

Records and Information Management Policy

This document outlines Ofcom's commitment to maintain records of its activities, the key principles for managing records in [all media](#), and the roles of all colleagues in its management.

Who is responsible for Ofcom's records?

- **All colleagues** must ensure that comprehensive records are kept of all Ofcom's activities, in accordance with current guidelines and for as long as required by the retention schedules.
- **Line managers** must ensure that all colleagues in their team carry out their responsibilities in managing records and information, and are appraised on their performance.
- **Project Managers** must ensure that a complete record of each project is maintained in accordance with records management and project management guidelines.
- **Local Information Managers** (LIMs) in each business group ensure compliance with the policy and procedures, and promote effective information management within their team.
- **The Records and Information Management (RIM) Team** operates a records and information management programme to comply with relevant legislation and standards, providing clear guidelines and practical procedures for all teams.
- **The Secretary of the Corporation** as SIRO (Senior Information Risk Owner) is responsible for Ofcom's records and information management framework.

Why do we keep records?

Ofcom must maintain a complete set of records for as long as required to:

- Comply with relevant legislation such as the Public Records Act, Data Protection Act, Freedom of Information Act and the [Code of Compliance on Records Management](#).
- Provide evidence of Ofcom's activities and decision making
- Support and defend Ofcom's position in litigation
- Enhance business efficiency
- Promote collegiality and knowledge sharing

Without such record keeping, Ofcom's decisions will be vulnerable to a successful legal challenge due to lack of or inadequacy of reasoning.

Ofcom's records management principles:

- Records and information are owned by Ofcom, not by the individual or team
- Keeping records is an integral part of all business activities
- A complete record of all activities must be securely stored in a shared location, easily identified and accessible to those who need to see it
- The complete record may be in any format, but preferably electronic – significant emails are held alongside other information and must not be stored solely in personal mailboxes
- Information will be held only as long as required, and disposed of in accordance with the [record retention policy](#) and retention schedules
- Practical [guidance](#) is made available to enable teams to manage their information. A brief set of key actions is available for [quick reference](#).

Monitoring the policy:

Failure to manage information in accordance with relevant legislation could have serious consequences for Ofcom and its consumers. To ensure Ofcom meets the requirements:

- the RIM Team will regularly monitor compliance within each team or group
- Action plans will be developed with teams where improvements are required
- Records due for disposal under the records retention policy will be reviewed with each team or function on a regular basis, at least annually.
- The policy and related guidelines will be reviewed annually.

Further information:

For related policies, see the [Ofcom Security Policy](#)

For further information, please see the [Information Management Resources](#) SharePoint site or contact Records.management@ofcom.org.uk