



1. Policy Aim

- 1.1 Stoke-on-Trent College recognises the importance of a systematic approach to the management of the records which underpin its core business activity and to ensure compliance with current legal and regulatory obligations. The approach taken in this Records Management Policy is in harmony with the College Data Protection Policy (Number 49) and describes the framework through which effective records management is to be achieved and evidenced.
- 1.2 Failure to comply with this policy can expose us to fines and penalties, adverse publicity, difficulties in providing evidence when we need it and in running our business.
- 1.3 This policy does not form part of any employee's contract of employment and we may amend it at any time.

2. Policy Statements

- 2.1 This Policy applies to all records generated, received or maintained by staff in the execution of their duties within Stoke on Trent College, including records arising from any internally or externally funded activity and records arising from contractual or sub-contractual arrangements. This includes physical data such as hard-copy documents, contracts, notebooks, letters and invoices. It also includes electronic data such as emails, electronic documents, audio and video recordings and CCTV recordings. It applies to both personal data and non-personal data. In this policy, we refer to this information and these records collectively as "data".
- 2.2 For the purpose of this Policy, 'records' are deemed to be those digital or paper documents which form an integral part of the operation of the College business processes; which evidence the activity and transactions occurring and which must be retained as part of a business process audit trail. This includes email and other digital and on-line transaction/records.
- 2.3 From a business perspective, the primary records identified have been categorised in the table shown in the Records Management Procedure (ReMP). (Separate associated procedure)
- 2.4 There will be nominated archivists for each business unit within the College
- 2.5 The identification and maintenance of the College table of records is the collective responsibility of the nominated archivists for each Directorate.
- 2.6 College staff have both an individual and collective responsibility to ensure that the records pertaining to their area of responsibility form a current, accurate and complete representation of affairs and that obsolete records are disposed of efficiently, sensitively and in a timely way; in accordance with the College ReMP.

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- 2.7 Archived records must be stored in the archiving boxes provided and be clearly labelled to show originating department, originator, record dates, box contents and content destruction date (in accordance with ReMP). Records must be packed in alphabetical or chronological order whichever is appropriate to the records. Do not over-pack the boxes.
- 2.8 No archive boxes will be added to the College archive unless they conform to the requirements of this procedure in terms of packaging, labelling and contents in all respects.
- 2.9 The College has a legal obligation to maintain a records management system in accordance with the regulatory environment including the provisions of the General Data Protection Regulation, Data Protection Act 2018, Freedom of Information Act 2000, The Limitations Act (1980) Human Rights Act 1998 (Privacy – Article 10) and any other relevant legislation as identified in other College Policies.
- 2.10 Specifically, E-Mail records will be managed and archived through the use of the Cryoserver forensic archiving system. Over time, this will form a complete record of all emails and calendar records which have been received by the College and sent by staff and learners, regardless of whether they have been subsequently deleted or amended. E-mail related record retention will initially be set at 3 years.
- 2.11 In terms of the digital archive, historical records will exist in paper form unless already digitised. The storage location will be a managed service and may in future be off-site.
- 2.12 Although the management of future records will be a transitional process, it is planned that future records will ultimately be held digitally within Microsoft Sharepoint unless already stored within the appropriate Management Information System.
- 2.13 In respect of digitised documents, the preferred solution is that online forms (data screens) will be created to capture currently non-digitised data at source. Where this is not feasible it will be achieved by the use of the E-Copy scanning software on the Ricoh MFD satellite copiers and resultant records will be stored in Microsoft Sharepoint.
- 2.14 In limited cases, there may be a requirement for both paper and digital records to be maintained and these too, will be identified in ReMP.
- 2.15 All records authorised for disposal must be destroyed in as secure a manner as is necessary for the level of confidentiality or security they merit. This applies to electronic records as well as physical records.
- 2.16 One archiving record book/database is kept centrally by the Duty Principal but must also be kept in each department to record:
- Box number.
 - Box description

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- Archive date.
- Retention date.
- List of contents

2.17 When the boxes are ready to go to archive, contact the Duty Principal with the number of boxes, content information, box number etc.

2.18 If you require a record to be retrieved from archive, contact the Duty Principal with the following details:

- Name of department.
- Box number.
- Archive date.
- Name/details of record.

3. Responsibility for the Records Management Policy

The data protection Officer DPO is responsible for the development and implementation of this policy.

All College staff are responsible for ensuring that records they create and receive are managed in accordance with this policy and conform to the guidance and procedures described

4. Monitoring

The DPO will monitor all sections of this policy. Regular reports and recommendations on all aspects of the policy will be provided to the Senior Management Team, and Corporation Board as appropriate. This Policy will be reviewed on an annual basis

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Approval

Approved by the College Executive Team

Signed:

(Principal)

Endorsed by the College Corporation

Signed:

(Chair)

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