

UNIVERSITY OF SUSSEX

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 management of the institution. This policy provides the framework through which this effective management can be achieved and audited. The policy should be applied in conjunction with the Master Records Retention Schedule.

1 SCOPE

- 1.1 This policy applies to all records created, received or maintained by University staff in the course of carrying out their contractual duties.
- 1.2 Records are defined as all those documents, regardless of format, which facilitate the business carried out by the University. These records may be created, received and maintained in hard copy or electronically (including emails).
- 1.3 Records and data created in the course of carrying out academic research are subject to additional guidelines (and may be subject to contractual record-keeping requirements).

2 OBJECTIVES

- 2.1 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records. It constitutes a series of integrated systems and processes to ensure that evidence of, and information about, the University's business activities are captured and maintained as viable records.
- 2.2 Records management is necessary to:
 - ensure that the University conducts itself in an orderly, efficient and accountable manner.
 - deliver services to stakeholders in a consistent manner.
 - meet legislative and regulatory requirements.
 - support and document policy formation and decision-making.
 - facilitate the effective performance of activities through the University.
 - provide continuity in the event of a disaster.
 - provide protection and support in litigation including the management of risks associated with the existence or lack of evidence of organisational activity.
 - protect the interests of the organisation and the rights of stakeholders.
 - establish a business and cultural identity and maintain a corporate memory.
- 2.3 The Master Records Retention Schedule sets out those records designated for permanent preservation within the University's archives, as an enduring record of the conduct of business and for historical research.

3 RESPONSIBILITIES

- 3.1 The University has a corporate responsibility to maintain its records and record-keeping systems in accordance with legislation.

- 3.2 Information Services Committee is the committee responsible for approving this policy and the Registrar & Secretary is the member of the University's Executive with overall responsibility for its operational management. Records management is a business and accountability issue and accordingly the Vice-Chancellor's Executive Group has a major stake in the implementation of best practice.
- 3.3 The Governance Office is responsible for drawing up guidance on good records management practice and for overseeing compliance with this policy at a central level. The Governance Office, with appropriate assistance from those responsible for the University's archives, has the authority to conduct audits and spot checks to ensure that local units are operating in accordance with this policy and the Master Records Retention Schedule.
- 3.4 Individual employees must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with this policy and the Master Records Retention Schedule.
- 3.5 Heads of Schools and Directors of Professional Services Divisions have overall responsibility for the management of records generated by their School's or Division's activities. The records created, received and controlled within the purview of each School or Division, and the systems (electronic or otherwise) and procedures they adopt, should be managed in a way which meets the aims of the University's records management guidance. At an operational level the responsibility for compliance with the terms of this policy and the Master Records Retention Schedule should normally be devolved by Heads of Schools to School Administrators and by Professional Services Directors to appropriate named staff within their Division.
- 3.6 Committee Secretaries are responsible for ensuring that a full record of a committee's business (its agendas, minutes, and all supporting papers and reports) is maintained and, where appropriate and in accordance with the Master Records Retention Schedule, permanently lodged in the University's archives.

4 RELATIONSHIP WITH EXISTING POLICIES AND LEGISLATION

- 4.1 This policy has been formulated within the context of existing University policies and guidelines, national legislation and sector-wide standards. The below lists are not exhaustive.
- 4.2 This policy interacts closely with the following University documents:
- Ordinances and Regulations (issued annually).
 - Code of Practice on Handling Personal Information (2002).
 - Master Records Retention Schedule (2010).
- 4.3 This policy interacts closely with the following items of national legislation:
- Limitation Act 1980.
 - Copyright, Designs and Patents Act 1988.
 - Data Protection Act 1998.
 - Freedom of Information Act 2000.
 - Environmental Information Regulations 2004.
 - Lord Chancellor's Code of Practice on the Management of Records, issued under Section 46 of the Freedom of Information Act 2000 (2009).

5 GUIDANCE

5.1 Guidance on the following aspects of implementation is available from the Governance Office:

- records creation and classification.
- storage of records.
- security issues and access to records.
- transfer and transmission of records.
- records retention.
- archiving of records.
- disposal and destruction of records.
- legislation and external codes of practice affecting record keeping.

6 CONTACTS

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7 REVIEW

7.1 This Records Management Policy will be formally reviewed every five years.

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