



## Records Management Policy v5

<b>Version:</b>	<b>5</b>
<b>Dated:</b>	<b>01 May 2018</b>
<b>Document Owner:</b>	<b>Information Governance Manager</b>

**Revision History**

<b>Version</b>	<b>Date</b>	<b>Revision Author</b>	<b>Summary of Changes</b>
V5	14/05/2018	R Platt	Approved Version
V4.2	14/05/2018	R Platt	Minor amendments
V 4.1	26/04/2018	Rick Cockram	2018 revision.
V 4	01/08/2009	Caroline Dominey	Previous Published Version

**Approval**

<b>Version</b>	<b>Board</b>	<b>Date</b>
V 5.0	Information Governance and Security Steering Group	May 2018

# Contents

- 1. Introduction..... 4
- 2. Definitions and Scope ..... 4
- 3. Responsibilities..... 4
- 4. Aims of Policy ..... 4
- 5. Policy Statements..... 5
- 6. Modern Records Centre (MRC) ..... 5
- 7. Training Requirements..... 5
- 8. EDRMS..... 5
- 9. Identification of Records..... 5
- 10. Implementation and Resource ..... 5
- 11. Contacts ..... 6

## 1. Introduction

- 1.1 Effective Records Management is vital to enable the professionalism that is expected from a Russell Group university. The efficient management of the University's records is necessary to support our core functions, to comply with legal and regulatory obligations, and to contribute to the effective management of the University. These all contribute to building a reputation as a leading University.
- 1.2 Records provide evidence of the University's business activities and may be important for operational, legal or historical purposes. Records play a vital role in ensuring that the University can operate effectively and, if managed correctly, can be a significant asset to the University. Records Management involves the systematic management of information, to ensure that it is available when and where necessary and that it is kept securely, for as long as necessary, but no longer. This document provides the policy framework through which this effective management will be supported and monitored.
- 1.3 Records Management should be viewed in the context of Information Governance more generally, particularly as it relates to the management of data and other documents produced by the University.

## 2. Definitions and Scope

- 2.1 Records Management underpins an organisation, through ensuring access to accurate, up-to-date records when required by those that require them. Efficient Records Management processes will ensure ease of access to information, efficient use of physical and virtual storage space, legal compliance and reduced duplication of information and effort. This policy applies to all records created, received or maintained by staff of the University while carrying out their corporate functions. Records may be created, received or maintained in hard copy or electronically and act as evidence of a business transaction of the University.
- 2.2 This policy does not apply to the University's historical records which are currently jointly managed by the Devon Records Office and the University's Archive Curator. The Information Governance Office will work with the Archive curator to ensure that appropriate records are selected for permanent preservation, historical research and as an enduring record.

## 3. Responsibilities

### 3.1 Information Users

All information users are responsible for ensuring that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the University's records management guidelines.

All staff are required to complete the Information Governance online training which includes a section on Records management to support them in complying with this policy.

### 3.2 Information Asset Owners

Information Asset Owners are responsible for ensuring all records in their information assets are managed in compliance with this policy.

### 3.3 Information Governance Manager

Records Management is the responsibility of the Information Governance Manager. High quality records management across the University underpins compliance with Data Protection legislation, the Freedom of Information Act and other legal obligations on the Information Governance Manager.

The Information Governance Manager is responsible for the creation and maintenance of a retention schedule, further information can be found in the Information Retention Policy.

The Information Governance Manager is responsible for the effective management of the Modern Records Centre.

## 4. Aims of Policy

- 4.1 The Records Management policy acts as a framework to support the management of records which will:
  - Improve and maintain the quality of Records Management procedures, through a coordinated and consistent approach to the maintenance of records throughout the University.
  - Promote best practice in Records Management throughout the University, thus reducing duplication of records and effort.
  - Enable more streamlined processes and efficient services to staff and students.
  - Work towards compliance with Records Management standards such as BS/ISO15489:2016.

## 5. Policy Statements

### 5.1 The University will:

- Go further than just the letter of the law when it comes to handling personal information and adopt good Records Management practice standards.
- Provide a dedicated Records Management Service within the University, to provide advice and guidance on current procedures as well as support in changing and implementing new systems.
- Develop and maintain a robust records retention schedule, providing guidance on the retention and destruction of records held.
- Identify and retain vital records for operational use.
- Provide advice and guidance to University staff on their use of records and document management systems using an approach based on BS/ISO 15489:2016.
- Provide training and develop a range of guidance notes to support Records Management across the University.
- Protect and keep secure all records in a manner appropriate to their value, content and retention period.
- Consider the implementation of electronic systems where significant benefits can be achieved and resources allow.

## 6. Modern Records Centre (MRC)

6.1 It is the responsibility of the Information Governance service to provide up to date advice, guidance and documentation to support the MRC.

6.2 The physical management of the files in the MRC as well as the retention reviews will also be carried out by the Information Governance Service

## 7. Training Requirements

7.1 The Information Governance service are responsible for ensuring that records management is incorporated into the broader suite of information governance training for staff and students.

## 8. EDRMS

8.1 Electronic Records Management Systems (ERMS) are an increasingly important to the University. Collaboration is a core requirement of document storage.

8.2 Microsoft SharePoint has been identified as the University's EDRMS along with the full Office365 suite.

8.3 Exeter IT are responsible for the management of SharePoint, the implementation of the necessary security controls, and the required communications and training for staff and students.

## 9. Identification of Records

9.1 The identification of records, as compared to documents, is the responsibility of Information Asset Owners who should record their record collections on the University's Information Asset Register.

9.2 Vital Records are defined as records which are vital to the continuing operation of the University. These records may be identified in business continuity plans by plan owners where appropriate.

## 10. Implementation and Resource

10.1 Resourcing of this policy is the responsibility of the Director of Governance, Compliance & Risk in Partnership with the Chief Information and Digital Officer. The Information Governance Manager is responsible for the implementation of the policy, in partnership with the Head of IT Security & Compliance and the Operations & Security Manager.

10.2 This policy should be used in conjunction with other relevant University policies and documents including; but not limited to:

- Data Protection and Freedom of Information Policies
- University Records Retention Schedule
- Information Security Controls policy
- University Data Classification Policy

## 11. Contacts

- 11.1 Any queries or proposed amendments should be referred to the Information Governance Department at [dataprotection@exeter.ac.uk](mailto:dataprotection@exeter.ac.uk).