

¹ Definition by The National Archives.
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- 2.3. The University will maintain quality by keeping appropriately complete, authentic, reliable, secure and accessible records of what it does.
- 2.4. The University will encourage staff to develop key information management skills.
- 2.5. The University's records and information will comply with regulations and legal requirements, including making information appropriately accessible to others.

3. Records Management Systems

- 3.1. The aims of the University's records management systems, whether hard copy or electronic, are that:
 - the record is present: the University has the information that is needed to form a reconstruction of activities or transactions that have taken place;
 - the record can be accessed: information can be located, accessed and displayed in a way consistent with initial use, and the current version is identified where multiple versions exist;
 - the record can be interpreted: the context of the record can be established: who created the document and when, during which business process, and how the record is related to other records;
 - the record can be trusted: the record reliably represents the information that was actually used in or created by the business process, and its integrity and authenticity can be demonstrated;
 - the record can be maintained through time: the qualities of accessibility, interpretation and trustworthiness can be maintained for as long as the record is needed, perhaps permanently, despite changes of formats.
- 3.2. These principles apply to all University recordkeeping systems, including those listed in Appendix B.

4. Responsibilities

- 4.1. The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment. The senior post holder with overall responsibility for this Policy is the University Secretary on behalf of the University Senior Management Team.
- 4.2. Deans, Directors and Heads of Services within the University have overall responsibility for the management of records generated by their activities i.e. for

ensuring that records controlled within their unit are managed in a way which meets the University's records management policy. Each School and Service will have a designated Record Administrator who acts as a first point of contact within that School or Service on records management issues.²

- 4.3. The University Records Manager is responsible for liaising with Record Administrators, for providing guidance, support and training to units, and for monitoring of standards. This guidance will include the [University's records retention & disposal schedule](#).
- 4.4. All University staff who create, receive and use records have records management responsibilities. Individual employees must ensure that the functions for which they are responsible are documented and recorded appropriately. They must also ensure that the records they create and for which they are responsible are
 - fit for purpose;
 - accurate;
 - appropriately secure;
 - accessible in both the intellectual and physical sense to those with a right to see them;
 - maintained and disposed of in accordance with the University's records management guidance of which the records retention schedule forms a part.
- 4.5. The University Secretary has a particular responsibility in ensuring that the University corporately meets its legal responsibilities with regards to information governance. Day-to-day responsibility for compliance with the Data Protection Act 2018, Freedom of Information Act 2000 and the Environmental Information Regulations 2004 is delegated to the University Solicitor and the Executive Assistant to the University Secretary, who have a coordinating and enabling role, and will advise on policy and best practice.

5. Dissemination

- 5.1. The University Records Manager in liaison with School/Service Record Administrators will promote and assist with the implementation of the policy. This will include

² A detailed [description](#) of the role of Record Administrator was agreed in November 2007, but will be reviewed in 2015.

- ad hoc support, advice and guidance tailored to individual needs;
- a resources bank on the website;
- training sessions: both bespoke for individual areas, and general sessions via the Staff Development programme including induction;
- development and support of the University's electronic document and records management system.

5.2. This policy will be held within the electronic document & record management system and will be published on the University's website.

6. Authorisation

This policy was adopted by the University Senior Management Team on 28th November 2008. It is due for review in 2019.

Appendix A: University Policies and Procedures relating to the management of the University's records

	Date created/updated
Anti-corruption, Bribery and Fraud policy	Jun 2012
Archives Access Policy	Mar 2014
Archives Acquisition Policy	Mar 2014
Archives Collections Information Management Policy	Mar 2014
Archives Preservation Policy	Mar 2014
Credit Control and Debt Management Policy	Jan 2008
Data Protection Policy	2018
Equality and Diversity in Employment Policy 2013-2015	2013
Equality and Diversity in Teaching and Learning Policy 2013-2015	2013
Health and Safety Policy	Oct 2013
Human Resources Policies and Procedures (Staff Handbook)	Various
Information & Communication Policy and Strategy	2004
Quality Assurance Procedures for Taught Programmes	May 2014
Records Management Guidance – Disposing of Records	Jul 2014
Records Management Guidance – Managing your emails	Jul 2014
Records Management Guidance – Handling information overload	Jul 2014
Regulations for Awards	Oct 2013
Social Media Policy	Unknown
Students Handbook of Regulations	May 2014
University Retention and Disposal Schedule	Jun 2018

Appendix B: Recordkeeping systems

Agresso	Computerised finance system which enables the University's financial transactions to be carried out conveniently and securely.
ASIS (Applicant and Student Information System)	Computerised system which enables the University to plan and manage its applicant, student and alumni information.
UniLearn	Virtual learning environment which enables the University to make its learning and teaching available when and where is needed by students.
Bond Pay	Computerised payroll system managing University PAYE records. Computerised pool of hourly-paid part-time lecturers.
Bond Professional	Computerised personnel system managing pre-April 2013 employee records together with related recruitment and training activities.
Campus Card system	Computerised system that generates staff and student campus ID cards which are used for identification, library services and access control.
CABS (Conference Booking System)	Computerised conference booking system to support the operation of external conferences.
Cohort	Computerised occupational health database to support the work of the occupational health department.
ePlacement	Computerised student placement database system.
Hobsons	Customer Relationships Management System for applicants and Alumni.
Horizon	Computerised library management system which enables efficient and effective library operations and provides a web-based library catalogue.

Itrent	Computerised personnel system managing post-April 2013 employee records together with related recruitment and training activities
Local Asset Register	Computerised inventory system for the control and disposal of local assets.
Maximiser	Computerised customer relationship management database to support the work of the Student Services disability team.
MS Dynamics	Customer Relationships Management System for liaison with schools, colleges, business development customers, employers, and students using welfare services.
Planon	Computerised Estates and Facilities database system used to manages their helpdesk and building-related information.
Research Information Management System	Computerised database to support the operation of the Research Excellence Framework in the University.
Storage Area Network	Central data storage facility for all staff, students and central computer systems.
UniMail and StaffMail	Internal and external e-mail and electronic calendar system for students and staff.
UniShare	A web-based collaborative system used as the University's intranet. It is also used for document management.
Wisdom	Electronic document and records management system.

POLICY SIGN-OFF AND OWNERSHIP DETAILS	
Document name:	Records Management Policy
Version Number:	V1.1
Equality Impact Assessment:	Not required
Approved by (date):	University Senior Management Team on 28/11/2008. Reverted back to version 1.0 due to introduction of Policy Framework 2017/2018
Effective from:	October 2017
Date for Review:	October 2019
Author:	Sarah Wickham and Amy-Jo Cameron-Williams
Owner (if different from above):	University Archivist and Records Manager
Document Location:	http://wisdom:3797/Records-Management/Policy/RM-Policy.doc and published to the web from https://www.hud.ac.uk/media/policydocuments/Records-Management-Policy.pdf
Compliance Checks:	Staff training via information governance online training package and associated monitoring
Related Policies/Procedures:	Retention and Disposal Schedule Mini retention schedule Data Protection Policy Computing Regulations IT Security Policy Financial Regulations Human Resources policies Occupational Health Policy Health and Safety Policy Intellectual Property Policy University Business Classification Scheme

REVISION HISTORY			
Version	Date	Revision description/Summary of changes	Author
V1.0	17 Oct 2017	Reverted to V1.0 due to introduction of Framework Minor amendments not requiring committee approval.	Amy-Jo Cameron-Williams
V1.1	11 Dec 2018	Minor amendment not requiring committee approval. Reference made to Data Protection Act 2018 and compliance checks included.	Amy-Jo Cameron-Williams