

Information and Records Management Policy

Effective from 1 August 2013

Version Number: 2.0

**Author: Head of Information Governance
Governance Services Unit**

Document Control Information

Status and reason for development

Status: Replaces Records Management Policy v1.0

Reason for development: Updated and expanded to include information as well as records.

Revision History

Date	Author	Summary of changes	Version No.
July 2013	Matthew Stephenson	Draft to Executive for approval	V2.0
March 2013	Matthew Stephenson/ Mark Rollinson	General review. Draft submitted to Registrar and Secretary	V1.3
Oct 2004	Matthew Stephenson	New policy	V1.0

Policy Management and Responsibilities

Owner: University Secretary
The University Secretary has responsibility for ensuring that Council provided with appropriate legal advice including advice on Information and Records Management matters. In fulfilling this responsibility to Council, the University Secretary will liaise with the University's General Counsel. As such, the University Secretary is corporately responsible and accountable for issuing the policy and ensuring its correct implementation.

Author: Author: Head of Information Governance, as the appropriate person mentioned in the policy, has operational responsibility for implementing this policy, for drawing up guidance for good information and records management practice and promoting compliance with this policy.

Others with responsibilities (please specify): Line managers must ensure:

- that the functions for which they are responsible are documented and recorded appropriately and
- that the information and records that they create and for which they are responsible are fit for purpose, accurate, accessible in both the intellectual and physical sense
- that the information and records for which they are responsible are kept appropriately secure and are maintained and disposed of in accordance with the University's information and records management guidelines.

Individual employees will ensure that they follow University and local arrangements for the management of information and records created during their work.

Assessment

	<i>Cross relevant assessments</i>	<i>Cross if not applicable</i>
Equality Analysis	X	
Legal	<input type="checkbox"/>	X
Information Governance	X	<input type="checkbox"/>
Academic Governance	<input type="checkbox"/>	<input type="checkbox"/>

Consultation

	<i>Cross relevant consultations</i>
Staff Trades Unions via HR	<input type="checkbox"/>
Students via USSU	<input type="checkbox"/>
Any relevant external bodies (please specify)	<input type="checkbox"/>
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Authorised by: The Executive

Date authorised: 22 July 2013

Effective from: 1 August 2013

Review due: 1 August 2016

Document location: University Policy & Procedures page:

<http://www.salford.ac.uk/about-us/corporate-information/governance/policies-and-procedures>

Document dissemination and communications plan

US online, Talk Time, cascade via senior management, training and awareness sessions run via HRD

1.0 Purpose

The University recognises that the efficient management of its information and 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. This document provides the policy framework through which this effective management can be achieved.

2.0 Scope

Information and records management is the process by which the University manages all information and records whether externally or internally generated and in any format or media type, from their inception/receipt, all the way through to their disposal.

Good information and records management:

- ensures that you can find the information you need at the time you need it
- provides evidence of your work
- supports decision-making
- assists in demonstrating compliance with statutory or regulatory obligations

Records have three main purposes:

- evidence of a transaction and its terms in the event of a dispute;
- as reference for the organisation of facts, background, prior actions and ideas to be used in the decision-making process;
- to provide evidence of compliance with legislation or regulations which require the retention of records.

Records are defined as all those documents, 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. Information and records may be created, received or maintained in hard copy or electronically. The definition includes emails and their attachments.

This policy applies to all information and records created, received or maintained by staff of the institution in the course of carrying out their corporate functions. Information, records and documentation created in the course of research, whether internally or externally funded are also subject to contractual record-keeping requirements.

Such information must be collected and used fairly, stored safely and not disclosed unlawfully

3.0 Policy Statements

3.1 The University has a corporate responsibility to maintain its information and records and recordkeeping systems in accordance with the statutory and regulatory requirements. Therefore, the University shall ensure that its information and records are efficiently managed in order to ensure the support its core functions, to ensure that it is managed effectively and efficiently and to comply with its statutory and regulatory obligations.

3.2 Through the effective management of its information and records the University aims to:

- ensure that information and records vital for the maintenance and continuance of the University as an effective organisation are retained;
- dispose of information and records no longer required in an organised and efficient way;

- regulate and make uniform the creation, maintenance and disposition of information and records;
 - ensure statutory and regulatory obligations are observed; and
 - facilitate the permanent preservation of an archive of historically significant University information and records.
- 3.3 It will do this by ensuring that the information and records it needs to function now and in the future:
- Exist
 - Are appropriately accessible
 - Are fit for purpose
 - Have integrity
 - Persist
- 3.4 The University Secretary shall ensure that an appropriate person is given the responsibility for information and records management who will act as a point of contact for all information and records management issues, ensuring that:
- all members of staff are made aware of their obligations under this policy;
 - all line managers are aware of the importance of good information and records management
 - the provision of adequate training for all staff in order to ensure that their information and records are managed in accordance with this policy;
 - that all staff know where to find further guidance in order to ensure that their information and records are managed in accordance with this policy;
 - that all queries related to information and records management are dealt with appropriately, effectively and promptly; and
 - the regular review of information and records management procedures, documentation, training etc. within the University
- 3.5 The University shall retain its records in accordance with agreed schedules or in accordance with JISC standards where these are appropriate.
- 3.6 Compliance with this policy will in turn facilitate compliance not only with information related legislation (specifically the Freedom of Information Act 2000, the Environmental Information Regulations 2000 and Data Protection Act 1998) but also with any other legislation or regulations (including those relating to audit functions, equal opportunities and research ethics etc.) affecting the University.
- 3.7 The officer specified in 3.4 will be responsible for ensuring compliance with this policy across the University and will, where it is deemed appropriate, identify any repeated poor practice to the appropriate person who may choose to take further steps in accordance with University policy.

4.0 Related Documentation

This policy is to be read in the context of the following policies

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