



Records Management Policy

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Related Policies & Procedures	<ul style="list-style-type: none"> • <i>LSHTM Records Management Procedures</i> https://lshtm.topdesk.net/tas/public/ssp/content/detail/service?unid=e89ff5d4edb24c528820711b97ecc8ca&from=df560c65-01bd-4249-9a7c-d5a51a7e4ca1 • <i>LSHTM Data Protection Policy</i> https://www.lshtm.ac.uk/sites/default/files/Data-Protection-policy.pdf • <i>LSHTM Freedom of Information Policy</i> https://www.lshtm.ac.uk/sites/default/files/Freedom_of_Information_Policy.pdf • <i>LSHTM Research Data Management Policy</i> https://www.lshtm.ac.uk/sites/default/files/research_data_management_policy.pdf • <i>LSHTM Information Management and Security Policy</i> https://www.lshtm.ac.uk/sites/default/files/Information_Management_Security_Policy.pdf • <i>LSHTM Data Classification and Handling Policy</i> https://www.lshtm.ac.uk/sites/default/files/2017-06/LSHTM-data-classification-handling-June2017.pdf • <i>LSHTM Records Retention & Disposal Schedule</i> https://lshtm.sharepoint.com/Services/Information-Management/Pages/-records-retention-and-disposal-schedule.aspx

1. SCOPE

1.1 This policy applies to all individuals with access to LSHTM records. This includes, but is not limited to, LSHTM staff, researchers, collaborative partners and contractors.

1.2 This policy applies to all records created, received or maintained by LSHTM staff in the course of carrying out their corporate functions. Records and documentation created in the course of



research, whether internally or externally funded, are also subject to contractual record-keeping requirements.

1.3 Primary responsibility for ensuring compliance with this policy lies with heads of academic departments and heads of professional services departments, who are responsible for ensuring that it is communicated to, and adhered to by, the members of staff whom they manage.

1.4 Records are defined as all those documents which facilitate the business carried out by LSHTM and which are thereafter retained (for a set period) to provide evidence of its functions, transactions and activities. Every LSHTM staff member manages records to some extent. Each department may deal with, among other types, administrative, financial, legal, or research records.

1.5 Records can be in various formats including correspondence, emails, committee minutes, reports, photographs, databases, lab books and drawings, and can be recorded on paper and in digital form (including as audio/video) on institutional networks, cloud storage, CD-ROMs, DVDs as well as legacy formats such as microfilm, audio cassette tapes, video tapes, floppy disks and optical disks.

1.6 All LSHTM staff must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with this policy.

2. PURPOSE AND OVERVIEW

The London School of Hygiene & Tropical Medicine (LSHTM) is committed to managing its records and information effectively and efficiently, in order to support all of its business activities in line with the LSHTM strategy and to ensure compliance with statutory and regulatory requirements.

LSHTM, as a Public Authority, is committed to meeting the requirements of Section 46 Code of Practice: Records Management that accompanies the Freedom of Information Act 2000 ("FOIA"), as well as the records and information management requirements arising from the Environmental Information Regulations 2004 ("EIR"). Where personal data is held, LSHTM is also required to ensure compliance with the General Data Protection Regulation (GDPR) and the Data Protection Act 2018, and guidance published by the Information Commissioner's Office ("ICO"). In addition, LSHTM endeavours to adhere to the British Standard for Records Management (BS ISO 15489-1:2016) as far as is possible.

The LSHTM position in records management is consistent with the requirements set by research funders and data providers regarding how research datasets should be created and managed through their lifecycle to disposal, either in an archive or by being securely destroyed.

Records management is defined as '*a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including process for capturing and maintaining evidence of and information about business activities and transactions in the form of records*'. (BS ISO 15489-1:2016)

Effective and efficient management of LSHTM's records leads to more efficient use of IT resources, office space and storage space, both onsite and offsite. Good records management enables:



- improved transparency and accountability;
- effective policy formation;
- informed decision-making;
- management of business risks;
- continuity in the event of disaster;
- protection of rights and obligations of organisations and individuals;
- compliance with legislation and regulations;
- improved ability to demonstrate corporate responsibility, including meeting sustainability goals;
- reduction of costs through greater business efficiency;
- protection of intellectual property;
- evidence-based research and development activities;
- formation of business, personal and cultural identity;
- protection of corporate, personal and collective memory.

