



**BISHOP GROSSETESTE UNIVERSITY**

**Document Administration**

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<b>Assessment:</b> (where relevant)	<table><thead><tr><th>Tick relevant assessments</th><th>Tick if not applicable</th></tr></thead><tbody><tr><td><input checked="" type="checkbox"/> Equality Assessment</td><td></td></tr><tr><td><input type="checkbox"/> Legal</td><td><input checked="" type="checkbox"/></td></tr><tr><td><input checked="" type="checkbox"/> Information Governance</td><td></td></tr><tr><td><input type="checkbox"/> Academic Governance</td><td><input checked="" type="checkbox"/></td></tr></tbody></table>	Tick relevant assessments	Tick if not applicable	<input checked="" type="checkbox"/> Equality Assessment		<input type="checkbox"/> Legal	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/> Information Governance		<input type="checkbox"/> Academic Governance	<input checked="" type="checkbox"/>
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## Records Management Policy

### 1. Introduction

- 1.1 Records management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records and includes processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- 1.2 The University recognises that the efficient management of its records is necessary in order to support its core functions, to comply with its legal and regulatory obligations, and to contribute to the effective overall management of the institution.
- 1.3 This document provides the policy framework through which this effective management can be achieved and audited.
- 1.4 The JISC document *Record Retention Schedule for Higher Education Institutions* provides guidance on recommended retention periods for types of records commonly produced by HEIs and is the document upon which the University's Record Retention Schedule and associated guidance is based.

### 2. Definitions and Scope

- 2.1 For the purpose of this policy, **information** is a broad concept covering organised, manipulated or published data which has theme and meaning, but is not necessarily evidence of an event or decision. A **record** is recorded information, regardless of medium or format, which has been created or received in the course of individual or organisational activity, and which provides reliable evidence of policies, actions and decisions of the University. Records are the final statement of particular transactions and processes and should remain unaltered across time, regardless of how many times they are used, whether for reference purposes or as the basis for creating new documents or records. (**Documents**, in the context of this policy, are defined as works in progress.)
- 2.2 Whilst all records are information, not all types of information are records. Records are normally created at the same time as, or soon after, the event or transaction to which they refer. They should indicate the author(s) and/or participants, organisational context and date, in order that their authenticity and reliability can be assured.

Not all documents will become records and not all records are originally created as documents. For instance, a record might exist in the form of a database, card index or as a film or sound recording. However, whichever format is used in the creation and recording of information (for example, whether it is captured on paper, or stored as microform or digitally), the resulting documents and records should be subject to consistent, systematic and active management throughout their life-cycle, from creation through to final disposition.

- 2.3 **This policy covers any records created, received or maintained by staff of the University in the course of carrying out their corporate duties, regardless of the format or medium. It applies to records created or held by staff both past and present and includes records held by individuals, such as data stored in personal e-mail boxes, and electronic documents, as well as data held in corporate record systems.**

**Records and documentation created in the course of research, whether internally or externally-funded, are also subject to this policy.**

- 2.4 Records facilitate the business carried out by the University and are thereafter retained (for a set period of time) to provide evidence of its transactions and activities. These records may be created, received or maintained electronically or in hard copy.
- 2.5 A small percentage of the University's records are selected for permanent preservation as part of the institution's archives, both for the purposes of historical research and as an enduring record of the conduct of its business.

### **3. Responsibilities**

- 3.1 The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment.
- 3.2 The senior manager with overall responsibility for this policy is the Head of Library Services.
- 3.3 The University Archivist and Records Manager is responsible for drawing up guidance for good records management practice and for promoting compliance with this policy in order to ensure the efficient, appropriate and timely retrieval of information.
- 3.4 University managers have overall responsibility for ensuring that records management practices and procedures within their departments/programmes comply with University policies.
- 3.5 Individual employees must ensure that records for which they are responsible are accurate, and that they are maintained, stored and disposed of in accordance with the University's Records Retention Schedule.

### **4. Relationship with Existing Policies**

- 4.1 This policy should be read in conjunction with the University's **Records Retention Schedule** and has been formulated within the context of the University's Data Protection Policy.
- 4.2 Compliance with this policy facilitates compliance not only with information-related legislation and regulations (specifically with all relevant Data Protection legislation from 2008 revisions onwards, as per current law within the UK and International requirements, the Freedom of Information Act 2000 and the Environmental Information Regulations 2004), but with other legislation, regulations or accepted external standards affecting the institution, for example audit regulations or diversity and equality legislation.

### **5. Guidance**

- 5.1 Advice on records management is available from the University Archivist and Records Manager. This includes guidance on:
  - records creation;
  - records classification (for filing schemes);
  - retention periods for records;
  - storage options for records;
  - destruction options for records;
  - selection and management of archival records;
  - external codes of practice and relevant legislation.