



BIRMINGHAM CITY UNIVERSITY

Records Management Policy

Version 2.1

Purpose of this Document:

This policy defines the framework for the management of BCU's records.

Sponsor Department: University Secretary [Interim] pending appointment of Pro-Vice-Chancellor Teaching & Learning

Authors: Emily Gresham, Deputy Information Manager Stephen Homer, Information Manager

Reviewer / Review date: Information Governance Board (IGB). To be reviewed: 31 October 2020

Document Status: UNDER REVIEW

Amendment History			
Date	Version*	Author/Contributor	Amendment Details
9 Oct 2019	2.1	Frances Pond Librarian, Chazina Basra Data Protection Officer	Updated Legislation and ownership

****Version control note:** All documents in development are indicated by minor versions i.e 0.1;0.2 etc. The first version of a document to be approved for release is given a major version 1.0. Upon review the first version of a revised document is given the designation 1.1, the second 1.2 etc until the revised version is approved, whereupon it becomes version 2.0. The system continues in numerical order each time a document is reviewed and approved.*

For Approval By:	Date Approved	Version
IGB	9/10/19	2.1

Published on	Date	By	Dept
iCity	9/10/19	Frances Pond	Library & Learning Resources

1. Purpose

Birmingham City University recognises that information is an important asset which should flow as freely as possible. If this principle is to be fully realised then records, in whatever format, should be managed efficiently and effectively.

This policy defines the framework for the management of BCU's records in order to:

- Deliver consistent recordkeeping practices across the University
- Support the efficiency of University business
- Ensure BCU meets its statutory and regulatory obligations
- Provide evidence of decision-making and support accountability
- Maintain the corporate memory

2. Principles

- Records of BCU's activities are created or received to provide the necessary evidence of University decisions and business processes.
- Records are captured and maintained in appropriate systems to safeguard their reliability, integrity, security, and accessibility.
- Records are managed consistently across the University to facilitate access to, and sharing of, trusted information.
- Records are disposed of responsibly once their value to University business has expired. Disposal encompasses destruction of records with no further value and transfer of records with historical value to the University Archive.

3. Definitions

Records are information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. Records are defined by their content and value for the organisation and not by their format.

Records Management is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records.

4. Scope

The Policy applies to the management of all records relating to BCU's business. It applies regardless of the format or location of the records and includes all stages of a records existence, from creation through to eventual destruction.

Examples of records within the scope of this policy are: board and committee agendas, papers and minutes; policies, contracts, staff files, student files, reports including project reports, financial information, databases, business systems, research data, email messages that document a business decision or transaction, web pages, maps, plans and photographs.

5. Responsibilities

Information Management are responsible for the implementation of the Records Management Policy. This includes responsibility for: the creation of records management guidance and procedures; the development and implementation of recordkeeping systems, the provision of records management training, the management of 'orphan' records¹, maintaining corporate memory through the University Archive; monitoring compliance with the policy.

All Staff are responsible for documenting their actions and decisions by keeping appropriate records of their activities. Staff are also responsible for the management of the records they create or receive in relation to their employment at BCU, this includes appropriate storage, maintenance, use and disposal of records. Records that relate to externally funded research projects are included within the scope of this responsibility.

6. Objectives

By improving records management practice across BCU it is anticipated the University will achieve a position where:

- Records serve a clear purpose. They are created or held to evidence business decisions and transactions.
- Records provide a trusted and definitive source of reliable information to all staff that require that information. Draft and final versions are distinguishable. Multiple copies are not kept unless absolutely necessary.
- Records are arranged and described consistently, facilitating fast and accurate retrieval.
- Records are accessible to authorised staff over time, no matter what their format. In principle, records should be accessible to all staff unless they contain confidential information.
- Records are secured from unauthorised access, accidental loss and destruction. Confidential records are protected by suitable access restrictions.
- Ownership of records is clearly defined. Records owners understand their responsibilities in relation to records management.
- Records are disposed of consistently once their evidential and informational value has expired. Storage costs are reduced as a result of improved recordkeeping.
- Records of historical and administrative importance are identified as archives and are permanently retained.
- Compliance with statutory obligations is achieved without significant administrative burden.

7. Implementation

Implementation of the policy will be initiated through the development of a Business Classification Scheme (BCS) and associated guidance, training and support.

The BCS will identify the records required to evidence BCU's business and classify them within a University-wide context. It will be developed in consultation with record owners and will provide a framework from which ownership, statutory requirements, and management

¹ Where the record owner is unknown or the function which created the record no longer exists.

rules are defined. Management rules will include where necessary: access restrictions, storage locations, naming conventions, retention periods, and disposal rules.

Guidance will be created to support the consistent management of records across BCU. Appropriate training and support will be provided to aid implementation of management rules and good practice.

8. Legislative framework

It is essential that BCU manages its records in compliance with our responsibilities as defined in various legislation and regulations, including (but not restricted to):

- Consumer Rights Act (new) 2015;
- Consumer Protection (from Unfair Trading Regulations) 2008;
- Consumer Contracts (Information, Cancellation and Additional Charges) Regulations 2013;
- Unfair Terms (in consumer Contracts) Regulations 1999;
- General Data Protection Regulation (EU) 2016/679
- Data Protection Act 2018;
- Freedom of Information Act 2000;
- Taxes Management Act 1970;
- Value Added Tax Act 1994.
- Construction (Design and Management) Regulations 1994;
- Control of Substances Hazardous to Health Regulations 2002;
- Environmental Information Regulations 2004;
- Hazardous Waste Regulations 2005;
- Limitation Act 1980;
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995;

BCU also have a responsibility to manage those records required as evidence during audits from external bodies, including:

- Office for Students
- UK Visas and Immigration
- Professional European Social Fund (ESF)
- HESA
- Research England (UK Research & Innovation)
- Professional, Statutory and Regulatory Bodies (including the Law Society and the Nursing and Midwifery Council)

9. Related policies and documents

- [Data Protection Policy](#)
- [Information Security Policy](#)
- IT Strategy
- [BCU Records Retention Schedules](#)
- [Legal & Compliance Team iCity pages](#)
- [Records Management iCity page](#)