

**UK Research and Innovation (UKRI)
Records Management Policy**

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Records Management Policy

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Policy statement

UK Research and Innovation (UKRI) recognises that the effective management of records and documents is necessary to:

- support core business functions and decision making,
- comply with legal and regulatory obligations, and
- contribute to the effective overall management of the organisation.

Records management applies to the creation of reliable, authentic and accessible records and the controlled retention and disposal.

UKRI therefore recognises records management as an essential corporate function and aims to ensure the necessary levels of organisational support to enable its effectiveness and public accountability.

Introduction

The aim of this policy is to provide a framework for managing UKRI's records by setting out practices for the creation, maintenance and disposal of records regardless of the form they are in.

Effective records management ensures that UKRI has access to reliable, authentic and accessible information in a timely manner to support decision-making. UKRI aims to create an environment where:

- records and information are created, managed and protected based on common processes and procedures to ensure quality, authenticity and consistency;
- records are held for as long as necessary for legal, regulatory and business reasons and are disposed of appropriately;
- records can be accessed by appropriate staff and shared securely over time, and;
- all staff are aware of their responsibilities in relation to record-keeping and are trained and supported to carry them out in accordance with this policy.

Records are defined as all information which provides evidence of business activity and for which there are legal, regulatory and business requirements for retention.

Documents are defined as information which is used on an operational or informational basis but that does not have corporate value.

These definitions apply regardless of format of records or documents. Detailed definitions are available in the glossary (section 8).

UKRI is a body covered by the Public Records Acts of 1958 and 1967¹ and is required by law to manage its records in accordance with its legal and regulatory environment. UKRI adheres to the Lord Chancellor's Code of Practice on Records Management and other relevant records and information management related standards and regulations.

This Policy applies to the management of UKRI corporate records in the head offices, Research England and the research establishments. The policy is supported by retention schedules relating to core business functions within head office, Research England and across the administrative structure throughout UKRI.

¹ OPSI (1958). *Public Records Act 1958*. London: HMSO. Online: <http://www.legislation.gov.uk/ukpga/Eliz2/6-7/51>

1. Principles

The aim of this policy is to define a framework for managing UKRI's records to ensure that the organisation:

- provides an effective framework for the management of corporate records and documents and delivery of systems and processes, including appropriate staff training;
- creates and captures accurate, authentic and reliable records that support decision-making processes and policy-making;
- maintains records to meet UKRI's business needs and to support business as usual processes;
- maintains records to provide evidence of UKRI's activities and decisions for accountability and transparency;
- disposes of records that are no longer required appropriately;
- identifies and protects vital records to support business continuity;
- conforms to all relevant legal and statutory requirements relating to record-keeping;
- supports information dissemination and sharing across the organisation, and where appropriate with external stakeholders;
- selects records that help capture and access the corporate memory to support greater understanding of UKRI's history, research and structure;
- supports the efficient use of resources of UKRI, including staff and systems.

2. Records creation and maintenance

- 2.1** UKRI is committed to creating and maintaining relevant and accurate records in both paper and electronic format of business activities. Appropriate systems must be in place to document decisions and activities. The records management framework identifies classes of records that need to be captured to document the functions and activities of the organisation.
- 2.2** Records created by UKRI shall be arranged according to the agreed corporate fileplan. Records must contain metadata in order to be identifiable and accessible, and in order to provide administrative context needed for the effective management of the records.
- 2.3** All records must be stored in an appropriate records management system. Within the records management system records must be registered and version controlled to ensure authenticity and reliability.
- 2.4** The records management team provides guidance on naming conventions, metadata, indexing, and protective marking of records and the application of corporate value to documents.
- 2.5** Where the same records are held at both UKRI head office and UKRI research establishments, it is the record held at UKRI head office that is declared as the original and the record held at UKRI establishment that is declared a copy.

