RECORDS MANAGEMENT POLICY

Version No.	Description	Author	Approval	Effective Date
1.0	Records Management Policy	Jeanette Leiper	University Management Committee (May 2009)	May 2009
2.0	Records Management Policy v2.0	Jeanette Leiper/Elaine Grant	Digital Campus Sub-Committee (4th December 2014)	January 2015

20/11/2014   Version 2.0

Contents

1. Introduction and Purpose

The University recognises that the efficient management of its records is essential to support its core functions, to contribute to the effective management of the institution and to comply with its legal and regulatory obligations. This includes complying with the Data Protection Act 1998, the Environmental Information (Scotland) Regulations 2004 and the Freedom of Information (Scotland) Act 2002 (FOISA), particularly Section 61, Code of Practice on Records Management.

This policy provides a framework for the creation, management and disposition of records within the University of Strathclyde.

2. Scope of the Policy

2.1 This Policy applies to all records created, received, used, maintained and disposed of by University staff in the course of their work.

2.2 Records are defined as: recorded information, in any form and regardless of media, created or received by the University, in the transaction of business or conduct of affairs and retained as evidence (for a set period) of such activities.

2.3 Records Management is the discipline of managing records in any format throughout their 'lifecycle' from creation or capture through to their ultimate destruction/disposal.

2.4 A small proportion of the University's records will be selected for permanent retention and held within the University's Archives. They will then form part of the University's corporate memory and serve as a resource for research.

2.5 Records created in the course of research may be subject to contractual record-keeping requirements of that research. The University has a Research Data Policy which establishes a framework within which support and advice for researchers is provided. Research staff should refer to this policy for specific guidance and support in managing research records.

3. Responsibility

3.1 The University has a responsibility to maintain its records and record-keeping systems in accordance with current legislation and best practice.

3.2 The University has a Records Centre which manages semi-current administrative and academic records which need to be retained for a specified period, for easy retrieval, beyond their immediate operational needs.

3.3 Information and guidance to help staff manage their records, in line with best practice and the Section 61 Code of Practice on Records Management (a supplement to FOISA)

is available from the Information Governance Unit, within the Strategy and Policy Directorate.   Records Management - University of Strathclyde

3.4 Heads of Departments/Directors within the University have overall responsibility for the management of records generated by the activities within their departments.

3.5 All employees who create, receive and use records have Records Management responsibilities and must ensure their own records are managed in accordance with University procedures.

3.6 Overall responsibility for ensuring compliance with this Policy lies with the Chief Operating Officer.

4. Aims and Objectives

4.1 The aim of the Policy, along with other guidance and supporting policies created by the Information Governance Unit, is to provide a framework for managing the University's records.

4.2 The objectives of the Policy are:
- to establish good information/records management procedures and practices from the creation/acquisition of each record through to final disposition i.e. destruction/transfer to University Archives;
- to ensure appropriate management of the University's records so that they can be used as an effective information source;
- to ensure the security, authenticity and integrity of all University records;
- to ensure compliance with all legal and statutory obligations;
- to aid the speed and efficiency with which information can be retrieved;
- to ensure that records vital to the operation of the University, along with those deemed to be of permanent administrative or historic value to the University, are identified and securely stored;
- to maximise the use of University storage space by minimising the duplication of records, minimising the retention of excessive documentation and minimising the retention of records for longer than necessary.

5. Implementation

5.1 The Policy provides a framework for managing the University's records. The Information Governance Unit will support staff in implementing the policy through the following:

- Producing Records Management guidance for staff covering record creation, management of the records, secure storage and records retention and disposal.
- The Joint Information Systems Committee (JISC) has produced a generic business classification scheme and Records Retention Schedule (RRS) for Higher Education Institutions. This provides generic good practice guidance on the retention of records

which HEIs commonly generate in the course of their core functions and activities. The JISC Records Retention Schedule is used as a basis for informing retention decisions. http://bcs.jiscinfonet.ac.uk/he/default.asp. The Information Governance Unit, however, has the ongoing remit of developing and maintaining bespoke records retention schedules for the University.

- Provision of a storage facility for hard copy records. Appropriate records will be securely stored in the University Records Centre. When they are no longer required they will be disposed of securely.
- Records held in the University Records Centre will be systematically appraised prior to their secure destruction or transfer to the University Archives.
- Arrangements for transfer to the University Archives of any records which are deemed to be of permanent administrative or historic value to the University;
- Provision of advice, guidance and information for all staff to help them understand the principles of good records management and how to implement those principles on a practical level.

Supporting information and/or guidance can be found at the following locations:

University Records Centre

http://www.strath.ac.uk/ps/strategyandpolicy/recordsmanagement/universityrecordscentre/#d.en.652227

Information and Records Management guidance
http://www.strath.ac.uk/ps/strategyandpolicy/recordsmanagement/

University Archives http://www.strath.ac.uk/archives/

JISC Records Retention Schedule http://bcs.jiscinfonet.ac.uk/he/default.asp

6. Review
The policy will be reviewed on a regular 3 year cycle and at any other time as required.

7. Contact

Further information can be found on the University website:
http://www.strath.ac.uk/foi/recordsmanagement/

or by contacting:
Information Governance Unit,
The University of Strathclyde,
16 Richmond Street,
Glasgow G1 1XQ
Email: records-management@strath.ac.uk
Tel: 0141 548 5994