

ISC15D005

Title: *Records management policy*
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Date: 6 October 2015
Circulation: ISSC 20 October 2015
Agenda: ISC15A001
Version: Draft v2.1
Status: Open

Issue

The University records management policy is subject to regular review and update. The revised policy document is offered to seek the committee's approval for the proposed changes.

Recommendation

Recipients are invited:

- To read the policy noting the highlighted changes
- To approved the revised policy

Resource Implications

No change to service is required and therefore there is no impact on resources.

Risk Implications

Policies should be routinely reviewed and updated to ensure they remain current and relevant to the organisation. Records management is an important function, and the risks to the organisation by failing to practise are outlined by the policy.

Equality and Diversity

The revisions to the policy are not expected to have any impact on individuals with protected characteristics.

Timing of decisions

Once approved, the policy can be implemented. Note that the only new policy statement relates to an action which departments will already have in hand.

Further Information

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Background

The Records Management policy is subject to bi-annual review. This paper contains the proposed changes to the policy, which are clearly highlighted.

Attachments

- UEA Records Management Policy, v2.1

UEA Records Management Policy

Author: Raymond Scott (ISD)

Date: ~~12 June 2013~~ [22 September 2015](#)

Version: 2.~~10~~

This document defines the University's policy on records management, and is based on the following principles.

- UEA recognises the value of the records it creates, receives and uses.
- Records provide evidence of activities across the whole of the institution. They contain information that is a valuable resource and operational asset.
- The University will establish procedures to ensure the creation and management of authentic, reliable records.
- Efficient management of records is necessary to support the core functions of the University, and makes a significant contribution to the effective management of the institution.
- Records should be managed at minimum cost according to their value in order to meet legal requirements, operational effectiveness and information needs, and should not be retained for any longer than is necessary or desirable.
- Certain key records have special legal, administrative, public, research or historical value. These will be identified and retained in the University archives.

Version history

Version	Date	Note
1.1	17/6/2010	Approved by ISSC
1.2	17/4/2013	Reviewed and updated
2.0	11/6/2013	Approved by ISSC
2.1	10/7/15	Reviewed and updated

Scope

This policy applies to:

- All records created, received or maintained by the staff of the institution in the course of carrying out their work responsibilities.
- Records created in the course of research, whether internally or externally funded, are also subject to record-keeping requirements.
- All records in both hard copy and electronic format.
- All University departments, both administrative and academic.

Definitions

The following definitions apply to this policy:

- **Record.** This is any form of recorded information created, received or used at the University in connection with its activities ([in support of](#) teaching, learning or research), which is thereafter retained as evidence of those activities. Records may be created, received or maintained in hard copy or electronic formats and include emails and their attachments.
- **Records management.** The set of processes and procedures by which the creation, use, and disposal of records are controlled.
- **Records life cycle.** Records pass through a life cycle. This starts with ~~its~~[their](#) creation and ends with ~~its~~[their](#) deposition or destruction. When a record is first created or received, it is active. It remains active while it continues to be used regularly in the course of business. When it is no longer used but retained for legal, financial or administrative reasons, it is ~~inactive~~[semi-active](#). When a record is no longer required for operational purposes and has outlived its retention period, depending on its value, it [passes through its final outcome and](#) may be destroyed or permanently maintained as a historical record [in the archive](#).
- **Archives.** ~~The selection of r~~Records which are considered to have enduring public, research, historical, informational, evidential or legal value, which are permanently preserved as an enduring record of the conduct of business and organisation of the institution [in the University archive](#).
- **Department.** Department is taken to refer to any organisational units and encompasses administrative units, Faculties, academic schools, research centres and other significant units in the University.

Policy statements

The University will embed Records Management into its business processes to:

- Ensure the University conducts itself in an orderly, efficient and accountable manner.
- Ensure records are managed so that they are an effective information source and can be used to aid efficient information retrieval.
- Ensure the University is able to meet its obligations under regulations and legislation with which the institution is required to comply such as Equality Act (2010), Freedom of Information Act (2000), Environmental Information Regulations (2004) and Data Protection Act (1998).
- [Discover and log the existence and location of the institution's information assets, so that they can be recovered effectively when required. The University is expected to know what information it holds and where that information can be found.](#)
- [Define the period of time for which the records must be held. For eEach department t will create a records retention schedules \(RRS\) to describeing all records held by the department and defineing the period of time for which the records must be held. RRSs must be maintained in a current state and subject to regular review.](#)
- Secure all records in a manner appropriate to their value, content and retention period, [and in line with all other University regulations and policies such Information Classification and Data Management policy](#).
- Avoid unnecessary duplication of records.
- Dispose of any records as soon as they are no longer required and in accordance with their retention ~~policy~~[schedule](#). Confidential disposal methods ~~should~~[must](#) be used where necessary dependent on the records' information classification.