3. Records retention and disposal

- 3.1** Records must only be retained for as long as they are needed to meet UKRI's business need, relevant legal and regulatory requirements and appropriate resources. Records retention schedules for each of UKRI's functions specify the period of time for which each class of records needs to be retained to fulfil these requirements.
- 3.2** Retention schedules cover each of the core areas of UKRI business and have been established for the following functions and can be found in Annex 2:
- Communications and Engagement
 - Governance, Assurance, Risk and Information Governance
 - Office Estate (non scientific)
 - Finance
 - Commercial / Procurement
 - Health and Safety
 - Human Resources
 - Digital and Technology
 - Private Office
 - Research Funding Delivery
 - Legal
 - Strategy, Policy and Analysis
 - Research Establishment Management
- 3.3** Records which demonstrate the significance of the functions and activities of UKRI and which provide information relevant to the public are transferred to The National Archives (TNA) for permanent preservation in time to meet the requirements of the 20-year rule. In addition to corporate governance records and grant files, these records also include proposals relating to the grant or unit funding for major scientific breakthroughs, major investments such as the establishment, review and closure of establishments, files relating to scientific leaders (e.g. Nobel Prize winners, Unit Directors and members of the executive team), and policy development and review. The selection and transfer of corporate records is handled in line with TNA's Appraisal Policy and its General guidelines for the selection of records².
- Records that have been selected for permanent preservation at TNA are reviewed, prior to transfer, for sensitivity in regard to UKRI's obligations under the General Data Protection Regulations 2016/679 (GDPR), the Environmental Information Regulations 2004 (EIR) and the Freedom of Information Act 2000.
- 3.4** In compliance with the retention periods stated in the retention schedules, business records that are no longer needed to support business activities, and which are not selected for permanent preservation will be destroyed appropriately, subject to an internal approval process.

² TNA (2004). *Appraisal Policy*. London: TNA. Online: http://www.nationalarchives.gov.uk/documents/information-management/appraisal_policy.pdf and TNA (2013). *Best practice guide to appraising and selecting records for The National Archives*. London: TNA. Online: <http://www.nationalarchives.gov.uk/documents/information-management/best-practice-guide-appraising-and-selecting.pdf>

4. Access to records

- 4.1** All records, both in paper and electronic form, must be maintained and stored in such a way that they can be easily identified and located to support business activities, including access or audit purposes, using established procedures for secure storage and access.
- 4.2** Any movement of physical or electronic records needs to be controlled and documented to ensure a full audit trail and the ability to access records at all times.
- 4.3** All UKRI records must be accessible and retrievable to support the office in responding to requests from individuals who have a legitimate right of access.

5. Responsibilities

- 5.1** The senior manager with overall responsibility for this policy is Deputy Director, GARI
- 5.2** The Departmental Record Officer (DRO) is responsible for the policy, high level principles and objectives.
- 5.3** The UKRI Knowledge and Information Manager is responsible for implementation and the monitoring of compliance across UKRI including the development of departmental/group retention schedules and procedures, and the training of staff, and for advising UKRI facilities locally.
- 5.4** Directors are responsible for the compliance of the policy and the application of its principles in their areas.
- 5.5** All members of staff are responsible for the proper management of the records they create and use in accordance with UKRI Records Management Policy and guidance relating to records management.

6. Communication and dissemination

- 6.1** This policy must be provided directly to all staff likely to work with corporate records as part of their induction and training programme.
- 6.2** The policy is available to all staff via the UKRI Hub.
- 6.3** UKRI Hub contains a records management section where all key records management policies, procedures and guidance are published and regularly updated by the records management team.

7. Records management assurance

- 7.1** Control mechanisms in place to ensure that UKRI records management policy is correctly applied and processes are implemented appropriately are listed below in 7.2 to 7.4.
- 7.2** Records retention schedules are developed in consultation with stakeholders across UKRI . Retention schedules provide clear guidance on how long to retain corporate information based on legal and business requirements.
- 7.3** Agreed retention schedules are applied to all UKRI's corporate records.
- 7.4** Compliance with records management policies and procedures is reported annually and through external audits.

