1. Introduction

1.1 Records Management is the process of managing records, in any format or media type, from creation through to disposal in line with legal and business requirements.

1.2 Effective Records Management allows for fast, reliable and secure access to records ensuring the timely destruction of redundant records as well as the secure identification and archiving of records considered worthy of permanent preservation.

1.3 The University of Leicester recognises that the efficient management of 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.

2. Scope

2.1 This policy applies to all employees of the University of Leicester.

2.2 This policy applies to all records created, received or maintained, in either hard copy or electronic format, by staff of the University in the course of carrying out their corporate functions.

2.3 Records are defined as those documents, regardless of format, 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.

2.4 For records created in the course of research, whether internally or externally funded, the record keeping requirements will be specified in the research contract.

2.5 A small percentage of the University's records will be selected for permanent preservation as part of the University's archive for historical research and as an enduring record of the conduct and management of the University.

3. Responsibility for Records Management

3.1 The University has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Registrar and Secretary has overall responsibility for this policy.

3.2 Information Assurance Services has responsibility for drawing up guidance for good records management practice and promoting compliance with this policy.

3.3 Heads of Colleges, Departments, Divisions, Centres and Units have overall responsibility for the management of records generated within their area. All records should have an identified owner responsible for their management whilst in regular use. This person will be defined as the Information Asset Owner.

3.4 Individual employees must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with the University's guidelines and any legislative, statutory and contractual requirements.
3.5 Staff responsible for developing and implementing electronic systems which create and manage records should ensure records management considerations are incorporated into the system design at the earliest possible stage of development.

3.6 The Archivist is responsible for managing the archival records of the University.

4. Standards

4.1 University Records:

- Should have relevant content, context and format. They must be accurate, timely and well managed.
- Should directly relate to and be in support of a service, function or activity delivered by the University.
- Should be managed and stored in a suitable format to retain quality, relevance, accessibility, durability and reliability. Any transfer to another format must have due regard to retaining these qualities.
- Should be kept securely as befits the confidentiality and importance of the record. Records should be protected from non-authorised disclosure.
- Should be accessible and retrievable, as required.
- Must be kept in compliance with the Retention Schedule.
- Should be subject to clearly defined arrangements for appraisal to select those worthy of permanent preservation.
- Should undergo appropriate destruction when no longer required. Records should be disposed of in an organised, efficient and, where necessary, confidential way.

5. Compliance Framework

5.1 This policy should be read in conjunction with other University policies and guidance. These include, but are not limited to,

- Information Security Policy
- Data Protection Code of Practice
- Freedom of Information Code of Practice

6. Guidance

6.1 Guidance on the procedures necessary to comply with this Policy can be found within the following documents

- Records Management Good Practice Guidance (RMP-I1)
- Record Retention and Disposal Guidance (RMP-I2)
- Records Management Implementation Guidance (RMP-I3)
- Records Management Retention Schedule (RMP-I4).

6.2 Further assistance can be sought from Information Assurance Services.

Failure to comply with University Policy may lead to disciplinary action.

The official version of this document will be maintained on-line. Before referring to any printed copies please ensure that they are up-to-date.