

RECORDS MANAGEMENT AND THE ARCHIVING AND RETENTION OF PRIME DOCUMENTS AND BUSINESS RECORDS

SUMMARY OF PRINCIPAL CHANGES

General changes	
None	
Section	
7.3	Refer to text

(Amendments to version **03.0**, UPR **IM11**, are shown in italics.)

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1 INTRODUCTION

- 1.1 The University's Records Management policy establishes a framework for the determination, creation and management of records within the University of Hertfordshire.
- 1.2 This document has been approved with effect from 1 January 2016¹. The regulations and supporting schedule relating to the archiving and retention of prime documents set out in .Appendix I, UPR IM11¹ are approved from time to time by the Secretary and Registrar who is the senior administrative officer of the University, Secretary to the Board of Governors and is advised by the Chief Information Officer.

2 CONTEXT

- 2.1 This records management policy should be regarded as a subsidiary policy of the University's overall Information Management Policy (UPR IM02², refers). The key principles set out in that policy also apply to records management.
- 2.2 The University's records management policies and practices will be integrated fully with the University's broader information management policy and strategy programme (including business systems and knowledge management).

3 DEFINITIONS

- 3.1 For the purposes of this document the following definitions will apply:

3.1.1 **'Documents'**:

containers of information, stored on a physical medium, which can be interpreted in an application context (includes both electronic and paper or other analogue format);

3.1.2 **'Records'**:

those documents created or received by an organisation and maintained as evidence of its activities in pursuance of legal obligations or in the transaction of business (ISO 15489, refers);

3.1.3 **'Records management'**:

the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO 15489, refers);

3.1.4 **'Classification'**:

the systematic identification and arrangement of business activities and/or records into categories according to logically structured conventions, methods and procedural rules represented in a classification system (ISO 15489, refers)³;

3.1.5 **'Disposition'**:

the range of processes associated with implementing records retention, destruction or transfer decisions which are documented in disposition authorities or other instruments (ISO 15489, refers). All University records will belong to a record series with an agreed retention schedule, approved by the Secretary and Registrar, assigned to each series;

¹ **Academic Board Minutes:** 370, 7 March 2007, and 402, 13 June 2007, refer.

² UPR IM02 'Information Management Policy'

³ The University will be employing the Joint Information Systems Committee (JISC) functions based classification scheme that classifies all records by the functions, activities and transactions of the University.

3.1.6 **'Folder':**

a set of related documents/records. This term may be applied to both paper and electronic folders;

3.1.7 **'Part':**

a subdivision of a folder created to improve manageability of that folder: typically a part set up on a chronological basis or when a folder reaches an agreed size.

4 **RECORDS MANAGEMENT POLICY**

4.1 The University is committed to establishing and maintaining records management practices that meet its business needs, ensure good corporate and academic governance and enable it to meet accountability requirements and stakeholder expectations.

4.2 The University's records are its corporate memory and, as such, are a vital asset for ongoing operations. They provide essential evidence of business activities and transactions. The University recognises its legal and regulatory obligations and is committed to the records management principles and practices set out in the International Standard for Records Management (ISO 15489).

4.3 This policy provides a corporate framework for all the University's record keeping activities. Subsidiary policies and strategies may be developed, as appropriate.

4.4 The University is committed to implementing best record-keeping practices and systems to ensure the creation, maintenance and protection of accurate and reliable records. All practices concerning record-keeping within the University are to be in accordance with this policy and its supporting procedures.

5 **SCOPE OF RECORDS MANAGEMENT POLICY**

The records management policy applies to:

- i records in all forms;
- ii all University of Hertfordshire activities;
- iii individual Members of the University (UPR GV06⁴ refers);
- iv the University's wholly-owned subsidiary companies⁵;
- v activities undertaken under the provisions of academic agreements, as defined in the Financial Regulations (UPR FR06)⁶, such as collaborative activities with Partner Organisations.

⁴ UPR GV06 'Membership of the University'

⁵ Wholly-owned subsidiary companies which operate with the Financial Regulations of the University are automatically subject to the policies and procedures set out in this document (UPR IM11). Wholly-owned subsidiary companies which operate with separate Financial Regulations and partly-owned companies will be subject to the policies and procedures set out in this document (UPR IM11) unless, for good reason, an exception is granted by the Secretary and Registrar who will be advised by the Chief Information Officer and provision will be made, as necessary, in Financial Regulations, Shareholder's Agreements and Memoranda of Understanding.

