



# RECORDS MANAGEMENT POLICY

Policy Number	New or Reviewed	Date of next Review	Responsibility
HCP058	June 2019	June 2021	Principal

*Empowering learners to shape their future*

# HORIZONS COLLEGE

## RECORDS MANAGEMENT POLICY

### 1. Introduction

- 1.1 Horizons College recognises that by efficiently managing its records it will be able to comply with its legal and regulatory obligations and to contribute to the effective overall management of the College. Records provide evidence for protecting the legal rights and interests of the College and provides evidence for demonstrating performance and accountability. This document provides the policy framework through which this effective management can be achieved and audited.

### 2. Scope

- 2.1 This policy applies to all records created, received or maintained by staff of the College in the course of carrying out its functions.
- 2.2 Records are defined as all those documents which facilitate the business carried out by the College and which are retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically.
- 2.3 A small percentage of the College's records will be selected for permanent preservation as part of the College's archives and for historical research.

### 3. Responsibilities

- 3.1 The College has a corporate responsibility to maintain its records and record keeping systems in accordance with regulations. The person with overall responsibility for this policy is the Principal.
- 3.2 The person responsible for records management in the College will give guidance for good record management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy.
- 3.3 Individual staff must ensure that records for which they are responsible are accurate and are maintained and disposed of in accordance with the College's records management guidelines.

### 4. Relationship with existing policies

- 4.1 This policy has been drawn up within the context of:
  - a. General Data Protection Regulation (GDPR).
  - b. Other legislation or regulations (including audit and equal opportunities) affecting the College.

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## 5. Managing Learner Records

- 5.1 The learner record should be seen as the core record charting an individual's progress throughout College. The record should accompany the learner to every education provision they attend and should contain information that is accurate, objective and easy to access.

## 6. Recording Information

- 6.1 Learners, parents or nominated representative have right of access to the educational record. The right exists until the record is destroyed. Therefore, it is important that all information should be accurately recorded, objective in nature and expressed in a professional manner.

## 7. Responsibility for the Learner Record once the Learner leaves the College

- 7.1 The College is responsible for retaining the learner record until the learner reaches 25 years.

## 8. Safe Destruction of Learner Records

- 8.1 The learner record should be disposed of following the Safe Disposal of Records Guidelines.
- 8.2 All records containing personal information or sensitive policy information should be made either unreadable or unreconstructable.
- 8.3 Paper records should be shredded using a cross-cutting shredder.
- 8.4 CDs / DVDs / Floppy discs should be cut into pieces.
- 8.5 Audio / video tapes and fax rolls should be dismantled and shredded.
- 8.6 Hard discs should be dismantled and sanded.

## 9. Storage of Learner Records

- 9.1 All learner records should be stored securely at all times. Paper records should be kept in lockable storage areas with restricted access. Electronic records should have appropriate security. Access arrangements for learner records should ensure that confidentiality is maintained whilst equally enabling information to be shared lawfully and appropriately and to be accessible for those authorised to see it.

## 10. Definitions

- 10.1 **Records** are defined in the Lord Chancellor's Code of Practice as:
  - a. 'Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business. This is any information, regardless of format or medium, captured in a

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reproducible format.

10.2 A **document** is any piece of written information in any form, produced or received by an organisation or person.

***Note** all records start off as documents, but not all documents will ultimately become records.*

10.3 **Records Management** is the creation, maintenance, control, storage and disposal of records in a way which facilitates their most appropriate, efficient and effective use.

10.4 A **Disposal Schedule** is a list of records and the appropriate time limits that they must be kept for before they can be confidentially destroyed or transferred to archives for permanent storage. This document also defines which area of the College is responsible for the storage and disposal of records.

Signed ..... Principal

Signed ..... Chair of Governors

Date .....