The majority of the LSHTM's records are required to be held for the short to medium term only. However, there will be a small percentage of records that will be selected for permanent preservation by the Library & Archives Service, in order to provide an enduring record of the conduct of LSHTM functions, business and people, which combine to form LSHTM's corporate memory. Such records also provide an invaluable resource for research.

LSHTM's information and records, regardless of medium or format, need to be maintained and disposed of appropriately in order to ensure that they are complete, accurate, reliable, secure and fit for purpose, and that LSHTM is able to meet all statutory, regulatory, administrative and operational requirements placed upon the organisation.

3. POLICY

The London School of Hygiene & Tropical Medicine defines the following set of principles to be followed in order to ensure its information and records are managed and used in accordance with best practice and legal requirements.

3.1 All members of LSHTM staff who create, receive, manage, or dispose of information have responsibilities and must ensure that records are accurate, secure, organised, retained and disposed of in accordance with the LSHTM Records Retention & Disposal Schedule.

All LSHTM staff are responsible for:

- Managing documents and records in accordance with LSHTM Records Management procedures and the Records Retention & Disposal Schedule
- Familiarising themselves with this policy and records management guidelines
- Seeking advice from the Archivist & Records Manager when there is uncertainty regarding the appropriate action to take with respect to the management of records

All LSHTM staff must:

- Treat records as a LSHTM resource:
- Ensure as far as practicably possible that records are accurate and filed in such a way that they can be easily located;
- Keep records no longer than they are needed;
- Keep confidential records in a secure environment such as the secure server;



- Keep records stored in a safe and cost-effective way;
- Allow people to access information only if they need or have a right to do so;
- Create records that are accurate and that do not defame another individual, expose LSHTM to unnecessary risk or to tamper with records in a way that risks them becoming inaccurate;
- Regularly review access controls so only the correct people can access the specific assets.

3.2 As outlined in the LSHTM Research Data Management Policy, LSHTM researchers have a responsibility to manage effectively and securely the data they create, whether original or derived. Primary responsibility for design and implementation of effective research data management lies with the senior researcher associated with the project, typically the Principal Investigator.

3.3 The Library & Archives Service (which manages LSHTM's Records Management Service) is responsible for:

- Development, maintenance and promotion of policy, procedures and guidance on how to achieve best practice to assist LSHTM staff in their management of records
- Development, maintenance and promotion of the LSHTM Records Retention & Disposal Schedule, with input from LSHTM staff who need to use them, in order to ensure the timely disposal of LSHTM records
- Management and operation of LSHTM's Records Management Service for the secure storage and retrieval of semi-active records, both in the on-site and off-site facilities
- Assisting in the movement and/or storage of a department's records, thereby helping to ensure that records are kept for their lifespan and then either destroyed or transferred to the LSHTM Archives if they have historic value.
- Ensuring that any records (regardless of format) to be retained on long term/permanent basis are appropriately preserved
- Working with the Data Protection Officer on records management related activities such as information asset audits and data minimisation projects
- Working with Information Technology Services on digital aspects of records management related activities such as secure storage and IT security

4. CONTACTS

Questions related to the Records Management Policy should be directed to the Archives & Records Management Team within the Library & Archives Service (archives@lshtm.ac.uk).

5. REFERENCES

- *Section 46 Code of Practice: Records Management (accompanying the Freedom of Information Act 2000)*
<https://ico.org.uk/media/for-organisations/documents/1624142/section-46-code-of-practice-records-management-foia-and-eir.pdf>
- *Freedom of Information Act 2000*
<http://www.legislation.gov.uk/ukpga/2000/36/contents>
- *Environmental Information Regulations 2004*



<http://www.legislation.gov.uk/uksi/2004/3391/contents/made>

- *General Data Protection Regulation*
<https://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=OJ:L:2016:119:FULL&from=EN>
- *Information Commissioner's Office*
<https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/principles/storage-limitation/>
- *Data Protection Act 2018*
<http://www.legislation.gov.uk/ukpga/2018/12/contents/enacted>
- *British Standard for Records Management (BS ISO 15489-1:2016)*
<https://www.iso.org/standard/62542.html>