

Records Management Policy



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| Approved by | Head of Governance (SIRO), Dr Adam Dawkins |
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1. Purpose

The aim of this Policy is to ensure that the University complies with our legal obligations to maintain accurate and accessible records and to manage records so that their value as a corporate resource are realised.

The Policy will enable a consistent approach to records management across all Faculties, services and functional areas, ensure that:



- Appropriate records are created or captured in order to provide accurate and complete evidence and information about the institution's activities and transactions.
- Records are efficiently retrievable and are managed in relation to their legislative/regulatory context and the functions or activities which they serve.
- Records are stored and handled in a protected manner commensurate with the risk and magnitude of the damage that would result from their loss or unauthorised access, whilst maintaining access to those that need it in a cost effective manner.
- Records are retained for no longer than is necessary and are disposed of in accordance with the University's record retention schedule, and that 'nonessential' records are also destroyed in a timely, consistent and confidential manner.

A record is defined as "Information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business".

- Northumbria University recognises that records are therefore valuable assets and that the efficient management of them is necessary, and in many cases vital, to support core University functions, to comply with legal and regulatory obligations and to contribute to the effective overall management of the institution.
- The University is committed to establishing and maintaining recordkeeping practices that will ensure the creation and management of appropriate records to provide evidence, accountability and information about its activities and transactions.
- This document provides the policy framework establishing how the University will manage its records and defines the roles and responsibilities for the 'whole life' management of University information.

2. Scope

This Policy applies to all records, created, received or maintained by University staff, contractors, consultants, student workers, temporary workers, shared services, and appointed data processors in the course of carrying out the University's business and research activities both internally and externally funded.

This Policy applies to all records, irrespective of format, including paper, electronic, whether hosted on site or in the cloud, on portable storage media or devices.

This Policy applies to all University subsidiaries, partnerships and locations (including London Campus, Northumbria Nursery and non-UK Offices).

3. Responsibilities

The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment.

The Information Governance Group will review information governance and security related policies and procedures, monitoring the effectiveness of controls and recommending measures to ensure the confidentiality, integrity and availability of University records and information assets.

The Records and Information Manager is responsible for:

- Maintaining the University Records Retention Schedule.
- The creation of appropriate supporting policies, procedures and guidance for good records management
- Providing training and advice on records management best practice.

Campus Services are responsible for:

- Managing University offsite storage.
- Facilitating the deposit of records to storage.
- Facilitating the retrieval of records from storage.
- Facilitating the secure destruction of records upon request.
- Providing secure paper waste disposal bins and sacks for the disposal of records as required under the Information Classification Policy.
- Providing paper recycling bins for the disposal of records identified as not requiring secure disposal.

IT Services are responsible for:

- Managing and maintaining the University electronic environment.
- Ensuring that information remains secure, accessible, readable and authentic.
- Providing appropriate secure disposal mechanisms for electronic records.

Information Asset owners must ensure that:

Systems and assets that they are responsible for have appropriate controls and mechanisms for archiving and or destruction in accordance with the University *Records Retention Schedule*.

Faculties and Departments have overall responsibility for:

- The management of the records generated by their activities.



- Ensuring that the records created, received and maintained by them are done so in accordance with this policy and corporate guidance.
- Developing local procedures for delivering against this policy where required.
- Identifying records that require depositing into relevant longer term storage and labelling them with the appropriate retention periods.
- Notifying campus services, IT Services or information asset owners when records they are responsible for have reached the end of their retention period and securely destroyed and destruction is certified appropriately.

All employees must ensure that the records for which they are responsible are:

- Complete, accurate and reliable records of their activities, capturing the core information required.
- Held securely at all times, irrespective of format, in line with the University Information classification policy.
- Are maintained and disposed of securely in accordance with the University's records management guidelines and retention schedule.
- Are transferred to appropriate long term storage as required.

4. Storage of Records

All University records must be stored in a manner that enables quick identification and retrieval to authorised personnel, but which prevent access to unauthorised individuals.

Electronic records should be held in a logical file stores with consistent and logical file naming and make use of metadata to ensure that files are identifiable. The University will give further advice and support on the most appropriate filing systems, including off-network and online and cloud-based systems which the University holds.

Paper records should be stored in a manner that prevents damage from water, fire or natural light, with sufficient safeguards in place to prevent damage or unauthorised access.

All University departments need to identify “vital records” without which they could not carry out their functions. Storage of vital records should offer the highest levels of protection and security. Robust disaster recovery plans should be implemented and tested to minimise disruption caused by lack of access to vital records.

5. Related Policies and Legislation

This Policy should be read in conjunction with other University Information Governance Policies, including but not limited to relate to:

- Information Classification



- Freedom of Information
- Data Protection
- IT Acceptable Use

Good records management is an important element of delivering University compliance with European and UK legislation affecting the institution, including but not limited to:

- Computer Misuse Act 1990
- General Data Protection Regulations (GDPR)
- Environmental Information Regulations 2004
- Freedom of Information Act 2000 and the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000
- Privacy and Electronic Communications Regulations 2003
- Regulation of Investigatory Powers Act 2000

6. Further Guidance

The following Guidance material for effective Records Management can be found on the Records Management pages of the University website and should be used to develop procedures locally.

If you have any queries relating to Records Management, please contact the Records and Information Manager Duncan James via email duncan.james@northumbria.ac.uk or on extension 7357.