Management of Information and Records Code of Practice

DOCUMENT CONTROL INFORMATION			
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Target Audience	
People who need a detailed knowledge of the document	All Section Heads and Heads of Department.
People who need a broad understanding of the document	All staff.
People who need to know that the Code of Practice exists	All staff.

Annex of Modifications		
Version	Date of issue	Details of modification from previous version
1.1	30-08-2018	Transfer to new template. Update to include General Data Protection Regulation. Addition of introduction section.

1.   Introduction

Information and records management is the process of managing business records and information, regardless of format or media, from creation through to disposal. Information is an asset considered essential to the work of LSTM.

LSTM recognises that the efficient management of its records is required to support its core functions, to comply with it legal and regulatory obligations, and to contribute to the effective management of the organisation.

2.   Purpose

2.1   Good records management is key to ensuring an efficient business environment at LSTM. Information should be seen as an important asset that needs to be available for legitimate business purposes but also safe-guarded to ensure its integrity. It is also an important step towards meeting our statutory responsibilities and provides our stakeholders with assurance that we are a professional and trustworthy partner.

2.2   Examples of statutory compliance required are:
   - Data Protection Act, 2018
   - General Data Protection Regulation (GDPR)
   - Freedom of Information Act, 2000
   - Health and Safety Legislation

2.3   In addition, there are internal and external audit requirements. For example, funders may require programmes to hold information for specific periods of time.

2.4   In the case of Freedom of Information, retention of information is also an issue and if the authority can demonstrate via a robust and well-maintained retention schedule that information is no longer held then it can provide permissible grounds for refusing a request.

2.5   Implementation of the code of practice will help ensure that any required physical or electronic storage is value for money.

2.6   This code of practice will introduce clear and simple measures which will ensure that LSTM business records are managed in an efficient way that improves business performance.

3.   Scope

3.1   This code of practice applies to all records whether in electronic or paper format that are created, received or maintained by LSTM staff and partners such as contractors, consultants, visitors or guests in the course of carrying out their work in support of the School.

Records are defined as those documents which facilitate the business, carried out by the organisation and which are thereafter retained (for a set period) to provide evidence of its functions, transactions and activities.

3.2   This code of practice applies to records created both for research, whether internally or externally funded, and teaching purposes and administrative or support of

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research and teaching and throughout the life-cycle of a record from creation to disposal or long-term archiving. Geographically, it applies to work wherever it is carried out whether within LSTM premises or off-site.

4. Responsibilities

4.1   All staff (including contractors and consultants) will be responsible for creating, maintaining, preserving or disposing of records in accordance with this code of practice whether for core LSTM business or externally funded research projects.

4.2   Section Directors and Heads of Department are designated as data owners and are ultimately responsible for ensuring that all records in their areas are managed in accordance with this code of practice. In many areas, the day-to-day liaison will be delegated to a nominated individual within that Group or Department.

4.3   The Head of Information Services is responsible for providing advice and guidance, coordinating records retention schedules and a secure storage service.

4.4   LSTM Management Committee to approve the code of practice and to support its delivery.

4.5   The Library Licensing and Compliance Officer will co-ordinate retention schedule reviews, maintain version control and ensure that retention schedules are stored centrally.

5. Implementation, Monitoring and Compliance

5.1   The requirement of this code of practice is that Groups and Departments will actively engage with the Head of Information Services in the following activities:

- Creation and maintenance of a retention schedule;
- Disposal or storage of records in relation to the retention schedule;
- Adherence to an information classification matrix which will identify particularly sensitive classes of information and ensure they are managed appropriately;
- Provision of information for statutory purposes e.g. Freedom of Information or Data Protection requests;
- Implementation of mandatory information security training;
- Follow guidelines and standards for production and maintenance of LSTM internal policies;
- Work with other Departments and Groups to deliver an integrated solution across all core management information systems.

5.2   Groups and Departments will also apply the principles and practices to electronic information and follow any relevant policies and guidelines as instructed by IT Services.

6.   Related policies and documents

Code of Practice for the Acceptable Use of Computer and IT Facilities
Data Protection Policy
Freedom of Information Policy

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Management and Quality Assurance of Data (to the Office for Students / HESA & other public bodies)
Code of Practice on the Management of Policies

## 7.	Supporting documents and information

These are available via the LSTM Knowledge Exchange and include:
- LSTM records retention schedule
- Retention schedule guidance
- LSTM Information classification matrix
- Offsite storage guidance

## 8.	Equality and Diversity

LSTM is committed to promoting equality of opportunity, combatting unlawful discrimination and promoting good community relations. We will not tolerate any form of unlawful discrimination or behaviour that undermines this commitment and is contrary to our equality policy.

9. Safeguarding

In line with our Safeguarding Policy and procedures, LSTM's processes reflect our organisational commitment to keeping children and vulnerable adults safe.

## 10.	Contacts

If you have any queries about this code of practice please contact:
Head of Information Services

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