

# DE MONTFORT UNIVERSITY RECORDS MANAGEMENT POLICY

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**De Montfort University**  
**Records Management Policy**

The University recognises that the efficient management of its records is necessary, to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution and meeting the organisations business needs.

Records management is a corporate function, in a similar way to human resources, finance and estates management. With other issues such as Freedom of Information, the Data Protection Act and Information Security it is a vital part of corporate information management as a whole. Our aim is to consolidate a co-ordinated approach to the management of corporate information.

Records Management:

- Improves the conduct of business in an orderly, efficient and accountable manner
- Helps ensure the University is compliant with any statutory obligations
- Supports and documents policy and managerial decision-making
- Facilitates the effective performance of functions and activities throughout the University
- Protects the interests of the University and the right of students, staff and stakeholders
- Provides evidence of and establishes the University's' business and cultural activities
- Maintains a corporate memory for the University and
- Makes tangible savings in time and resources

This document provides the policy framework through which this effective management can be achieved and audited. It covers

1. Scope of the policy
2. Objectives of the policy
3. Responsibilities
4. Relationship with existing policies
5. Available guidance for implementation of the policy
6. Contacts

## **1. Scope of the policy**

- 1.1 This policy applies to all records created, received or maintained by staff of the institution in the course of carrying out their corporate functions. Records and documentation created in the course of research, whether internally or externally-funded, are also subject to contractual record-keeping requirements.
- 1.2 Records are defined as all those documents which facilitate the business carried out by the University and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
- 1.3 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the process for capturing and maintaining evidence of and information about business activities and transactions in the form of records.
- 1.4 A small percentage of the university's records will be selected for permanent preservation as part of the institution's archives, for historical research and as an enduring record of the conduct of business.

## **2. Objectives of a records management system**

- 2.1 Records contain information that is a unique and invaluable resource and important operational asset. A systematic approach to the management of the University's records is essential to protect and preserve records as evidence of our actions.

## **3. The Records Management Policy of the University is:**

- i. To ensure that the records held by De Montfort University are managed in such a way that they contribute to the mission and aims of the institution as set out in the corporate plan, and effectively support the core functions of learning, teaching and research
- ii. To ensure that records vital to the overall operation of all parts and levels of the University are identified, preserved and organised in such a way that they can be easily located and retrieved.
- iii. To ensure that all records are protected (from fire, flood, loss, etc) and kept secure in a manner commensurate with their value and retention period.
- iv. To ensure that the content of sensitive records is secured against unauthorised access.
- v. To avoid duplication and retention of records where possible and appropriate.

- vi. To ensure that the business of the University is conducted in an orderly and efficient manner and that accountabilities to key stakeholders are met in a timely way.
- vii. To ensure that legislative and regulatory requirements are met
- viii. To ensure business continuity in the event of a disaster
- ix. To ensure the most efficient use of time, money, people and buildings in the management and preservation of records.
- x. To realise best value through improvements in the quality and flow of information and greater coordination of records and storage systems.
- xi. To instil good practice in records management across the University through the provision of training, advice and guidance.
- xii. To protect the interests of the organisation and the rights of employees, clients and present and future stakeholders
- xiii. To establish an institutional and cultural identity and maintain a corporate memory.

#### **4. Responsibilities**

- 4.1 The University has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Senior Management Team member with overall responsibility for this policy is the **Pro-Vice Chancellor**.
- 4.2 The University's Record Manager is responsible for drawing up guidance for good records management practice and promoting compliance with this policy in such a way as to ensure the easy, appropriate and timely retrieval of information.
- 4.3 Heads of departments and units have overall responsibility for the management of records generated by their departments' activities, namely to ensure that the records created, received and controlled within the purview of their department or unit, and the systems (electronic or otherwise) and procedures they adopt, are managed in a way which meets the aims of the University's records management policy.
- 4.4 Members of staff with designated responsibilities for computing and systems' administration are accountable to their head of department for ensuring that electronic systems and the functions/transactions performed by their programs comply with this policy and related requirements.
- 4.5 Committee Secretaries are responsible for ensuring that a full record of a committee's business (its minutes, agenda and all supporting papers) is preserved and that any documents generated or received electronically are printed in hard copy format and form part of the full and official record. This official record, in paper format and

designated for permanent retention in the University Archive, will be taken as the definitive and authentic copy where minutes are not signed. Copies of minutes, reports and papers may then be distributed and shared electronically. Such copies will be the personal responsibility of individual committee members.

## **5. Relationship with existing policies**

This policy has been formulated within the context of the following University documents:

- Information Strategy
- Freedom of Information Policy
- Data Protection policy
- Compliance with this policy will in turn facilitate compliance not only with information-related legislation (specifically FoI 2000, DPA 1998 and BS ISO 15489:2001 Records Management) but also with any other legislation or regulations (including audit, equal opportunities and research ethics) affecting the institution.

## **6. Guidance**

Guidance on the procedures necessary to comply with this Policy is available from the Records Manager. This guidance covers:

- Records creation
- Business classification (for filing schemes)
- Retention periods for records
- Storage options for records
- Destruction options for records
- Archival records: selection and management
- External codes of practice and relevant legislation
- Glossary of terms
- Transfer and transmission of records
- Ownership of records
- Electronic records

## **7. Contacts**

University Records Manager  
University Freedom of Information Officer and Data Protection Officer

Appendix A - References

Appendix B - Glossary of Record Management terms