



DOWNING COLLEGE CAMBRIDGE

Records Management Policy

Downing College recognises that the efficient management of its records is necessary to support its core functions, to comply with its legal and regulatory obligations and to contribute to the effective overall management of the institution.

This document provides the policy framework through which this effective management can be achieved and audited. It covers:

1. Definitions
2. Scope of the policy
3. Responsibilities
4. Relationship with existing policies
5. Available guidance for implementation of the policy
6. Contacts
7. Review & approval
8. Version control

1. Definitions

1.1 Records are defined as all those documents which facilitate the business carried out by the College 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 (including handwritten or printed documents) or electronically (including computer files, emails, videos, websites or other digital resources).

1.2 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of, and information about, business activities and transactions in the form of records.

2. Scope of the policy

2.1 This Policy applies to all records created, received or maintained by staff of the College in the course of carrying out their work. For clarity, the term staff means anyone working in an official College

capacity for the College at any level or grade (whether permanent, fixed term or temporary) and including employees, retired but active members and staff, visiting Fellows, workers, trainees, interns, seconded staff, agency staff, agents, volunteers, and external members of College committees. All such records remain the property of the College.

3. Responsibilities

3.1 The College has a corporate responsibility to maintain its records and recordkeeping systems in accordance with the regulatory environment. All staff and Senior Members of the College should recognise the need to manage records of legal, practical and historical value for the College.

3.2 The officer with overall responsibility for this Policy is the Senior Bursar. This policy is reviewed by IMC and approved by Governing Body. It is reviewed at least once every 3 years.

3.3 The College's Records 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.

3.4 A percentage of the College's records will be selected for permanent preservation as part of the institution's archives, for historical research and as an enduring record of the conduct of business. The Records Manager will work together with the College Archivist to help ensure these records are identified for the archive.

3.5 Individual employees 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. In particular, this will include:

- i. The use of the College Records Retention Schedule which details the recommended retention periods for records created or received by Downing College, in line with business need and legislative, statutory and regulatory requirements;
- ii. Heads of Department ensuring their staff are aware of their record-keeping responsibilities, including the regular review of destruction arrangements to ensure that the correct procedures for the disposal of business information are followed;
- iii. Consultation with the Records Manager as necessary to help ensure College procedures and guidelines are followed.

4. Relationship with existing policies

This Policy has been formulated within the context of the following College documents, published on the College website at <http://www.dow.cam.ac.uk/about/documents-and-policies/downing-college-policies>

- Downing College Information Strategy (*in preparation*)
- Data Protection Policy
- Data Protection Statements
- Freedom of Information Policy
- Archives Access Policy

Compliance with this Policy will in turn facilitate compliance not only with information-related legislation (specifically Freedom of Information Act, the GDPR and the Data Protection Act 2018) but also with any

other legislation or regulations (including audit, equal opportunities and research ethics) affecting the College.

5. Guidance

Guidance on the procedures necessary to comply with this Policy is available from the Records Manager and will cover:

- Records creation
- Business classification (for filing schemes)
- Retention periods for records
- Storage options for records
- Destruction options for records
- Archival records: selection and management (in consultation with the Archivist)
- External codes of practice and relevant legislation.

In addition, members and staff can access the resource page on SharePoint concerning Data Protection at Downing College (password protected).

6. Contacts

Downing College Records Manager and the Senior Bursar:

Paul Boulton Records Manager Downing College Cambridge CB2 1DQ foi@dow.cam.ac.uk	Dr Susan Lintott Senior Bursar Downing College Cambridge CB2 1DQ Senior.bursar@dow.cam.ac.uk
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7. Review and approval

This Policy has been approved by the Information Management Committee of the College and will be subject to a regular review at least once every 3 years.

8. Version control

Date	Version	Reason for change	Author
11/05/2015	0.1	Initial draft	Records Manager
19/08/2015	1.0	Publication	Records Manager
05/11/2018	2.0	Review and update for IMC	Records Manager