



RECORDS MANAGEMENT POLICY

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Records Management Policy

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1. Introduction

- 1.1 The University recognises that the efficient management of its records 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.

2 Scope of Policy

- 2.1 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.
- 2.2 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.
- 2.3 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.
- 2.4 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. The criteria for the selection of records for permanent preservation is set out in Appendix II to this policy.

3 Responsibilities

- 3.1 The University has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment.
- 3.2 Records management falls within the remit of the University Executive Board . The UEB will be apprised of significant developments in this area by the University Secretary.
- 3.3 The senior member of the University with responsibility for this policy is the University Secretary.
- 3.4 The University's Information Governance Manager 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.
- 3.5 Each Department has its own responsibility for effective and efficient archive and records management.
- 3.6 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 records retention schedule.

4 Record quality

- 4.1 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.

5 Records management

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

6 Security of records

- 6.1 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.

7 Access to records

- 7.1 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 2018, the UK GDPR and Freedom of Information Act 2000.

8 Records Retention

- 8.1 The University's [Records Retention Schedule](#) details the categories of records held by the University and how long they should be retained. The retention period is determined by business need and the requirements of relevant legislation including the Data Protection Act 2018, the UK GDPR and the Limitation Act 1980.
- 8.2 The schedule is maintained and regularly updated by the Governance and Legal Office, with changes approved by the Audit Committee.

9 Accountability

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

10 University Archive

- 10.1 The University is committed to identifying and selecting records which build a comprehensive picture of its history and that of its predecessors (predecessors, Roehampton Institute and University of Surrey Roehampton) over time.
- 10.2 Roehampton University Archive is the central place of deposit for the records of the University and its predecessors, created and accumulated since its formation as Roehampton Institute in 1975.
- 10.3 Appendix 1 sets out the archive appraisal and selection criteria.

11 Relationship with existing policies

- 11.1 This policy has been formulated within the context of the University's Data Protection Policy. Compliance with this policy will facilitate compliance not only with information-related legislation (such as the Data Protection Act 2018, UK GDPR and the Freedom of Information Act 2000) but also with any other legislation or regulations (for example audits and Health and Safety requirements) affecting Roehampton.

APPENDIX I: UNIVERSITY ARCHIVE: APPRAISAL AND SELECTION CRITERIA

1. Aims and scope

- 1.1 To achieve a permanent establishment for the care and inspection of records based on sound management in accordance with guidance produced by the National Archives.
- 1.2 The selection process will aim to facilitate the survival of records which have historical value or contribute to the corporate memory of the University by providing evidence of significant activities, actions and decisions.
- 1.3 The University wishes to grow the archive, to ensure we preserve records of evidence of the substantive work of the University, and to identify and select records which build a picture of the institution as:
 - 1.3.1 a corporate entity;
 - 1.3.2 a teaching and learning organisation;
 - 1.3.3 a research and innovation organisation;
 - 1.3.4 a contributor to economic and cultural development;
 - 1.3.5 a member of local, national and international communities;
 - 1.3.6 a community in itself.
- 1.4 The Archive will in particular aim to preserve the records of University Council, University Senate and their predecessors, academic and research records of its students and staff and the personnel files of former staff.

2 Collection objectives

- 2.1 To preserve records of:
 - 2.1.1 what the institution has done;
 - 2.1.2 why it did it in a particular way;
 - 2.1.3 when, where and how things were done;
 - 2.1.4 what the institution, its staff and students have achieved; and
 - 2.1.5 its impact locally and in the wider world.
- 2.2 To maintain an inventory of archived records of practical use to staff and other users.