Records Management Policy Statement

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Collaborative provision:	Not mandatory

State whether this document is applicable to the University's collaborative partners

Related documents:	'Data Protection Policy' 'Research Data Management & Sharing policy', 'Data Classification Policy' 'Information Security Policy' 'Retention Schedule' 'Freedom of Information Policy' Data Strategy' Information Governance & Assurance Policy.
University document:	Yes

A University document applies across the institution, is approved by a committee of Council or Senate and is held in the University Policy Directory on SharePoint.

Published location:	SharePoint, Knowledge Item Intranet

- The University has adopted the principles of Designing for Diverse Learners, and all policy documents should be written with reference to these principles. Further information is available at the **Designing for diverse learners website**.
- An Equality Impact Assessment (EIA) must be considered for all new and amended policies. Further information is available from the **EIA section of SharePoint**.
- This document is available in alternative formats from **policy@hull.ac.uk**.
- All printed or downloaded versions of this document are classified as uncontrolled

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1 Introduction

1.1 The University acknowledges that appropriate record creation and management is essential for effective administration and to meet strategic aims and objectives, to provide evidence of the transactions and activities of the University. The efficient management of records is also necessary in order to comply with its legal and regulatory obligations.

2 Scope

2.1 The policy applies to all University records[1]; that is records created, received or maintained by the University in the course of carrying out its business, including the carrying out of research and the fulfilment of compliance with any regulatory requirements.

2.2 It encompasses records in all media, in all forms in all parts of the organisation.

2.3 This policy applies to all University staff creating and maintaining records as part of their work at the University. This includes Senior managers , Directors, employees whether permanent, fixed term, temporary or casual and Contract, seconded, agency staff.

3 Purpose

3.1 The purpose of this policy statement is to provide a framework for managing the Universities records to support its core functions and enable the effective management of the institution.

3.2 The objectives are

- To support the management of the University's records so that they underpin day-to-day business and act as an effective information resource;
- To ensure compliance with all legal and statutory obligations to include the full requirements of GDPR;
- To ensure the security, authenticity and integrity of all records and to aid efficiency and accountability across the University.
- The University will be better prepared in terms of business continuity ensuring all records are handled appropriately and readily accessible when needed.
- To ensure that records are retained in line with the agreed retention periods, as set out in the University Retention schedule.
- To enable selection and preservation of records within continuing historical value or interest to the University and the wider world.

[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

4 Policy Statement

4.1 This policy statement is part of the Information Governance & Assurance Framework.

It is the policy of the University to create and maintain authentic, reliable and useable records capable of supporting business functions and activities as long as they are required. This will be achieved through the establishment and continuous improvement of effective records management policies and procedures. All records will be classified and handled in accordance with the University Data Classification Policy and Retention Schedule.

4.2 Records Capture/Creation

Records must be captured or created, with relevant content, sufficient contextual information, integrity and authenticity to meet the University's needs for evidence and information, particularly where there are external legal or regulatory requirements.

Records must be created in a durable form that will enable their accessibility to the University for the full length of their retention period.

Where records created contain personal data this data must be relevant to their purpose and not excessive.

4.3 Records Maintenance

Records must be categorised, handled and stored in accordance with the Data Classification Policy.

Suitable controls or record systems should be in place to protect the authenticity, reliability, integrity and usability of records to ensure that the University's evidential needs are met. These controls may include protection from unauthorized access, loss or alteration and back up regimes.

To enable knowledge sharing, business continuity and collaboration, records should be accessible to those that require access and in line with the Data Classification Policy.

Records must be maintained to ensure accessibility and usability for as long as required this may require migration of records to newer formats or systems. Where migration is carried out, sufficient safeguards must be taken and documented to ensure the integrity and reliability of the records is maintained.

4.4 Records Retention

Records must be retained in line with University Retention Schedule.

The Retention schedule ensures that records are retained for no longer than is necessary for University business needs, except where records are selected for permanent preservation.

Personal data must not be kept for longer than necessary, unless relevant exemptions have been identified and applied (e.g. scientific or historical research purposes, statistical purposes, or for archiving in the public interest.

4.5 Records Disposition

Records must be destroyed in line with University Retention schedule and confidentially in accordance to the Data classification Policy.

As good practice destruction of records should be authorised by appropriate manager.

Where records are scheduled for destruction, but we are in receipt of a Freedom of Information, Environmental information or rights request destruction will be delayed until the conclusion of the request.

5 Responsibilites

5.1 Directorate & Heads of schools have day to day responsibility for the management of records generated by their department activities.

5.2 They will nominate Data Owners to ensure good housekeeping practices are undertaken to ensure the accuracy, integrity and relevance of data assets.

5.3 All members of staff are responsible for following this policy and for ensuring they create accurate records that document the actions and decisions for which they are responsible, and maintain those records in accordance with the standards as laid out.

5.4 Where relevant, other parties including students, contractors, consultants and visitors should be made aware of their responsibilities under this policy.

5.5 The Data Protection team is responsible with assistance from ICT for providing guidance, relevant policies and developing best practice in support of records management.

6 Compliance

6.1 Breaches of this policy shall be reported to the IT Support Portal and dealt with under the Information Security Incident Management Procedure (TBC) or where personal Data is concerned the Data Breach Policy. A breach of this policy may be considered a disciplinary matter and addressed under the relevant disciplinary code.

6.2 Compliance with this policy should form part of any contract with a third party that may involve access to University's records. Failure by contractors to comply with this policy may constitute an actionable breach of contract

8 Version Control

Version	Author	Date approved	Relevant sections
V1	Angela Clement	22/10/2024	