- Ensure efficient use of resources (staff time and physical space).
- Reduce risks to the organisation and ensure business continuity in the event of a disaster.
- Use systems to provide appropriately located, costed and secured storage.
- Identify and preserve records of public, research, historical, informational, evidential or legal value.

Ownership

All records created, received or maintained by University staff in the course of their employment are the property of the University. Employees leaving the University or changing positions are required to leave all records for their successors.

Responsibilities

Within this policy, the following individuals have the following responsibilities:

Responsibility	Owner
Corporate responsibility to maintain records and record-keeping systems in accordance with the regulatory environment	Registrar and Secretary
Development and maintenance of processes to register records	ISD Strategy, Policy and Compliance (SPC) team
Registration of records held	Heads of Department
Development and maintenance of guidance for good records management practice and promoting compliance with the policy	ISD SPC team
Implementation and maintenance of records management procedures. Meeting minimum standards. Staff aware of obligations and responsibilities	Heads of Department (administrative and academic)
Nomination of records management liaison staff within each department to work with the ISD SPC team	Heads of Department
Management of records for which they are responsible in accordance with the guidance	All staff
Development and maintenance of a departmental records retention schedule (RRS)	Heads of Department
Provision of appropriate and timely communication to enable staff to be aware of obligations and responsibilities	ISD SPC team
Review and update of Records Management policy	ISD SPC team
Ensure electronic systems and their functions comply with this policy	Staff with responsibility for computing and system administration
Maintenance of the University Archives	Director of Information Services

References

This Records Management policy is supported within the context of the following pieces of legislation, professional standards, [guidance](#) and University documents:

- ISD Strategic Plan. <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/isd-strategy>

- Freedom of Information policy. <https://portal.uea.ac.uk/documents/6207125/6881749/UEA+FOIA+Policy.pdf>
- Data Protection policy. <https://portal.uea.ac.uk/documents/6207125/7068603/Data-Protection-Policy.pdf>
- Environmental Information Regulations policy. <https://portal.uea.ac.uk/documents/6207125/7105231/Environmental%2BInformation%2BRegulations%2BPolicy.pdf/7e873055-f3a7-4899-bf4f-dc8f4cb6fa8d>
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- Information ~~Management Classification~~ and Data ~~Classification Management~~ policy. <https://portal.uea.ac.uk/documents/6207125/6857482/Information+classification+policy.pdf/>
- UEA records management online training course. <https://infregs-training.uea.ac.uk/rm/>
- Extensive guidance is available from the website for the Information and Records Management Society. <http://www.irms.org.uk/>
- Legislation: Environmental Information Regulations (2004), Privacy and Electronic Communications Regulations (2003), Freedom of Information Act (2000), Regulation of Investigatory Powers Act (2000), Data Protection Act (1998), Human Rights Act (1998), Equality Act (2010), Copyright, Design and Patents Act (1998), Limitations Act (1980)
- Professional standards: Lord Chancellor's Codes of Practice under Sections 45 and 46 of the FOIA (2000), BS 6498:2002, ISO/TR 10200:1991, BSI DSC PD008:2004, BSI DSC PD5000:2002, ISO 15489:2001, BS 4783, BS 7799, ISO 9706:1994, ISC/IEC DIs 11799, National Archives 1999 Functional Requirements and Testing of Electronic Records Management, JISC Study of Records Lifecycle, HEFCE Information on Quality and Standards in HE.

Review

Record-keeping and related practices will be regularly reviewed to ensure they remain effective and relevant. Guidance and procedures will be updated to reflect the outcomes of the reviews.

The Records Management policy will be reviewed every 24 months or sooner as necessary by the ISD Strategy, Policy and Compliance team to ensure it remains current in the light of relevant legislation, organisational procedures or contractual obligations. Changes will be agreed with the Director of Information Services, and authorisation and quality assurance will be provided by the Information Strategy and Services Committee (ISSC).