RECORDS MANAGEMENT POLICY

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

It covers:

1. Scope of the policy
2. Responsibilities
3. Record quality
4. Records management
5. Security of records
6. Access to records
7. Accountability
8. Relationship with existing policies
9. Available guidance for implementation of the policy
10. 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 therefore retained (for a set period) to provide evidence of its transactions or activities. Those 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 process for capturing and maintaining evidence of an 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. Responsibilities

2.1   The University has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment.

2.2   Records management falls within the remit of the Senate (or a Working Group appointed by Senate). Senate will be apprised of significant developments in this area by the University's Legal Officer.

2.3   The senior member of the University with responsibility for this policy is the Deputy University Secretary.

2.4   The University's Legal Officer is responsible for coordinating 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.

2.5   Each Department has its own responsibility for effective and efficient archive and records management.

2.6   It is important that all members of the University appreciate the need for responsibility in the creation, amendment, management, storage of and access to University records. Individual employees must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with Roehampton's record management guidelines.

3. Record quality

University records should be accurate and complete in order to facilitate audit, and fulfil the University's responsibilities. Records should show evidence of their origin and authority so that any evidence derived from them is credible.

4. Records management

Record-keeping systems should be easy to understand, clear and efficient in terms of minimising staff time and space for storage.

5. Security of records

Records must be kept securely to ensure that no unauthorised persons can access them and to provide evidence of their validity in the event of a legal challenge.

6.   Access to records

Access to records is a key element of Roehampton's Information Strategy 'To get the right information to the right person at the right time in the right format'. Fast, efficient access to records is essential for the University's business efficiency and a key element in ensuring that the University is in a position to fulfil its requirements under the Data Protection Act and Freedom of Information Act.

7.   Accountability

The University must be in a position to account to the regulatory authorities, members staff and student members and the general public to meet its statutory obligations, audit requirements and codes of practice.

8.   Relationship with existing policies

This policy has been formulated within the context of the following University documents: Information Strategy, Data Protection Policy, Archiving Policy and Records Retention Schedule. Compliance with this policy will facilitate compliance not only with information-related legislation (such as the Data Protection Act and Freedom of Information Act) but also with any other legislation or regulations (for example audits and Health and Safety requirements) affecting Roehampton.

9.   Training and guidance

Information on training and guidance available to comply with this policy is available through the University's Legal Officer. The training and guidance covered includes:

* records creation

* classification of records

* retention periods for records

* storage option for records

* destruction options for records

* archiving records: including selection and management

* external codes of practice

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