⁶ UPR FR06 'Corporate Governance and Financial Regulation'

6 LEGISLATION AND STANDARDS

- 6.1 The University's records management procedures and systems will comply with legal, regulatory, ethical and best practice standards and University policies and rights management requirements including Data Protection (UPR IM08⁷ refers), Freedom of Information (UPR IM09⁸, refers), copyright legislation, contracts and licence agreements.
- 6.2 The University will develop records management systems that capture and maintain records with appropriate evidential characteristics in accordance with its obligations under these pieces of legislation.
- 6.3 The University is committed to best practice record-keeping and will develop records management systems consistent with the International Standard for Records Management (ISO 15489); the Lord Chancellor's 'Code of Practice on Records Management for Section 46 of the Freedom of Information Act' and The National Archive's Functional Requirements for Electronic Records Management Systems 2002.

7 RECORDS MANAGEMENT SYSTEMS

- 7.1 The Chief Executive's Group has approved Corporate Records Management Standards which apply to all documents and records of the University (relevant Appendices to UPR IM11⁹, refer).
- 7.2 All data records will be held in databases within the University's corporate systems.
- 7.3 *The University's main document and records management repository is the Document Management System (DMS). This is used to capture, manage and store all prime documents and business records, both paper and electronic, which are not held in the University's corporate data systems, such as the Student System or Finance System. Examples of prime records held in the DMS include Board and Committee papers, contracts and exam papers.*

(Note for guidance:

It should be noted that in the case of boards and committees within the Board of Governors and Academic Board Committee Structures, Standing Orders or constitution documents may specify that their primary record of business is the Minute Book, in which case a copy of the documents that form the Minute Book will be also be deposited in the DMS.)

- 7.4 Paper records will be moved to central stores as they become inactive and logged and tracked on the system. Electronic records will be captured or created on the system and managed on the system throughout their life.
- 7.5 The University's records management systems are dedicated to the creation and maintenance of authentic, reliable and usable records for as long as they are required to effectively and efficiently support business functions and activities and/or to meet legal requirements.
- 7.6 The records management systems will manage the following processes:

⁷ UPR IM08 'Data Protection'

⁸ UPR IM09 'Freedom of Information'

⁹ Appendix II, UPR IM11 'Corporate Records Management Standards'
Appendix III, UPR IM11 'Corporate Records Management Standards - Guidelines for Creating and Maintaining Electronic Filing Systems'
Appendix IV, UPR IM11 'Corporate Records Management Standards - Identifying and Managing Emails as University Records'
Appendix V, UPR IM11 'Corporate Records Management Standards - Standard Naming Conventions for Electronic Files, Folders and Records'

- i the creation of records;
- ii the capture of records;
- iii the storage of records;
- iv the protection of record integrity and authenticity;
- v the security of records;
- vi access to records;
- vii the controlled disposal of records according to the University's agreed retention schedules (Appendix I, UPR IM11¹, refers).

7.7 Separate procedures will be determined to cover all aspects of paper and electronic records management.

8 ROLES AND RESPONSIBILITIES

8.1 General

As records management is a primary responsibility of the University enshrined in its policies and regulations, it is the responsibility of all those working on behalf of the University to carry out their records management duties in accordance with their contracts of employment and service, with this policy and related procedures and in compliance with the University's Corporate Records Management Standards (Appendix II, Appendix III, Appendix IV and Appendix V, UPR IM11¹⁰, refers).

8.2 Vice-Chancellor

The Vice-Chancellor has overall responsibility for the authorisation of the records management policy and procedures and will oversee the management of this policy within the University.

8.3 Secretary and Registrar

As the chief administrative officer, the Secretary and Registrar is responsible to the Board of Governors for the maintenance of records management within the University in accordance with the standards established by this policy.

8.4 Chief Information Officer

The Chief Information Officer is responsible for the implementation, promulgation and promotion of this policy; training; maintaining the technology for the University's records management systems; maintaining the integrity and authenticity of records and for the co-ordination of policy reviews (section 9, refers).

8.5 Records Manager

The Records Manager is responsible for overseeing the design, implementation and maintenance of this records management policy and related procedures, as well as monitoring compliance.

¹⁰ Corporate Records Management Standards – Standard Naming Conventions for Electronic Files, Folders and Records

8.6 **Managers**

Managers at all levels are responsible for the management of this policy and related procedures through resource allocation and other management support within those areas for which they have responsibility. They will embed the records management practices within normal business practices and ensure records are captured in the appropriate corporate system.

9 **MONITORING AND REVIEW**

The Chief Information Officer will monitor and review the development of record-keeping strategies and practices across the University and will review this policy, biennially, in collaboration with the Secretary and Registrar.

Mrs S C Grant
Secretary and Registrar
Signed: **11 December 2015**