



General Counsel Governance and Compliance

RECORDS MANAGEMENT POLICY ()Tj EMC /Artifact12 766.65 a ET 9artifaID 0 >>BDC1 /TT3

Senior managers, officers, and directors;

Employees (whether permanent, fixed-term, temporary, or casual);

Contract, seconded, and agency staff;

¹ As defined in the British Standard dealing with records management, BS ISO 15489, a record is information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. Records can be understood as a collection of information used for a specific purpose.

² Records Management guidance from the National Archives explains records management as follows: 'Records management is about controlling records within a comprehensive regime made up of policies, procedures, systems, processes and behaviours

Volunteers, apprentices, and interns; and

Others associated with (i.e. performing services for or on behalf of) the University (for example, agents and consultants).

- 2.4 Except where a student is also 'staff' of the University, or creating and maintaining records as a part of the University's functions (e.g. as part of research work), this policy does not apply directly to students.

3. RESPONSIBILITIES

3.1 All Staff

- 3.1.1 All staff are responsible for familiarising themselves with this policy and must adhere to the policy and associated guidance when creating and maintaining records as part of their work for the University.

3.2 Heads of Schools and Professional Services Directors

- 3.2.1 Heads of Schools and Professional Services Directors are responsible for ensuring that staff in their area are aware of this policy and their responsibilities
- 3.2.2 Heads of Schools and Professional Services Directors are responsible for ensuring that records belonging to their School or Division are created, maintained and disposed of in accordance with this policy and related guidance.
- 3.2.3 Heads of Schools and Professional Services Directors are expected to encourage and promote a culture of good records management within their School or Division.

3.3 University Executive Group (UEG)

- 3.3.1 UEGs responsible for supporting and driving the broader information governance agenda at the University, as well as providing assurance that effective best practice mechanisms are in place across the University.
- 3.3.2 As such, within the context of records management, UEG is responsible for:

Approving the Records Management Policy;

Reviewing and approving the University's strategic approach to records management and monitoring institutional compliance;

Ensuring the provision of necessary resources and systems required to enable strategic and effective records management.

4. POLICY

4.1 Importance of Good Records Management

4.1.1

and to enable records to be retrieved and used by everyone who needs them.
Where applicable, it should be clear how records are connected to other records.

- 4.2.5 Where possible, records should be complete and it should be evident when they have last been accessed, used, and/or modified.
- 4.2.6 Records should only be kept ~~for~~ as long as they are required, but they should remain useable and accessible for as long as they are required.
- 4.2.7 Plans should be in place to protect the most business-critical records and mitigate

- 4.5.1 Records no longer in active use, i.e. no longer required for current business or compliance needs, but with long term historical value should be transferred to the University's central archive for permanent preservation; records should not be archived locally.
- 4.5.2 The University's archive documents the functions, organisation, and activities of University, and is used by staff, students, alumni, and the wider research community. Both paper and digital records are preserved, and records should be transferred in the format in which they were held when in use.
- 4.5.3 If records need to be sent to archive, the Collections team will provide a proforma for completion, which will ask for confirmation of details about the record.

Information Classification and Handling Policy