



UNIVERSITY  
*of*  
ABERTAY DUNDEE

# University records management policy

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<b>Approved By</b>	Court
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**Version Control Table**

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1.1	Policy reviewed – job titles changed, references to legislation updated	C Milne	19/03/09

## Introduction

The records of the University of Abertay Dundee 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.

## Audience

This policy is for the attention of all staff working for the University of Abertay Dundee. 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.

## Aim

The records of the University will be managed systematically to support business improvements, operational efficiency, corporate governance and accountability and to seek compliance with appropriate legislation. This policy provides a framework from which this will be achieved.

## Policy Scope

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.

## Policy Objectives

The key 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, capable of supporting the University's business functions and activities for as long as they are required.
- ❑ That University Records and the information they contain can be retrieved accurately, timely, consistently to aid decision making and the generation of new knowledge, while underpinning corporate governance and accountability.
- ❑ To ensure that University records worthy of indefinite retention are identified, secured, preserved and remain accessible.

## **Legislative and Regulatory Framework**

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

### **Legislation:**

- ❑ Code of practice on records management, pursuant to section 61(6) of the Freedom of Information (Scotland) Act 2002.
- ❑ Data Protection Act 1998.
- ❑ Electronic Communications Act 2000.

### **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:**

- ❑ National Archives of Scotland Model Action Plan.
- ❑ Scottish Information Commissioner.
- ❑ Public Records Office.
- ❑ Joint Information Systems Committee.

## **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.

## **Relationships with Existing Policy**

This policy has been formulated within the context of the following University documents:

- ❑ University Data Protection Policy 2002.
- ❑ Freedom of Information publication scheme.
- ❑ Information Strategy.
- ❑ University Strategic Plan 2007 – 2011.

## **Responsibility for Records Management within the University of Abertay Dundee**

Effective records management is a shared responsibility. Responsibility for Records Management within the University resides with:

### **University: Institutional Corporate Responsibility**

The University has a corporate responsibility to maintain its records and records management infrastructures in accordance with the legislative and regulatory environment. Responsibility for ensuring legislative compliance rests with the Vice Principal (Planning & Resources).

### **University Senior Management**

Are responsible for:

- ❑ Promoting compliance with the policy.
- ❑ Advising on Strategic developments that are likely to impact on Records Management.
- ❑ Releasing appropriate resourcing.
- ❑ Supporting the management of change.

### **Chief Information Officer**

Has a responsibility to ensure that the strategic development of Records Management is aligned with the University Strategic Plan and with other initiatives & policies as appropriate, and that the introduction of Records Management functions are implemented and developed in such a way that suitable opportunity is created to allow for the realisation of the anticipated business benefits. In addition the Chief Information Officer will also be responsible for ensuring that appropriate technological infrastructures are maintained and developed to secure the integrity and accessibility of records throughout their lifecycle and that records remain usable throughout any technological change / migration and receive suitable protection in accordance with their value.

### **University Records Management Implementation Group**

Work with the University Records Manager to draft and review the development and implementation of policy and procedures.

### **University Records Manager**

Has a coordinating and enabling role, advising on policy and best practice. The Records Manager is responsible for:

- ❑ The design, implementation and maintenance of records management systems.
- ❑ Day to day responsibility for records management, reporting to the Chief Information Officer and liaising with the Academic Secretary & Registrar as appropriate.
- ❑ Providing the University with professional authoritative advice and information on records management, disseminating best practice, developments and support materials (procedures and guidance notes etc.).
- ❑ Organising staff development activities.
- ❑ Evaluation of Records Management functions.

### **Heads of School / Service**

Are responsible for ensuring that records within their area of responsibility are managed in accordance with University policy and procedure and that staff in their charge clearly understand their records keeping responsibilities and receive appropriate training.

### **All University Employees**

are responsible for ensuring that the records for which they are responsible are accurate, indexed with appropriate descriptive and technical meta-data and are created, maintained and disposed of in compliance with University policies and procedures.

### **Staff Development and Training**

The University recognises that to realise improvements in the management of its records that an on-going programme of records management training is required. 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.

The University will endeavour to make records management training available to all new staff, shortly after their arrival.

### **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 University's Records Manager.

### **Contacts**

Enquiries regarding this policy in the first instance can be directed to:

Deputy University Secretary

Operational enquiries on Records Management can be directed to:

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