8. Glossary and definitions

- 8.1** *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. The following is a non-exhaustive list of examples of paper and electronic records usually found at UKRI:

For UKRI offices in Swindon and London, and Research England:

- UK Research and Innovation board (and its subcommittees), scientific board and panel agendas and minutes
- Board minutes, papers and agendas
- Policies, contracts, grants, and personnel files
- Important correspondence with stakeholders and customers
- Reports such as the annual report or project reports
- Financial information such as budgets, invoices, and statements
- Databases, sound and video files
- Electronic mail messages (e-mail) that document a business decision or transaction
- Internet and intranet web pages
- Maps, plans or photographs

For UKRI research establishments:

- Board minutes, papers and agendas
- Corporate or project reports
- Policies, SoPs and contracts
- Grant and other funding applications and agreements
- Research data
- Lab notebooks
- Health and Safety assessments
- Intellectual Property files
- Personal or project animal licences
- Corporate web pages

- 8.2** *Documents* are sets of recorded information that have not or not yet been assigned corporate value (for example drafts, meeting notes, staff holiday schedules etc.) because

they do not need to be kept for legal or regulatory reasons and only have operational value for the organisation.

- 8.3** *Vital records* are records without which the organisation could not function. They are essential records that are necessary to document and protect corporate assets, obligations and resources of UKRI and include deeds, contracts, financial, employee and customer information.
- 8.4** *Records management* is the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records.
- 8.5** *Classification* is the process of devising and applying schemes based on the business activities which generate records, whereby they are categorised in systematic and consistent ways to facilitate their capture, retrieval, maintenance and disposal.
- 8.6** *Disposal* is the process associated with the implementation of appraisal decisions including the retention, deletion or destruction of records.
- 8.7** *Retention* is the process of determining how long a particular class of records needs to be retained for compliance or business reasons. (This could be either in UKRI systems (including off-site storage) or at TNA).
- 8.8** *Departmental Record Officer (DRO)*. As an organisation signed up to the Public Records Act 1958, UKRI holds the responsibility for the management of its public records, and must appoint a departmental record officer who is responsible for the care of all its records.
- 8.9** *Records management system* is an intellectual concept that refers to a coherent and consistent approach to managing records throughout their lifecycle. A records management system comprises all policies, processes, procedures and systems that are used by an organisation to manage information. It is not automatically associated with an ERMS but can refer to the management of information on shared drives or a set of guidance for users on how to manage emails and documents in general.
- 8.10** *Corporate value* is the term used to denote that a document is a corporate record and needs to be retained for a set period due to legal, regulatory or business requirements. A document becomes a record in the electronic environment of ERMS when corporate value is selected. All records have corporate value and should not be altered, accessed or deleted without authorisation and audit trail to document changes because responsibility for their management is passed to the organisation.

9. Related documents

9.1 UKRI policies and guidance

UKRI Acceptable Use of ICT Systems and Services Policy
UKRI Data Protection Policy
UKRI Information Management Policy
UKRI Information Security Framework
UKRI Monitoring Policy

9.2 Legislation and statutory requirements

Public Records Acts 1958 and 1967
 Data Protection Act 1998 (DPA)
 Freedom of Information Act 2000 (FOIA)
 Environmental Information Regulations 2004 (EIR)
 Reuse of Public Sector Information Regulations 2005
 20-year rule

9.3 Professional standards

ISO15489-1:2001 Information and documentation – Records Management
 Lord Chancellor’s Code of Practice on the Management of Records, issued under section 46 of the Freedom of Information Act 2000

Guidance on the Management of Private Office Papers. The National Archives, 2009.
<http://www.nationalarchives.gov.uk/documents/information-management/popapersguidance2009.pdf>

Additional legislation specific to UKRI functions and processes is listed in the retention schedules.

