Lincoln College Records Management and Data Processing Policy

Scope

Lincoln College recognises that the appropriate creation of and the efficient management of its records and the data contained therein is essential for effective administration. This is also vital to meet the College's strategic aims and objectives, to provide evidence of the transactions and activities, and to enable it to comply with moral, legal and regulatory requirements.

This policy applies to all College records and data; that is records created, received or maintained by the College in the course of carrying out its business. The records may be in any format or medium, including electronic documents.

A small proportion of the records will be selected for permanent preservation in the College Archive to be available for enduring informational value, historical research and to give a lasting record of the College's business.

The General Data Protection Regulation (GDPR) requires that personal data is managed in accordance with a lawful basis; records containing personal data of living individuals handled by any member of the College are included in the Information Asset Register (IAR) and the lawful basis for processing will be stated therein.

The IAR will be continuously under review: feedback is welcome; for any changes please liaise with the Head of Department and/or the College Archivist.

Responsibilities

The College Archivist has overall responsibility for ensuring that records are kept efficiently in College as a whole; Heads of Department are responsible for ensuring efficiency and compliance both with legislation and the IAR within the department.

All members of staff are responsible for following this policy. Staff members are also responsible for ensuring that they create accurate records that document the actions and decisions for which they are responsible, and maintain those records in accordance with the standards laid down in this document. This includes:

- storing records appropriately and securely. Personal data needs to be managed in line with GDPR.

- making sure electronic records are in the correct College network drive or College system so they are fully supported and regularly backed up.

- identifying obsolete records and disposing of them in an appropriate and auditable manner. Colleagues are requested to check the IAR and S:\Records Management folder for the appropriate guidance. Support is available from the College Archivist and the IT department.

This policy applies to all records created, received or maintained by staff in the course of carrying out their duties, and the data therein.

Good records management and data processing will ensure:

- Records will give accurate and relevant information on the College's transactions.

- Records will be authentic, reliable and integral.

- Records will be stored within suitable filing systems, to enable easy retrieval and avoid unnecessary duplication.

- Access to records will be balanced with security appropriate to their level of confidentiality and importance.

- Records will be retained for the correct length of time, and disposed of securely in line with the College IAR.

This in turn will enable the following benefits:

- The College will retain those records required by law, in particular records relating to financial and environmental concerns, health and safety and contractual agreements. It will be able to meet its obligations under the GDPR, the Freedom of Information Act 2000, and other governing legislation.

- Records can be fully and lawfully exploited as a corporate resource for the College. Lost records cost the College time and money.

- The College's records will provide evidence and information about policies and compliance, transactions, interaction with stakeholders and rights and obligations of individuals and organisations.

- Good records management will result in more efficient working practices and

quicker retrieval of records. This ensures that staff can identify the most up-to- date and accurate information.

- The College will be better prepared for business continuity and will be able to demonstrate compliance.

- Storage space, both physical and electronic, will be freed up, contributing to the College's sustainability agenda.

- Records with continuing historical value will be retained and preserved.

Implementation

Heads of Department will ensure compliance with this policy, and review their IAR, records and data with departmental staff annually.

It is the responsibility of the information owner to ensure that good housekeeping practices are undertaken. This ensures the accuracy and relevance of information assets that reside on the College servers. It is required that any personal or residual records or data that is no longer required for College administrative or archival purposes are removed from the relevant drives and servers on a regular basis and paper records are disposed in confidential waste bags, at least annually.

Retention and disposal of records will be governed by the College's Information Asset Register. The IAR provides a list of the records produced by the College by department, and details of the length of time that they should be retained to meet operational and regulatory requirements. It assigns staff responsibilities for the management of records. It provides the rationale for the recommended retention periods, with details of any legislative or archival considerations.

Departments that hold paper records in semi-current storage should seek guidance from the Archive then destroy the records via the College's confidential waste disposal service. Electronic records should be deleted, ensuring that all versions and copies are destroyed.

Further information:

Departmental Information Asset Registers including retention periods: S:\Records Management\Information Asset Registers

Transfer and Destruction forms: S:\Records Management\Record transfer form.doc; Record destruction form.doc

Managing Electronic Records: S:\Records Management\Essential Electronic Records.docx

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Legislation:

Freedom of Information Act 2000, Chapter 36, London: HMSO
http://www.legislation.gov.uk/ukpga/2000/36/pdfs/ukpga_20000036_en.pdf General Data Protection Regulation (GDPR) (EU) 2016/679
The Privacy and Electronic Communications (EC Directive) Regulations 2003, London: HMSO http://www.legislation.gov.uk/uksi/2003/2426/contents/made

Standards:

ISO 15489-1:2016 Information and documentation -- Records management -- Part 1: Concepts and principles. https://www.iso.org/standard/62542.html

ISO/TR 18128:2014 Information and documentation -- Risk assessment for records processes and systems. https://www.iso.org/standard/61521.html

BS 10008: 2014 Evidential weight and legal admissibility of electronic information.

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