

University of Liverpool

Information Management Policy

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Signatories:	Information Governance Committee
Implemented by	See Section 2 Responsibilities
Comments	Based on Records Management and Records Retention policies that were approved by Senate on 27 June 2012. Known as Records Management Policy until June 2019.

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1. Scope

- The University of Liverpool recognises that appropriate creation of and efficient management of its information 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 information; that is information 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 information may be in any format or medium, including electronic documents, emails, texts and social media channels. It 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 information 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

- The Information Governance Committee (IGC) is responsible for approving each version of the policy, encouraging its implementation and communicating about good information management to all University staff. IGC also maintains an information risk register.
- Heads of Operations/ Deans and Heads of Professional Services Departments (or their nominated representatives) are responsible to the Senior Leadership Team for the implementation of this policy within the University of Liverpool.
- The University Information & Records Manager is responsible for maintaining the policy and for promoting and supporting best practice across the University.
- Records Liaison Officers in each area of the University are responsible for promoting best practice and facilitating good communication between their area and Information & Records Management in support of this policy, the University Records Retention Schedule and other related policies/ procedures/ best practice guidelines, for example, those around information security, data protection, records storage and disposal services.
- All members of staff are responsible for following this policy, completing the mandatory training module on Data Protection and Information Security, ensuring the creation of accurate records that document the actions and decisions for which they are responsible, and maintaining those records in accordance with the standards laid down in this document. This includes:
 - storing information appropriately and securely, in particular using IT Services centrally managed IT facilities and services as per the IT Acceptable Use Policy (Section 4 below)
 - identifying obsolete information and disposing of it in an appropriate and, if necessary, an auditable manner

- This policy applies to all information 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 information management will result in the following:

- Accurate and relevant information on the University's transactions
- Authentic, reliable and integral information
- Information will be stored within suitable filing systems, to enable easy retrieval and avoid unnecessary duplication
- Access to information will be balanced with security appropriate to its level of confidentiality and importance
- Information 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 information 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 Data Protection and Freedom of Information legislation
- Information can be fully exploited as a corporate resource for the University
- The University can provide evidence and information about policies and compliance, transactions, interaction with stakeholders and rights and obligations of individuals and organisations
- Good information management will result in more efficient working practices, for example quicker retrieval of information and 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
- Both physical and electronic storage space will be freed up, contributing to the University's sustainability agenda
- Information 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 but not limited to:

- [Data Protection and Freedom of Information Policies](#)
- [University Records Retention Schedule](#) and [Information & Records Management Service Level Agreement](#)
- [Information security policy](#) and [IT Acceptable Use Policy](#)
- [Research Data Management Policy](#)

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

- UK Data Protection, Freedom of Information and Environmental Information legislation
- Requirements of the research councils, ERDF, other funders of research
- Requirements of any audits
- Requirements of accreditation bodies

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 systems and 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 systems, drives and servers on a regular basis, at least annually.

Retention and disposal of information 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 departmental 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 files are approved for disposal, they will be confidentially destroyed via the University's confidential waste disposal service. Paper files 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 Information & Records Management. Removable media, such as USB sticks, disks and so on, can also be disposed of via this service if packaged separately and arranged with Information & Records Management in advance. Data bearing IT assets, including hard drives, laptops and PCs, should be disposed of securely via the IT Services [Asset Disposal service](#).

Online training material on information management, a link to the retention schedule and guidance on specific topics is available from the [Information & 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 information management and on the University retention schedule. Each area should ensure the guidelines laid down here and on the [Information & 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 Information & Records Manager: Michelle Alexander m.alexander@liverpool.ac.uk

Further information and links to other relevant contacts can be found on the [Information & Records Management website](#).