



Document Control Table

Document Title:	Records Management Policy
Author(s) (name, job title and Division):	Sian Collins, Records Manager, Governance and Compliance Division
Version Number:	2.0
Document Status:	Approved
Date Approved:	29 June 2015
Approved By:	Information Security Review Group
Effective Date:	29 June 2015
Date of Next Review:	29 June 2016
Superseded Version:	1.3

Document History

Version	Date	Author	Notes on Revisions
V 1.3		Sarah Phillips, University Records Manager	
V 1.4	March 2015	Sian Collins, University Records Manager	Full review, wholesale changes
V1.5	April 2015	Sian Collins, University Records Manager	Minor amendments
V1.6	May 2015	R Robertson, Deputy Director, GOVRN	Further amendments

RECORDS MANAGEMENT POLICY

1. PURPOSE

The purpose of this policy is to provide a framework for managing the University's records.

The objectives of the policy 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 the security, authenticity and integrity of all records and to aid efficiency and accountability across the University;
- To ensure compliance with all legal and statutory obligations;
- To ensure that the University's records are retained in line with the agreed retention periods, as laid out in the retention schedules.
- To ensure that records vital to the operation of the University are identified and immediately accessible when required in an emergency;
- To ensure that all records are held and handled appropriately and ensuring that they are secure and readily accessible when needed. (This objective includes consideration of data migration issues.)
- To enable selection and preservation of the historic records of the University's operation, development and activities.

2. SCOPE

This policy applies to all records created, received or maintained by all staff that relate to University business. It also applies to those on work experience placements, volunteers, secondees, agency workers, contractors, suppliers, partners, external researchers, and visitors, where the aforementioned groups are given access to records in the course of carrying out their duties. All such records remain under the ownership of Cardiff University.

3. RELATIONSHIP WITH EXISTING POLICIES

This policy forms part of the Information Security Management Framework. It should be read in conjunction with the Information Security Policy. It also has a relationship with other University policies specifically:

- Data Protection Policy
- Confidentiality Policy
- Institutional Archive Policy
- Public Access to Information Policy

4. POLICY STATEMENT

It is the policy of Cardiff University to maintain authentic, reliable and useable records, which are capable of supporting business functions and activities for as long as they are required. This will be achieved through the consolidation, establishment and continuous improvement of effective records management policies and procedures.

4.1 Policy

Records will be classified and handled in accordance with the University Information Classification and Handling Rules, and the University Records Retention Schedules.

Records should be managed to ensure that they are authentic, accurate, accessible, complete, comprehensive, compliant, effective, secure and reliable. This will be achieved by:-

- The development, implementation and refinement of a Cardiff University business classification scheme, which reflects the functions, activities and transactions of Cardiff University.
- The implementation and refinement of the Cardiff University Records Retention Schedule which details the recommended retention periods for records created or received by Cardiff University, in line with business need and legislative, statutory and regulatory requirements.
- The regular review of destruction arrangements to ensure that correct procedures for the disposal of business information are followed. Records will be retained for no longer than is necessary for the purpose for which they were created, except for those selected for permanent preservation.
- The selection of a proportion of the University's records for permanent retention as part of the University Archive, for the purpose of historical research and as a permanent record of the conduct of business and the University's activities in preservation of the University corporate memory.
- The development of guidelines and training on records management issues and techniques to be made available and regularly reviewed.

5. RESPONSIBILITIES

The University has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the prevailing regulatory environment. The Senior Information Risk Owner has overall responsibility for this policy.

On behalf of the Senior Information Risk Owner, the Director of Strategic Planning & Governance shall be responsible for ensuring that policy, advice, guidance and training on effective records management (including compliance with the University's Records Retention Schedule) is developed and disseminated across the University.

Heads of School/Research Institute/Department are responsible for ensuring that records management within their School/Institute/Department is in line with University policy, guidelines and procedures and that members of staff receive training and guidance as appropriate.

6. COMPLIANCE

Breaches of this policy shall be reported to the IT Services Desk and dealt with under the Information Security Incident Management Procedure.

7. DEFINITIONS

Records - documents that facilitate the business carried out by the University and which are retained for a set period to provide evidence of its transactions or activities. These records may be created, received or maintained in any format or medium, in any location and on any device.

Records management – is the purpose of controlling and managing records as a key asset within a comprehensive regime made up of policies, procedures, systems, processes and behaviours. Together they ensure that reliable evidence of actions and decisions are kept and remain available for reference and use when needed.

Business classification scheme - classification is the process of identifying the category or categories of business activity and the records they generate and of grouping them, if applicable, into files to facilitate description, control, links and determination of disposition and access status [ISO15489]