10. Effective date

10.1 This policy is effective from 1st April 2018.

11. Compliance

11.1 Breaches of this Policy will be investigated, and appropriate actions taken.

12. Review date

12.1 This policy will be formally reviewed in April 2021.

13. Amendment history

Version	Date	Comments/Changes
0.1	19/02/18	Initial draft
0.2	15/03/18	Review by GARI Information Governance team
1.0	19/03/18	Sign-off by GARI Information Governance team

14. Annex 1 Overview of Retention schedules

Records retention schedules are created for the following UKRI functions and a full version will be attached to the policy when they have been formally approved by UKRI Operations Board:

Communications and Engagement

The communications retention schedule relates to the function of raising and maintaining UKRI's public profile and of publishing information about or relating to UKRI for the public and/or internally. The schedule includes publications, internal and external relations records.

Governance, Assurance, Risk and Information governance

The corporate governance retention schedule relates to the function of strategic management and planning for the delivery of UKRI and Councils business objectives. The schedule includes retention periods for the UKRI Board and sub-committees, Council and Council sub-committees and Research Board meeting records as well as UKRI corporate policy and planning documentation.

Office Estate (non scientific)

The office estate retention schedule relates to the function of managing the working, storage and living space within premises as well as the acquiring, constructing, maintaining and disposing of property. The schedule includes property maintenance, management and evaluation records, facilities management and project management records.

Finance

The financial management retention schedule relates to the function of managing UKRI's financial resources. The schedule includes contractual records, management, statutory and financial accounting records, audit and asset management records as well as payroll records.

Commercial Procurement

The procurement retention schedule relates to the function of providing favourable conditions under which goods, services or construction projects can be obtained from third parties. The schedule includes tendering, contract operation and monitoring records.

Health and Safety

The health and safety retention schedule relates to the function of implementing and co-ordinating health and safety standards and requirements to which UKRI is either subject or voluntarily abides. The schedule includes accidents and incidents, reporting, training, occupational health, audit and inspection, scientific premises and plant and equipment records.

Human Resources

The human resources retention schedule relates to the function of managing all employee matters at UKRI. The schedule includes personnel files, recruitment, contracts, absence, occupational health, employee relations, rewards and pensions records.

Digital & Technology

The information management retention schedule relates to the function of managing UKRI's information resources. The schedule includes Data Protection and Freedom of Information, ERP and science reporting, IT service delivery, knowledge management and records and archives management records.

Private Office

The Private Office retention schedule relates to the management of the Chief Executive's and Chief Operating Officer's diary, correspondence and meetings. The schedule contains diaries, correspondence, and meeting and project records.

Research Funding Delivery

The research programme management retention schedule relates to the function of assessing, awarding and monitoring funding for scientific research, units, centres and institutes. The schedule includes grants and research training management, units and large scale-investment records.

Legal

The Legal retention schedule relates to Legal Casework, Intellectual Property Rights Management and Commercialisation and Technology Transfer.

Strategy, Evaluation and International Policy

The strategy, evaluation and international policy retention schedule relates to the function of developing, maintaining and evaluating UKRI corporate strategy and international policy. The schedule includes research strategy, corporate reports and analysis as well as overseas office administration records.

