Data Management Policy

Sept 2021

Version 2

1. Scope

All employees of Expanse Learning

This policy applies to all
- o   records created, received or maintained by staff in the course of carrying out their functions.
- o   Records and documentation created in the course of research, whether internally or externally funded, are also subject to contractual and academic record-keeping requirements.

Records are defined as all those documents, regardless of format, which facilitate Expanse Learning activities (e.g. teaching, learning and research) and the business carried out by the Expanse Learning and which are thereafter 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, and include email.

Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records.

2. Introduction

Expanse Learning recognises that the efficient management of its records is necessary in order to support its core functions, to comply with its legal and regulatory obligations and to enable the effective management of the institution.

The policy forms part of Expanse Learnings Records Management Strategy (Annex A). Its purpose is to ensure the creation and maintenance of authentic, reliable and useable records, with appropriate evidential characteristics, within the Expanse Learning by establishing a framework and accountabilities for records management, through which best practice can be implemented and audited.

3. Objectives of a records management system

Records contain information that is a unique and invaluable resource and important operational asset. A systematic approach to the management of the Expanse Learning records is essential to protect and preserve records as evidence of our actions.

Records management is necessary to:
- o   Ensure that the Expanse Learning conducts itself in an orderly, efficient and accountable manner
- o   Realise best value through improvements in the quality and flow of information and greater coordination of records and storage systems
- o   Support core functions, teaching and research, providing evidence of conduct and the appropriate maintenance of associated tools, resources and outputs
- o   Meet legislative and regulatory requirements
- o   Deliver services to staff and stakeholders in a consistent and equitable manner
- o   Assist and document policy formation and managerial decision-making
- o   Provide continuity in the event of a disaster
- o   Protect the interests of the organisation and the rights of employees, clients and present and future stakeholders
- o   Establish an institutional and cultural identity and maintain a corporate memory.

4. Responsibilities

Expanse Learning has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The members of the Senior Leadership Team have overall responsibility. Since records management is a business and accountability issue, the senior management of the Expanse Learning have a major stake in the implementation of best practice.

The Data and Compliance Manager is responsible for drawing up guidance for good records management practice and promoting compliance with this policy in such a way as to ensure the easy, appropriate and timely retrieval of information.

Members of staff with designated responsibilities for computing and systems' administration are accountable to their line manager for ensuring that electronic systems and the functions/transactions performed by their programs complies with this policy and related requirements.

Individual employees must ensure that the records for which they are responsible are complete and accurate records of

their activities, and that they are maintained and disposed of in accordance with the Expanse Learning records management guidelines.

5.   Relationship with existing policies and legislation

This policy has been formulated within the context of Expanse Learning policies and guidelines and is intended to act as a framework to support standards and promote compliance with legislative and regulatory environments.

6.   Monitoring and Review

The effectiveness of this policy will be reviewed annually.

Impact of non-compliance

Staff:	Disciplinary action, Support, Action Plan
Student:	Not applicable
Legislation/organisational:	statutory and non-regulated compliance. Prosecution, Staff Retention, Poor employee performance etc
Compliance lead:	Corporate Services
Policy Reference:	ELGR-POL-DPM-005
Version:	2
Agreed policy location:	DatabridgeMIS
Does the policy require Governor approval?	No

Approval

Prepared by	*Approved by*	*Counter Signatory*
Scott Roberts	Tony Brown	Karl Wane
01/09/2021	01/09/2021	01/09/2021
Head of Corporate Services	CEO	Director of College

Version Control

Version	Date	Revision	Review Date
1	01/09/2020	Policy Review and Transfer to 20/21 Template	31/08/2021
2	01/09/2021	Policy reviewed	31/08/2022
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Annex A - A STRATEGY FOR RECORDS MANAGEMENT

Contents

1. Introduction

This document sets out the aims of the Expanse Learning in relation to records management and outlines the strategy for achieving those aims.

2. Context

The need for records management should be seen against a background of good management practice, legislative requirements, organisational needs within the Expanse Learning itself, and practical problems, such as space requirements.

Records management has close links with information management, risk management, security, and data quality and validation, and the strategies and policies related to all these activities should be congruent.

