

Standard Operating Procedures (SOP) for:			
Records Management			
SOP Number:	DG13	Version Number:	1
Effective Date:	07/12/2015	Review Date:	29/05/2018

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Date	23 November 2015
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Accountability:	
Position	Line Managers
Responsibility:	
Position	Directors/ Heads of Department QM Records & Information Compliance Manager Departmental Records Champions All Staff

Revision History			
Version	Description	Author	Date
1	Initial version.	Paul Smallcombe	21/04/2010
1	Annual Review – No change	Paul Smallcombe	21/04/2014
1	Annual Review – No Change	Paul Smallcombe	29/05/2015

Purpose and Objective:	
To define standards for the management of records.	

References:	
SOP DG09 – Information Classification SOP DG14 – Storage of Information SOP DG15 – Handling of Information SOP DG16 – Disposal of Information QM Records Retention Policy and Schedule QM Archive Collection Policy	

SOP Text	
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Responsibility	Activity
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1.	All staff members	Queen Mary shall create, maintain and retain records as evidence of its activities and transactions for their administrative, legal, regulatory, financial, informational and/or historic value.
2.	QM Records & Information Compliance Manager	Records shall be managed as per the QM Records Retention Policy and its associated Records Retention Schedule.
3.	Directors / Heads of Department	Records retention procedures shall be followed. Each department shall have in place adequate systems for documenting its activities and managing the outputs. This shall include the naming of a nominated departmental Records Champion.
4.	All staff members	In order to ensure that records are authentic and accurate, they should be created as soon as possible during or after the activity to which they relate.
5.	Relevant department	Wherever practicable only one master copy of a record shall be retained for the prescribed retention period. Local copies shall only be retained short-term and not longer than the prescribed retention period.
6.	All staff members	Records shall be managed together as series according to the activity they document.
7.	Departmental Records Champion	Records shall be fully inventoried which includes assigning each a review date i.e. a date when the end of retention is reached and disposition can occur, calculated using the QM Records Retention Schedule.
8.	Departmental Records Champion	A record shall be kept of any original (master) records which are removed at any time from storage or transferred elsewhere.
9.	Departmental Records Champion	Each department shall carry out and document a review process once or twice a year: at the end of their retention records shall be reviewed and subjected to disposition unless there is an ongoing business or legal need to retain the records further.
10.	The Archives / Departmental Records Champion	Some records shall be selected for permanent preservation and transferred to the Archives, managed by the Library, in accordance with the QM Archive Collection Policy. The remainder shall be destroyed as per SOP DG16 – Disposal of Information.
11.	QM Records & Information Compliance Manager	A record shall be kept of the authorisations resulting from the review process described in step 9 as an audit trail of disposition and of the actions taken.
12.	All staff members	The storage, handling and disposal of records shall be determined by their classification as per SOP DG09 – Information Classification. Refer also to SOPs DG14 – Storage of Information, DG15 – Handling of Information, and DG16 – Disposal of Information.