



University of  
St Andrews

## Records Management Policy

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<b>School / unit</b>	Office of the Principal
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<b>Equality impact assessment</b>	None
<b>Key terms</b>	Information governance and management/Records management
<b>Purpose</b>	To provide direction on how University records are to be managed to preserve their value.

<b>Version number</b>	<b>Purpose / changes</b>	<b>Document status</b>	<b>Author of changes, role and school / unit</b>	<b>Date</b>
1.0	First version of approved Policy	Approved	C Milne, Head of Information Assurance and Governance, Office of the Principal	18 Nov 2015

## 1. Introduction

The records of the University of St Andrews are recognised as being critical to the efficient and effective operation of the Institution. Records are essential business resources containing information essential to the continued operation of the University. Records provide evidence of business transactions and activities, and are vital to forming the University's corporate memory, and in many cases supporting the creation of new knowledge.

## 2. Policy objectives and scope

The objectives of this policy are to ensure that:

- The University develops and maintains a records management function that supports the effective and economic creation and management of authentic, reliable and useable records in whatever format, capable of supporting the University's business functions and activities for as long as they are required;
- when records are created, suitable measures are taken to secure the information contained in those records;
- University records and the information they contain can be retrieved accurately, promptly and consistently to aid decision making and the generation of new knowledge, while underpinning corporate governance and accountability; and
- University records worthy of indefinite retention are identified, secured, preserved and remain accessible by transfer to Muniments (institutional archive) and through digital preservation.

This policy applies to all records created, received, maintained and used by University staff in the course of carrying out their corporate functions.

Records can be defined as:

*“information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business”*

(BS/ISO 15489-1:2001 Information and documentation. Records management. General.)

Records Management can be defined as the:

*“field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records.”*

(BS/ISO 15489-1:2001 Information and documentation. Records management. General.)

### 2.1. University of St Andrews: model for information and records management

This policy is supported by the paper *“University of St Andrews: model for information and records management”* which was presented to the Principal's Office. The paper clarifies where and when records management standards will be applied to support the implementation of this policy.

### 2.2. Intended audience

This policy is for the attention of all staff working for the University. All records that University staff create, receive or maintain during the course of their duties are official records of the University regardless of media and must be managed accordingly.

### **2.3. Where the policy applies**

This policy applies to all locations and instances where:

- The University is responsible for personal and/or sensitive personal data as the data controller; and
- Information and/or data over which the University is recognised as the owner are accessed – irrespective of location, the ownership of the technology and the service(s) used to access information and data that fall within the scope of this Policy. Consequently, this policy applies to all out of office (e.g. home) working.

### **2.4. Policy statement**

The records of the University will be managed systematically to support business improvements, operational efficiency, corporate governance and accountability, to preserve institutional corporate memory and to seek compliance with appropriate legislation.

### **2.5. Legislative and regulatory framework**

Through the deployment of appropriate resources, the University is committed to designing, developing and managing records management functions, in the spirit of existing and emerging legislative and regulatory frameworks, international standards and accepted best practice, with specific reference at this time to:

#### **Legislation:**

- Freedom of Information (Scotland) Act 2002
- Environmental Information (Scotland) Regulations 2004
- Data Protection Act 2018

#### **International Standards:**

- BS/ISO 15489-1:2001 Information and documentation. Records management. General
- BS EN ISO 9000:2000 Quality management systems
- BIP 0008:2004 Code of practice for legal admissibility and evidential weight of information stored electronically
- DISC PD 0010:1997 The principles of good practice for information management

#### **Voluntary Codes of Best Practice / Guidance Emerging from Recognised Authorities:**

- Model Action Plan
- Scottish Information Commissioner
- Public Records Office
- Joint Information Systems Committee

### **2.6. Business benefits of records management**

The University recognises the business benefits of deploying effective records management solutions as summarised in Clause 4 of BS/ISO 15489-1:2001. In themselves these provide adequate justification for pursuing efficient and effective Records Management beyond the principles set out in legislation.

## **3. Implementation**

Supporting guidance and procedures necessary to enable staff to comply with this policy will be made available on the University website.

## **4. Guidance**

Fundamental to the successful implementation of this policy is the availability of professional advice and guidance to support records management functions and to alert staff to their responsibilities.

Materials will be published, and appropriate staff development activities made available. Staff will also be able to seek the support of the Information Governance and Muniments teams.

## **5. Staff development and training**

The University will provide appropriate training in records management targeted at specific practices, encompassing relevant roles and responsibilities.

Records management training activities will be designed, delivered and evaluated in accordance with accepted best practice standards, making appropriate use of external bodies as appropriate.

## **6. Responsibilities**

All members of staff and others granted access to University information and systems have a responsibility to respond positively to this policy. Specific responsibilities include:

### **6.1. Vice-Principal, Governance**

- Adjudication on steps to be taken to secure compliance with the policy; and
- Identification of priority areas for implementation of this policy.

### **6.2. Head of Information Assurance and Governance**

- Promoting the policy and its implementation across the University.
- Ensuring that the accompanying materials are developed and made available.
- Providing training and awareness.
- Working with Schools and Services to assess levels of compliance and to provide support to address any gaps.

### **6.3. Heads of School and Service Directors**

- Ensuring that their School or Unit achieves compliance with this policy and that the information is classified and protected in line with the accompanying implementation guide.
- Where there are gaps in the implementation of the policy ensuring that these are addressed.

## **7. Methodology**

The development of this policy was partly informed by external benchmarking. This included a review of records management policies from local authorities and higher education institutions and other public sector bodies within and outwith the UK and an assessment of the standard BS/ISO 15489-1:2001 Information and documentation. On conducting an initial screening exercise, it was determined that implementation of this Policy would not negatively impact on any of the individual equality strands. Therefore, a full equality Impact Assessment is not required.

## **8. Review**

This policy will be reviewed at regular intervals. The review period will be approved by the University Principal's Office and recorded on the accompanying coversheet. Any significant change to the definition of personal and/or sensitive personal data, or University Policy or procedures primarily concerned with information *confidentiality, integrity and accessibility* may trigger an earlier review. This Policy will be presented to the University Principal's Office for approval.

## **9. Availability**

This policy is published on the University Website. The policy can be made available in different formats, please direct any requests to the Head of Information Assurance and Governance.

## **10. Contacts/further information**

Enquiries regarding these Regulations can in the first instance be directed to the Head of Information Assurance and Governance.

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