Good management practice

Records management facilitates the efficient running of an organisation. It provides support for, and evidence of, policy- and decision-making and the operation of the organisation, through the proper control of the content, storage and volume of records. It reduces vulnerability to legal challenge or financial loss and promotes best value in terms of human and space resources through greater coordination of information and storage systems.

Various studies have stressed the need to address problems arising from the low priority given to records management, a lack of awareness of the importance of good record-keeping, lack of information sharing, lack of coordination between paper and electronic records, the tendency of staff to treat records as personal rather than corporate assets, and a need to balance confidentiality with freedom of information.

Legislative requirements

The DPA applies to personal data held in both electronic and paper form and is designed to strengthen the right to privacy of the individual by ensuring that the processing of personal data is done in accordance with the principles of the DPA.

The principles relate to the fair processing of personal data (processing includes creation, using, storing, handling and disposal or retention), and cover the information collected, the uses to which it is put, the accuracy of data, its timely disposal when no longer required, its security, controls on sharing of information, and processing in accordance with the rights of data subjects.

The Expanse Learning has issued a Data Protection policy that recognises the importance of the proper management of, and access to, records for the implementation of the Expanse Learning statutory obligations under the DPA.

Other legislation also impinges on records management (for example human rights legislation, and specific statutory requirements affecting either particular types of records or particular areas of working, such as health and safety and audit); it is therefore imperative that the Expanse Learning has a records management strategy and policies.

Records Management and Electronic Record-keeping

Electronic records are subject to the same principles for records management as paper records. They have special needs relating to the technical and procedural requirements to secure their integrity and long-term preservation.

In addition, it is important to provide appropriate cross-references between electronic and paper records.

3. Aims

The aims of the Expanse Learning records management strategy are to ensure:
   o   A systematic and planned approach to records management covering records from creation to disposal

- o Efficiency and best value through improvements in the quality and flow of information and greater coordination of records and storage systems
- o Compliance with statutory requirements
- o Awareness of the importance of records management and the need for responsibility and accountability at all levels

4. Scope

The records management strategy applies to all types and formats of the Expanse Learning records. Examples include:

Types of records
- o Administrative records, for example minutes and papers, records of staff and students, facilities and estates, financial and accounting records, records relating to complaints and litigation
- o Records relating to teaching, including course materials
- o Prospectuses, annual reports
- o Ephemeral material, for example notes and duplicates of records

Formats of records
- o Paper and parchment records
- o Photographs, slides and other images
- o Microform, including microfiche and microfilm
- o Audio and video tapes and cassettes
- o Electronic records of all types

5. Key Elements

The records management strategy comprises the following key elements.

Responsibilities and Accountability
To provide a clear system of accountability and responsibility for record keeping and use.

It is important that all individuals in the Expanse Learning appreciate the need for responsibility in the creation, amendment, management, storage of and access to all records. A major target is therefore to have a clear chain of managerial responsibility for all records created by the Expanse Learning. This is the prerequisite for an effectively coordinated records management strategy.

Record Quality
To create and keep records which are adequate, consistent, and necessary for statutory, legal and business requirements.

Records should be accurate and complete, in order to facilitate audit, fulfil the Expanse Learning responsibilities, and protect its legal and other rights. Records should show evidence of their validity so that any evidence derived from them is clearly credible and authoritative.

Management
To achieve systematic, orderly and consistent appraisal, retention and disposal procedures for records during their life cycle.

Record-keeping systems should be easy to understand, clear, and efficient in terms of minimising staff time and space for storage.

Security
To provide systems which maintain appropriate confidentiality, security and integrity for records in their storage and use.

Records must be kept securely to protect the confidentiality of their contents, and to provide further evidence of their validity in the event of a legal challenge.

Access
To provide clear and efficient access for employees and others who have a legitimate right of access to records, and ensure compliance with the DPA.

Access is a key part of any records management strategy. Fast, efficient access to records unlocks the information and knowledge they contain.

Training
To provide training and guidance on responsibilities and good practice for all staff involved with records.

Effective records management involves staff at all levels. Training and guidance enable staff to understand and implement policies and facilitates the efficient implementation of the strategy.

Audit
To audit and measure the implementation of the records management strategy against agreed standards.

As with any other activity, auditing the performance of the records management programme is important in the maintenance of standards.