A Code of Practice for the Management of Records and Information at LSTM

VERSION 1 – 15 September 2015

Document History:			
Reference Number:	IS/CP/001	**Approved by ICT:**	16/6/2015
Version number:	1	**Approved by MC:**	30/7/2015
Superseded Version Number:	None	**Effective Date:**	30/7/2015
Originator:	J. Martin	**Review Date:**	30/06/2017

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General Principles
• **The code of practice applies to electronic and hard copy records and information;**
• **The code of practice is designed to ensure that LSTM can meet its statutory requirements for information governance as well as providing assurances to auditors and partners;**
• **Disposal and retention of records and information must be properly and efficiently managed;**
• **All staff have responsibilities to adhere to the code of practice; and, in particular section Heads and Directors are responsible for its delivery in their area.**

1. Purpose

1.1. 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.

1.2. Examples of statutory compliance required are:
   • Data Protection Act, 1998
   • Freedom of Information Act, 2000
   • Health and Safety Legislation

1.3. In addition, there is internal and external audit requirements. For example, the EU will conduct final ethical follow ups for individual work packages for which the School is responsible so giving consideration to the organisation of information for these will greatly improve our efficiency and ability to respond in a professional way.

1.4. Under the Data Protection Act, principle 5 concerns retention and states that data should be kept for no longer than absolutely necessary. This code of practice and accompanying retention schedule will help underpin that principle.

1.5. 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.

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

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

2. Scope

2.1. 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.

2.2. This code of practice applies to records created both for research and teaching purposes and administrative or support of 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.

3. Responsibilities

3.1. 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.

3.2. 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.

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

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

4. Implementation, Monitoring and Compliance

4.1. 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 hard copy information in relation to the retention schedule;
- Adherence to an information classification 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 Act 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.

4.2. 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.

5. Related policies and documents

Title	Approval Process
Code of Practice for the Acceptable use of Computer & IT Facilities	Approval via ICT
Data Protection Act Policy	Approval via GOC
Freedom of Information Act Policy	Approval via GOC
Information Security Policy	Approval via ICT
Management & quality assurance of data (to HEFCO/HESA & other public bodies	Approval via ICT
Research Data Management Policy	Approval via ICT

6. Supporting documents and information

These are available via the LSTM Knowledge Exchange and include:

- LSTM retention schedule
- Retention schedule guidance
- LSTM Information classification
- Offsite storage guidance

7. Contacts

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

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