

Records Management Policy

Report Control Information

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Introduction

The University must create, hold, and eventually dispose of records that evidence its activities. These records are created and held throughout the University and constitute an essential legal and operational resource and asset.

We recognise the importance and value of our records. Effective records management is necessary to support the University's core functions, and makes a significant contribution to the management of the institution.

Records management enables the University to:

- Meet legislative and regulatory requirements
- Defend our interests in litigation and its legal rights more generally
- Undertake and document effective and informed policy formation and decision-making
- Recognise and manage business risks
- Evidence research and teaching and learning activities and accomplishments
- Manage operations in an effective, efficient and evidence-based manner
- Preserve the collective memory and identity of the University
- Provide continuity in the event of a disaster

The purpose of this policy is to define, for the benefit of UEA staff, students and other interested parties, the University's policy on records management.

The policy is supported by specific guidance and training materials that are made available to all staff. It should be read in conjunction with other related policies listed in section 7.

Any queries about this policy should be directed to the University's Information Compliance team at records.management@uea.ac.uk.

Definition of terms

Archives	Records that are considered to have enduring public, research, historical, informational, evidential or legal value, which are permanently preserved in the University archive as a record of the conduct of business, and organisation of the institution.
Business classification scheme*	The systematic identification and arrangement of business activities that allows records to be linked to the business context of their creation.
Data Owner	The Data Owner is the person or department within UEA who acts as the principle authority and has overall responsibility for the information asset and for ensuring that it is managed securely and in compliance with University and government regulations and policies. The Data Owner may delegate day-to-day responsibility for management of the data to a Data Administrator, service group or other persons.
Disposal*	The range of processes associated with the final retention, destruction or transfer decisions and actions in relation to records that have reached the end of their lifecycle.
Information Asset	An information asset is a collection of any type of data, irrespective of type (e.g. numerical data, text) and format (e.g. digital or hard copy). Every record will be an information asset but not all information assets are records.
Metadata*	Structured or semi-structured information which enables the creation, management and use of records through time and across the University
Record*	This is any form of recorded information created, received and maintained at the University as evidence and as an asset in pursuit of legal obligations or business activities. A record will consist of both content and metadata that sets out the context, structure & management of the record.
Records lifecycle	The entirety of the existence of a record which starts with their creation and ends with their deposition or destruction, passing through active (used regularly), and semi-active (not used regularly but retained for legal or operational reasons) phases. When a record reaches the end of its retention period, depending on its value, it passes through its final disposal.
Records management*	The systemic and efficient control of the creation, receipt, maintenance, use, and disposal of records.
Records system*	A system that captures, manages, and provides access to records over time.
Security class	Defines how an information asset (and therefore all records) should be handled, according to the Information Classification and Data Management Policy.

Terms followed by * are based on BSI ISO 1548-1:2016.

1. Policy principles

This policy is based upon the following principles:

- We will recognise that effective records management is an essential way of supporting the activities of the University and of meeting our internal and external obligations
- Our records will be authoritative evidence of the business of the University and will have the following characteristics: authenticity, reliability, integrity and usability¹
- We will have a documented records system that facilitates records management and is regularly monitored and evaluated
- The creation and ongoing management of records will be rooted in the functions and operation of the University and will meet and support any legal or regulatory requirements

2. Scope

This policy applies to:

- All records, regardless of format, that are created, received or maintained by staff in any University department in the course of carrying out their work responsibilities
- Records created in the course of research, whether internally or externally funded

3. Responsibility

3.1 All staff

All staff have an individual and collective responsibility to practice good records management in line with this policy.

The following departments and members of staff have specific areas of responsibility:

3.2 Information Compliance team

The information Compliance team is responsible for:

- Development, promotion and monitoring of effective records management across the University
- Promoting compliance with this policy in cooperation with Data Owners
- Review and update of this policy and other documentation on records management practice and procedure
- Selection and delivery of training material and training opportunities to UEA staff
- Creation and maintenance of guidance for good records management practice, including appropriate communications to enable staff to be aware of their obligations and responsibilities

3.3 Heads of Department/School

Are responsible for:

- Application of this Policy in their areas of responsibility in line with approved guidance and standards
- Facilitating staff awareness of records management obligations and responsibilities

¹ For definition of these terms see: <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/records-management/record-lifecycle-creation>

- Working with the Information Compliance team in any records management planning or implementation activities in line with this Policy
- Oversight of the maintenance of a departmental records retention schedule (RRS)

3.5 ITCS staff with responsibility for system administration

Are responsible for:

- Ensuring IT systems and their functions comply with this Policy
- Working with Information Compliance team and Data Owners to identify potential technical solutions in furtherance of this Policy

4. Accountability and governance

The University will produce and maintain the written guidance, procedures, agreements and policies required to be able to demonstrate adequate records management practices in line with accepted standards. Such documentation will be published on our website where possible to enhance transparency.

The Information Compliance team will report to the Information Compliance Steering Group (ICSG) on matters concerning records management.

5. Records management implementation

In line with the principles set out in section 1 of this Policy, the University will:

- Establish procedures to ensure the creation and management of records that are authentic, reliable, usable, and have integrity.²
- Establish and keep current a functional analysis of the business activities of the University as expressed in a business classification scheme (such as published by JISC) which will provide the basis for our records management procedures
- Maintain Records Retention Schedules to ensure records are not retained for longer than necessary
- Manage records at minimum cost according to their value in order to meet legal requirements, operational effectiveness and information needs
- Ensure that certain key records that have special legal, administrative, public, research or historical value are identified and retained in the University archives
- Design and implement records systems consistent with relevant codes of practice and guidance produced by the National Archives and British Standards Institute. Such systems will include the following features:
 - Record creation standards (i.e. conversion of an information asset to a record)
 - Approved record metadata standards
 - Record access and permission rules
 - Approved and current business classification scheme
 - Approved and current records retention schedule³

² For definition of these terms see: <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/records-management/record-lifecycle-creation>

³ <https://portal.uea.ac.uk/information-services/strategy-planning-and-compliance/regulations-and-policies/information-regulations-and-policies/records-management/rrs-department-policies>

- Security class and storage standards as set out in the [Information Classification and Data Management Policy](#).
- Disposal authorities and records
- Embed records management in systems, projects and operations by design and default as a collective responsibility
- Monitor and audit its compliance with recognised standards
- Wherever possible, use IT systems to facilitate and automate records management

6. Training

The University will offer records management training to staff and research postgraduates, and other groups as appropriate and on request.

Where possible, online training will be the default option for most staff, but the Information Compliance team will offer bespoke face-to-face training on request.

7. Other relevant policies

- Freedom of Information Policy
- Data Protection Policy
- Information Classification and Data Management Policy

8. Regulatory & source documents

- 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 (2018), 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 10200:1990, BSI BIP 0008:2004, BSI DSC PD5000:2002, ISO 15489:2001, BS 4783, BS 7799, ISO 9706:1994, ISO/IEC Dis 11799, National Archives 1999 Functional Requirements and Testing of Electronic Records Management, JISC Study of the Records Lifecycle.

9. Compliance with policy

The Information Compliance team will monitor compliance with this Policy. Non-compliance will be noted and the team will work with the relevant department or individual to improve practices in line with this Policy. Persistent non-compliance with this Policy will be reported by the team to the ISCG, who will address the matter in line with the Group's Terms of Reference.

10. Review process

This policy will be reviewed every 24 months, or sooner as necessary. Changes will be agreed by the Information Compliance Steering Group.