



Records Management Policy

New College Durham is committed to safeguarding and promoting the welfare of children and young people, as well as vulnerable adults, and expects all staff and volunteers to share this commitment.

Procedure Title	Records Management Policy
Document Owner	Academic Registrar

Directorates and Departments affected by this Policy	All staff
Policy Effective From	October 2020
Next Review Date	October 2025

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We will consider any request for this Policy to be made available in an alternative format.

We review our Policies regularly to update them and to ensure that they are accessible and fair to all. All Policies are subject to Equality Impact Assessment which consider whether the Policy has, or is likely to have, a different impact on grounds of race, gender, disability, age, religion, sexual orientation or human rights.

We are always keen to hear from anyone who wants to contribute and we welcome suggestions for improving the accessibility or fairness of the Policy.

To make suggestions or to seek further information please contact records@newdur.ac.uk

Equality Impact Assessed: July 2020
Accessibility Checked July 2020

1. Objectives

This Policy is intended to facilitate the effective management of the College's records and archives as a source of evidence and information. It encompasses records in all media and in all parts of the organisation and includes all the information created, received and maintained by staff of the College in the course of their work. This Records Management Policy can also be considered an Information Management Policy for the purposes of compliance with relevant standards.

The Policy objectives are to ensure that:

- Adequate records of the College's activities are created;
- Appropriate and efficient access to these records is provided for all authorised users;
- Records required for business, accountability or cultural purposes are retained and remain usable for as long as they are needed;
- Records of long term value are identified and preserved as archives;
- Other records are confidentially destroyed when no longer required; and
- Employees are aware of what constitutes best practice in records management.

2. Responsibilities

The College has a responsibility to ensure its records are maintained in accordance with legislation concerning the subject matter of those records and concerning their accessibility. Responsibility for ensuring compliance with this Policy lies with the Corporation and the Senior Leadership Team

The Senior Information Risk Owner (SIRO) for the College is the Deputy CEO. The SIRO is responsible for ensuring information and records management is recognised as a core corporate function.

The Academic Registrar is responsible for this policy and for designing, implementing and maintaining consistent records systems and providing records management advice to all departments.

The Information Compliance Co-ordinator is responsible for maintaining associated record-keeping guidelines; promoting compliance with the provisions of the policy and guidelines and providing records management advice to all departments.

Where a legal statement is required to assert that information provided from a College Records System is genuine and accurate, the SIRO or Academic Registrar may be called upon to provide this statement.

All staff are responsible for the accuracy and completeness of the records they create and use. Compliance with this Policy and any associated procedures is compulsory for all staff employed by the College. A member of staff who fails to comply with this Policy may have their actions reviewed under the College's Competence Procedure or may be subjected to disciplinary action under the College's Disciplinary Procedure. It is the responsibility of all managers to ensure that staff are made aware of the existence of this Policy and its content.

The ICT department is responsible for the technical aspects of managing electronic records and the Academic Registrar will liaise with the Head of ICT to provide a comprehensive service.

3. Relationship with existing policies and standards

This Policy has been formulated within the context of the following College documents:

- Data Protection Policy
- Freedom of Information Policy
- Information Security Policy
- ICT Business Continuity Plan

This Records Management Policy will seek to facilitate compliance with BS ISO 15489-1:2016 Records Management; BS ISO IEC 27001:2017 Information Security; and the Lord Chancellor's Code of Practice on the Management of Records under s46 of the Freedom of Information Act 2000 (rev2 2009).

The College will seek to comply with BS10008:2014 Evidential Weight and Legal Admissibility of Information Stored Electronically for all scanned records held in College systems.

The College will seek to comply with requirements stipulated by funding bodies and external institutional review bodies, especially where these relate to audit requirements.

Compliance with this Policy will facilitate compliance with other information-related and records legislation such as:

- Freedom of Information Act 2000
- General Data Protection Regulation (GDPR; UKGDPR)
- Data Protection Act 2018
- Public Records Act 1958

4. Definitions¹

Data is often defined as ‘raw facts’ and information is often defined as ‘processed data’ but for the purposes of this Policy the terms will be considered synonymous.

A **record** is “information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business”; a record provides “evidence of a transaction and its terms...reference material for the organisation of facts, background, prior actions and ideas to be used in decision making processes...evidence of enabling compliance with legislative or professional requirements”.

A **document** is “an object which can be treated as a unit”; where the context or content is not a consideration.

A **database** is structured information held in electronic form.

An **archive** is a collection of records stored for longer than their useful lifetime for historical purposes.

An **Information Asset** is records held in a structured form, usually a database.

College records consist of all documents, databases and any other collection of information fitting the above definition of a record. For further guidance see the College Records Management System Manual.

5. Policy and Guidance

The College will manage its records in the most effective way to ensure a consistent approach is maintained.

The College is committed to creating, capturing, using and storing records electronically where possible. The use of electronic systems must maximise the evidential weight of records held, especially those which have been scanned.

The following are elements of the College Records Management Policy and any procedures therein should be followed.

¹ Definitions in quotation marks are from BS ISO15489:2001 Records Management

a. Fileplan and Records Retention Schedule (RRS)

This resource consists of a list of categories against which records are classified². It is based upon models created by JISC and is reviewed when the JISC models are updated. All current College records are classified therein to comprise the Fileplan.

In addition, information is included detailing the length of time for which the College undertakes to keep each class of records. These retention schedules are based on legislative and funding body requirements as well as operational requirements and are subject to change. Changes will be applied by the Academic Registrar in consultation with the relevant School or business area.

Retention periods apply to the record and to any associated index data held with the record. Audit trail data should be held for at least as long as the record but may be held longer.

Processes must be established by departments to ensure retention periods listed here are adhered to. These processes should be documented and published internally. In these processes requirements for compliance in relation to section 3 (above) must be met.

This resource also contains information on the legal basis for processing where the records contain 'personal data' or 'special category data' and the Privacy Notice where the information is communicated. The Fileplan is also the Record of Processing Activity (ROPA) for the College as required by the GDPR.

b. Information Asset Register

This resource is a register of all College systems which contain data. It forms part of the College's ROPA for the purposes of compliance with data protection legislation and is managed by the Information Compliance Co-ordinator.

c. Records Management System Manual

This manual provides information and guidance on the operation of the College's records management systems and processes. It also gives guidance on the

² The College uses the JISC 2006 model Business Classification Scheme, cross referenced with the 2009 and 2019 versions

management of documents which are not records and provides best practice advice on recordkeeping in general.

The manual is available on the College intranet.

d. College Archive

The content of the College Archive is managed by the Academic Registry according to guidelines in the Records Management System Manual.

The Archive contains materials of historical interest preserved for posterity.

6. Evaluation and review

The performance of this Policy is reported on annually and the policy is formally reviewed every five years by the appropriate Corporation committee.

In addition, the effectiveness of this Policy is monitored as necessary on an on-going basis to ensure it is compliant with relevant legislation.