1. Introduction

1.1 The University Records Management Policy supports the effective running of the institution and governs the management of all records produced or acquired by the institution and its employees in the course of the University’s business, in all media. The records of the University of Dundee are recognised as critical to the institution as they provide evidence of business transactions and activities, are vital to all current and future operations and form the institution’s corporate memory. The records of the University of Dundee will be managed in a systematic manner, in compliance with relevant legislation and regulations, and in furtherance of effective corporate governance and accountability.

2. Legislative and regulatory framework

2.1 This policy is produced with reference to ISO/BS 15489-1 Records Management.

2.2 This policy is based on the outline policy contained in the Fe & HE Sector Model Action Plan for developing Records Management ARRANGEMENTS compliant with the Code of Practice on Records Management under Section 61 of the Freedom of Information (Scotland) ACT 2002, December 2003.

2.3 Ensuring the proper management of records is part of the University’s commitment to safeguard personal data in compliance with the principles of the Data Protection Act 1998.

3. Audience

3.1 This policy is for the attention of all staff employed by the University of Dundee. All records that University staff create or maintain in the course of University business are official records of the University of Dundee, regardless of media.

4. Purpose

4.1 This document provides the policy framework for the effective management of the records of the University of Dundee. It provides the framework through which the effective management of the records can be achieved. It provides information to employees of the University of Dundee regarding their recordkeeping responsibilities.

5. Scope of this policy

5.1 This policy applies to all records created, received or maintained by employees of the University of Dundee in the course of their duties. Records created in the course of research are subject to the contractual recordkeeping requirements of that research, whether internally or externally funded.

5.2 Records are defined as recorded information, in any form and regardless of media, created or received by the University of Dundee in the transaction of business or conduct of affairs and retained as evidence of such activities.

5.3 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposal of records, including processes for capturing and maintaining the evidence of, and information about, business transactions and activities in the form of records.
5.4 Records with particular evidential, informational and/or historical value may be transferred to the custody of the University Archivist at the end of their operational life.

6. Responsibilities

6.1 The University of Dundee recognises its corporate responsibility to maintain its records and recordkeeping systems in accordance with the legal and regulatory environment. Overall responsibility for this policy lies with the University Secretary. In practice responsibility for good recordkeeping is devolved to senior managers.

6.2 The University Archivist and Head of Archive, Records Management and Museum Services is responsible for the development of good records management practice and promoting compliance with this policy to ensure the efficient, appropriate and timely retrieval of information. In practice the responsibility for the drafting of guidance is devolved to the University’s Records Manager & Information Compliance Officer.

6.3 Individual employees must ensure that the records for which they are responsible are accurate, and are maintained and disposed of appropriately. Senior managers and line managers are responsible for ensuring that their staff understand their recordkeeping responsibilities. In any situation where recordkeeping responsibilities or requirements are unclear, advice must be sought from the Records Manager & Information Compliance Officer.

7. Relationship with existing policies

7.1 This policy is informed by:

- The University’s Strategic Vision (see http://www.dundee.ac.uk/principalsoffice/strategy/ and http://www.dundee.ac.uk/transform/).

7.2 It is related to:

- Policies and guidance on recordkeeping and compliance with information legislation (see http://www.dundee.ac.uk/recordsmanagement/)

7.3 Compliance with this policy facilitates compliance with information legislation such as the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998.

8. Guidance

8.1 Guidance for staff on addressing the issues raised by this policy is available from the Records Manager & Information Compliance Officer, Archive, Records Management and Museum Services, Tower Building, University of Dundee, DD1 4HN and from http://www.dundee.ac.uk/recordsmanagement/.