

Information Framework – Quick Guide to University Policies

If you...	University Policy which applies	Impact of non-compliance (Low/Medium/High)	Category of people applied to	Training Required?	Controls	Relevant Legislation / best practice
Use University computers or email, networked drives and data networks	Rules for the use of the University Computers and Data Networks	M	Staff Students	Online training for staff: FOI, DP and Information Security	Technical controls; skilled IT staff; online Information Security training module	Computer Misuse Act 1990 Criminal Justice Act 1994 Data Protection Act 1998 Human Rights Act 1998
Are a member of University staff	Freedom of Information and Environmental Regulations Policy	M	Staff (the policy applies to all staff as information can be requested of anyone working at the University)	Online training: FOI	Freedom of Information Officer; IMPS contacts disseminate information/guidance	Freedom of Information Act 2000 Environmental Information Regulations 2004
Handle personal data (e.g. storing, sending or using recorded information relating to humans)	Data Protection Policy Information Security Policy and sub policies	H	Staff	Online training: DP	Data Protection Officer; IMPS contacts disseminate guidance	Data Protection Act 1998
Use core University systems (e.g. Agresso, Trent, RISIS)	Information Security Policy	H	Staff	Online training: DP and Information Security	Guidance on encryption and information handling	Data Protection Act 1998
Process sensitive/confidential information off campus or on an external network (e.g. portable/mobile equipment, social networks)	Information Security Policy and sub-policies including the Encryption Policy	H	Staff Students	Online training: Information Security	Information Security Working Group; online module; best practice guidelines	Data Protection Act 1998
Send direct marketing materials to individuals by electronic means	Data Protection Policy	M	Staff (where they engage in direct marketing activities)	Online training: DP and Information Security	Data Protection Officer	Data Protection Act 1998 Privacy and Electronic Communications Regulations (2003)
Use creative works (e.g. images, literary works, films)	Copyright Policy	M	Staff (especially in teaching/research/marketing); Students	No	CQSD courses on copyright; IMPS and Library webpages	Copyright, Designs and Patents Act 1988
Create intellectual property (e.g. research results, inventions, software)	Code of Practice on Intellectual Property	L	Primarily research staff (though policy applies to all staff); Students	No	IMPS/RES Copyright pages	Copyright, Designs and Patents Act 1988 Patents Act 1977 Plant breeders rights

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File information and manage documents (e.g. email, committee minutes)	University Records Management Policy	L	Staff	Online training: FOI, DP and Information Security	IMPS Guidelines for records retention and disposal	Data Protection Act 1998 (as and when it applies) Good practice
Maintain and develop collections of information resources to support teaching and research	Library Collection Policies UMASCS Museums and Collections Loan Policy	L	Library (including departmental library staff), Archives, Museums and Special Collections staff	No	Qualified information management staff; large central collection (Library)	Good practice
Conduct research activities	University Code of Good Practice in Research	H	Research staff Students	No (but there may be soon)	Ethics Committee; guidelines; training	Home Office Regulations Human Tissue Act 2004 Mental Capacity Act 2005 Data Protection Act 1998 UK Research Integrity Office's Code of Practice for Research
Collect and store research data	Research Data Management Policy Data Protection Policy	M	Research staff Students (especially those staff and students funded by research councils)	No	Research Data Manager; guidelines	Research Council mandates
Publish research (journal articles/monographs/conference papers)	Code of Practice on Intellectual Property Open Access Policy	L *RCUK funded research must comply with Open Access funder requirements	Academic and Research staff	No	Open Access webpages on Library website; CQSD courses	Copyright, Designs and Patents Act 1988 Funder requirements (esp. RCUK)

Key

L Relatively low impact with minor implications (e.g. small monetary fine, loss of staff time, some inefficiencies)

M Moderate impact on individuals (e.g. staff disciplinary, moderate fine)

H Significant impact on individuals and the University (e.g. loss of contracts/research grants/business, significant monetary penalty, court proceedings, staff/student disciplinary/dismissal)

FOI Freedom of Information; DP Data Protection