

Worcester College Records Management Policy

Introduction

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

This policy applies to all records and data 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 records.

Compliance with the Data Protection Act 2018 and other relevant legislation is just one part of an effective records management programme, which seeks to manage all records across the organisation throughout their lifecycle, from creation to destruction or transfer.

Aim

The aim of this policy is to consolidate a consistent approach to records management within the College, and establish procedures to help staff manage records appropriately. Good records management 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 (both paper and electronic), 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 Records of Processing Activities (ROPAs) and retention schedules.

This will ensure 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 Data Protection Act 2018, the Freedom of Information Act 2000, and other governing legislation.

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- 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.
- Storage space, both physical and electronic, will be freed up, saving time and space. Duplication will be eradicated, saving resources and contributing to the College's sustainability goals.
- The College will be better prepared for business continuity in the event of change of staff or disaster.
- Records with continuing historical value will be retained and preserved.

Responsibilities and Implementation

The College Archivist is responsible for ensuring that records are kept efficiently in College as a whole. **Heads of Department** are responsible for ensuring efficiency and compliance with legislation and the ROPAs within their department. They will review their ROPAs, records and data with departmental staff annually, in consultation with the Archivist.

The Data Protection Officer has College-wide responsibility for monitoring compliance with the Data Protection Act 2018.

All members of staff are responsible for following this policy, 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. It is their responsibility, as information owners, to ensure that good housekeeping practices are routinely undertaken throughout the life of a record. This includes:

- Appropriate creation of records and the capture of associated metadata.
- Correct filing of records, whether paper or digital, to aid retrieval, particularly making sure electronic records are in the correct College network drive or system so that they are fully supported and regularly backed up.
- Storing all records appropriately and securely, particularly those containing personal data which needs to be managed in line with the Data Protection Act 2018. Further guidance on good information security practices for both electronic and paper records can be found in the College's [Information Security Policy](#). Particular attention should be paid to section 7.7 'Clear Desk/Clear Screen'.

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- Following retention schedules established in consultation with the College Archivist so that obsolete records are disposed of in an appropriate and auditable manner through transfer to the Archives or confidential destruction.

Any personal or residual records or data that are no longer required for College administrative or archival purposes must be removed from the relevant drives and servers on a regular basis, ensuring that all versions and copies are destroyed. Paper records not required for permanent preservation must be disposed of in confidential waste at least annually.

Departments that hold paper records in semi-current storage should seek guidance from the College Archivist.

Contact details

College Archivist: Emma Goodrum
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Data Protection Officer: Mark Bainbridge
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Related policies

Worcester College Information Security Policy
<https://www.worc.ox.ac.uk/about/policies-and-procedures/privacy-gdpr>

Data Protection Policy
<https://www.worc.ox.ac.uk/about/policies-and-procedures/privacy-gdpr>

Change History Record

Version	Date	Author	Rationale
0.1	October 2019	Emma Goodrum	First draft
0.2	October 2019	Emma Goodrum	Final draft
1.0	October 2019	Emma Goodrum	Agreed by Governing Body, 30/10/2019