Research Establishment Management

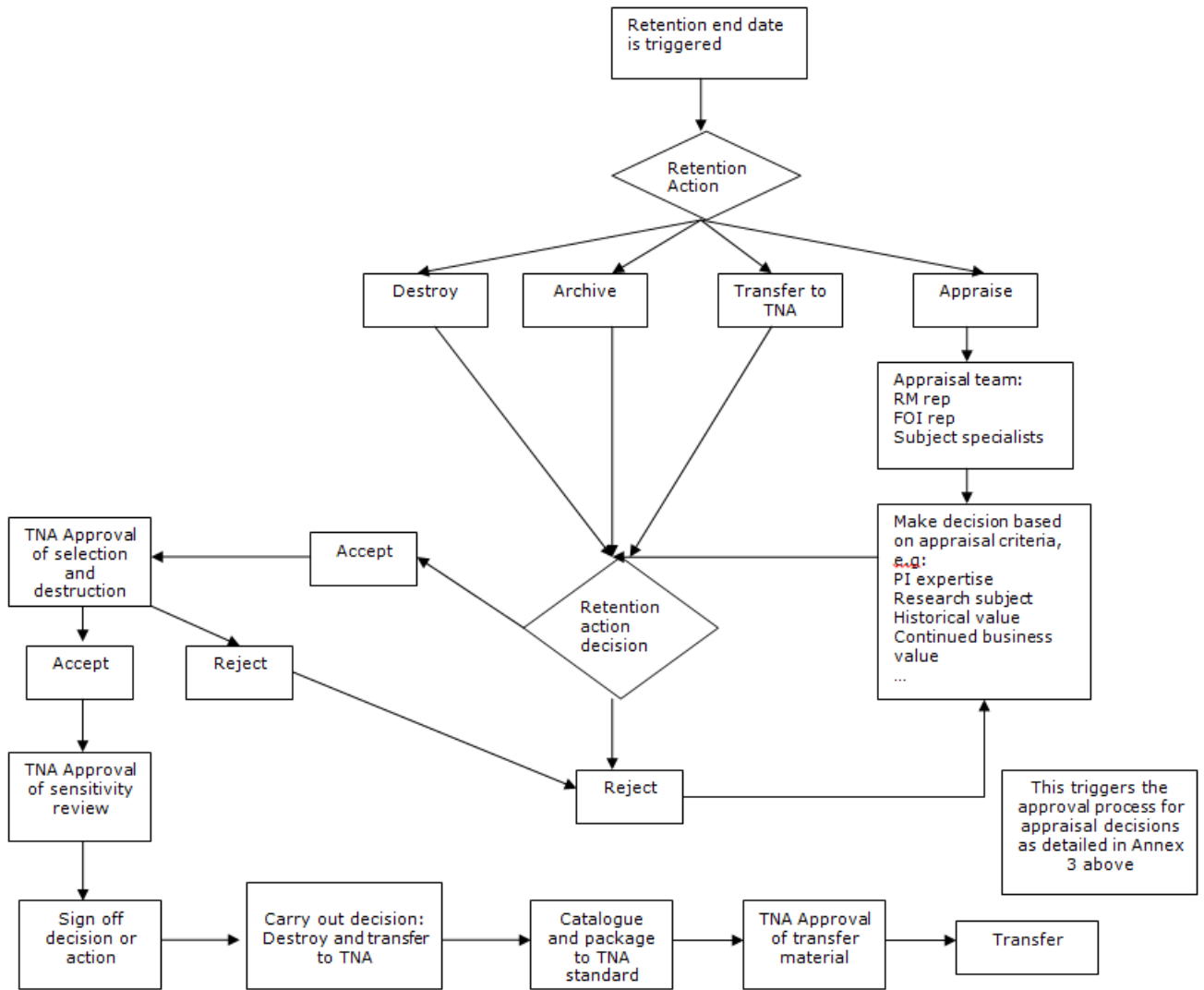
The unit research management retention schedule relates to the function of managing primary research records and of applying for funding. The schedule includes various types of primary research records, applications to and agreements with funders.

15. Annex 2: Retention schedules

Attached separately.

16. Annex 3: Application of retention process at head office

Retention period will be applied to UK Research and Innovation’s corporate records, both paper and electronic, as described in the retention schedules and when a retention period comes to an end, the following process will be initiated:



17. Annex 5: Appraisal criteria

To be completed once the implementation process of the retention schedules starts in consultation with The National Archives and function leads.