## University of Liverpool

**Records Management Policy**

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<td><strong>Author</strong></td>
<td>Michelle Alexander, University Records Manager</td>
</tr>
<tr>
<td><strong>Signatories:</strong></td>
<td>John Cartwright, Director of Computing Services Department</td>
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<td></td>
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1. Scope

- The University of Liverpool recognises that appropriate creation of and efficient management of its records is essential for effective administration and to meet strategic aims and objectives, to provide evidence of the transactions and activities of the University and to enable it to comply with legal and regulatory requirements.

- This policy applies to all University records; that is records created, received or maintained by the University in the course of carrying out its business, including the carrying out of research and the fulfilment of compliance with any regulatory requirements.

- The records may be in any format or medium, including electronic documents, emails, texts and social media channels. They may also be stored, managed or hosted elsewhere so agreements of this nature should ensure such arrangements comply with this policy.

- A small proportion of the University’s records may be selected for permanent preservation in the University archives to be available for historical research and to give a lasting record of the University’s business.

2. Responsibilities

- Academic School Managers/Heads of Schools and Heads of Professional Services Departments or their nominated representatives are responsible to the Deputy Vice Chancellor for the implementation of this policy within the University of Liverpool.

- The University Records Manager is responsible for drawing up guidance for good records management practice and promoting compliance with the policy.

- Records Liaison Officers in each area of the University are responsible for promoting best practice and facilitating good communication between their area and Records Management in support of this policy, the University Records Retention Schedule and other related issues, for example records storage and disposal services.

- All members of staff are responsible for following this policy and for ensuring that they create accurate records that document the actions and decisions for which they are responsible, and maintain those records in accordance with the standards laid down in this document. This includes storing records appropriately and securely, in particular making sure electronic records are on the M drive, shared drive or other University system that is fully supported and backed up. It also includes identifying obsolete records and disposing of them in an appropriate and, if necessary, an auditable manner. This policy applies to all records created, received or maintained by staff in the course of carrying out their duties, or by researchers engaged on internally or externally funded projects.

- Where relevant, other parties, including students, contractors, consultants and visitors should be made aware of their responsibilities under this policy.
3. Aims and objectives

Good Records Management will result in the following:

- Records will give accurate and relevant information on the University's transactions.
- Records will be authentic, reliable and integral.
- Records will be stored within suitable filing systems, to enable easy retrieval and avoid unnecessary duplication.
- Access to records will be balanced with security appropriate to their level of confidentiality and importance.
- Records will be retained for the correct length of time, and disposed of appropriately in line with the University Records Retention Schedule.

This in turn will enable the following benefits:

- The University will retain those records required by law, in particular records relating to financial and environmental concerns, health and safety and contractual agreements. It will be able to meet its obligations under the Data Protection Act 1998 and the Freedom of Information Act 2000.
- Records can be fully exploited as a corporate resource for the University.
- The University's records will provide evidence and information about policies and compliance, transactions, interaction with stakeholders and rights and obligations of individuals and organisations.
- Good records management will result in more efficient working practices, for example quicker retrieval of records, ensuring that staff can identify the most up-to-date and accurate information.
- The University will be better prepared in terms of business continuity and will be able to demonstrate previous compliance with correct procedures.
- Storage space, both physical and electronic will be freed up, contributing to the University's sustainability agenda.
- Records with continuing historical value or interest to the University and the wider world will be retained and preserved.

4. Relationship to existing policies

This policy should be used in conjunction with other relevant University policies and documents including:

- Data Protection and Freedom of Information Policies
- University Records Retention Schedule
- Information security policy and sub policies, including Card Payment Policy
- Research Data Management

Departments should also ensure their records comply with any external guidelines, policies or legislation, including but not limited to:

- Data Protection, Freedom of Information and Environmental Information Acts
- Requirements of the research councils, ERDF, other funders of research
- Requirements of any audits
5. Implementation and resources

Departments will implement practices to ensure compliance with this policy, and review them regularly. It is the responsibility of the information owner to ensure that good housekeeping practices are undertaken to ensure the accuracy and relevance of information assets that reside on the University servers. It is strongly advised that any personal or residual information or data that has no value or is no longer required for University purposes should be removed from the relevant drives and servers on a regular basis, at least annually.

Retention and disposal of records will be governed by the University Records Retention Schedule. The schedule provides a list of the records produced by the University, and details of the length of time that they should be retained to meet operational and regulatory requirements. It assigns staff responsibilities for the management of records, and provides the rationale for the recommended time periods, with details of any legislative or archival value considerations.

Departments that hold material in the University Records Centre will be prompted to review it at the appropriate time and, once records are approved for disposal, they will be confidentially destroyed via the University’s confidential waste disposal service. Paper records held elsewhere should be reviewed at the correct time and, if confidential, shredded with a cross-cut shredder or disposed of using the confidential waste disposal service through Records Management. Electronic records should be deleted, ensuring that all versions and copies are destroyed.

Online training material on records management and the retention schedule as well as guidance on specific topics is available from the Records Management website. This guidance covers topics such as the following:

- Records creation
- Electronic records management
- Email management
- Guidance on specific record types such as student files and assessed work; research data; committee records
- Filing schemes and version control
- Office detox, office moves and staff leaving
- Retention periods for records
- Storage options for records
- Destruction options for records
- Archival records selection
- Relevant legislation and external codes of practice

Records Liaison Officers will be given training on good records management and on the University retention schedule. Each area should ensure the guidelines laid down here and on the Records Management website are followed, supplementing with local procedural documents as required.

6. Contacts

Any queries or proposed amendments should be referred to the University Records Manager:

Michelle Alexander
m.alexander@liverpool.ac.uk
0151 794 5675 (int. x45675)

Further information and links to other relevant contacts can be found on the Records Management website.