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| TYPE: Policy | |
| SUBJECT: Records Management | REFERENCE: LWP17 |
| DATE: 1 st October 2020 | |
| LAST REVIEWED: | |
| APPROVED BY: Board of Directors | |
| Introduction <p>1. All documents created, received or maintained by staff of the institution in the course of carrying out their corporate functions constitute the official records of Learning Works. These records may be created, received or maintained in hard copy or electronically, and in all forms of media. Records and documentation created in the course of research, whether internally or externally-funded, are also subject to contractual record-keeping requirements.</p> <p>2. The persons within Learning Works responsible for the collation, processing, retention and analysis of data collated are the Head of Institution and the Executive Administrator who is also responsible for the day-to-day administrative work related to Learning Works.</p> <p>3. Learning Works 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 management of the institution.</p> <p>4. The records provide evidence of functions executed and activities performed, and comprise a vital source of information as to how and why decisions were taken. Their effective management is therefore necessary to ensure that the records maintained are authentic, reliable and complete and</p> | |

to ensure that they are protected and preserved as evidence to support future actions and to ensure current and future accountability. This document provides the policy framework through which this effective management can be achieved and audited.

5. A small percentage of Learning Works'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.

6. Learning Works strives to retain constant communication with the student. Such communication takes place before, during and after the end of the course. This is why the gathering of the basic reliable information through the application form is important. Before the commencement of every course Learning Works ensures the prospective student is fully aware of what is required from him/her, all the dates of lectures, assignment deadlines and examinations and other important information. During the course the Institution communicates with students to ensure that the student's learning journey is to the student's satisfaction and to address any issue that may crop up. Once the students complete the course of studies the Institution may still retain communication with the student both to inform him/her of new courses and opportunities for further study but also to collate data that may be required by the competent authorities or for the purpose of conducting a tracer study. For this purpose Learning Works retains basic data pertaining to all past students who either successfully completed a course of study or abandoned the course at some point. Learning Works uses this data to analyse whether the student manages to enter the labour market on obtaining the qualification and whether he or she continued to study. This information enables the Learning Works to plan its future courses.

7. The data and information collected, analysed, managed and stored in an electronic Learning Management System maintained by Learning Works includes:

- Staff and tutor personal records
- Student registration details
- Student attendance records
- Student participation in class
- Student retention
- Student success rate
- Results of student assessments and awards
- Student feedback
- Complaints
- Appeals

Definition of Records Management

8. Records management is a field of management responsible for the efficient and systematic application of controls and procedures to the creation, maintenance, use and disposal of records, comprising a series of integrated systems related to the core processes of Learning Works that

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ensure that evidence of, and information about, its business activities and transactions are captured and maintained as viable records. Elements of records management include correspondence and forms management, identification of the staff member responsible for the record, records classification, files management, retention scheduling, disaster planning, vital records protection, inactive records storage and management, archival preservation activities and destruction of records.

Objectives and Responsibilities

9. Good records management is of particular significance in the context of the diversity of Learning Works functions as expressed in its mission statement and policies. Effective records management enables Learning Works to create and maintain records that allow it to:

9.1 conduct business in an orderly, efficient and accountable manner,

9.2 deliver core functions in a consistent and equitable manner,

9.3 support and document policy formulation and managerial decision-making,

9.4 provide consistency, continuity and productivity in management and administration,

9.5 meet legislative and regulatory requirements, including archival, audit, and oversight activities,

9.6 protect the interests of the organisation and the rights of employees, students, clients and present and future stakeholders,

9.7 support and document current and future research and development activities, developments and

achievements, as well as historical research,

9.8 maintain corporate, personal or collective memory.

10. Learning Works will, through its senior management, ensure the creation and management of authentic, reliable, complete and usable records, capable of supporting Learning Works functions and activities for as long as they are required. The objectives of the policy are to:

10.1 support records management within Learning Works.

10.2 support organisational compliance with legislation and Learning Works regulations.

10.3 ensure the preservation of records of permanent value and establish criteria to maintain and assure continued access for Learning Works to appropriate historical records.

11. The Head of Institution and Administrative Offices have overall responsibility for the management of records generated by their Centre/Office activities, by ensuring that the records created, received and controlled within the Centre/Office, and the systems (electronic or otherwise) and procedures they adopt, are managed in a way which meets the aims of Learning Works record management policies.

12. Committee Secretaries are responsible for ensuring that a full record of a committee's business (its minutes, agenda and all supporting papers and reports - regardless of their format/medium of origin) is preserved and that any documents generated or received electronically are printed in hard copy format and form part of the full and official record. Copies of minutes, reports and papers may then be distributed and shared electronically. Such copies will be the personal responsibility of individual committee members.

13. Learning Works Head of Institution is responsible for drawing up guidance for good recordsmanagement practice and promoting compliance with this policy in such a way as to ensure the easy, appropriate and timely retrieval of information.

14. Individual employees must ensure that records for which they are responsible are complete and accurate records of their activities, which are maintained and disposed of in accordance with Learning Works 's records management guidelines.

Learning Works Records

15. The records of Learning Works consist of information, regardless of format, created or received by Learning Works officers and employees in the course of performing official functions on behalf of Learning Works and held as evidence of its organisation, functions, policies, decisions, procedures, operations, and internal or external transactions. Records can be recorded on any physical form or medium, including paper or electronic.

16. All records created or received by Learning Works and its officers and employees in the course of their official duties are the property of the Academy and subject to its overall control and must be created, maintained, used and disposed of in accordance with approved procedures and guidelines.

17. All records created and received by Learning Works or its officers and employees in the course of their official duties must be retained as long as required to meet legal, administrative, financial and operational requirements of Learning Works. Nothing in this policy requires the retention of records longer than is necessary.

18. All records created and received by Learning Works and its officers and employees in the course of their official duties must be disposed of in a manner commensurate with the confidentiality of the information they contain and shall be managed and stored in a suitable format to retain quality, relevance, accessibility, durability and reliability.

19. All records created and received by Learning Works and its officers and employees in the course of their official duties that are permanently preserved must remain subject to the control of those officers and employees.

20. Learning Works acknowledges its responsibility to give adequate support to the records management function through appropriate resourcing, the development and periodic review of a records management implementation plan, records classification scheme, records retention schedule and best practice guidelines.

Relationship with Existing Policies and Legislation

21. This policy has been formulated within the context of Learning Works Mission and Objectives, its policies and guidelines, national legislation and professional standards for records management. It is intended to act as a framework to support standards and promote compliance with legislative and regulatory environments.

Learning Works *Archiving Policy*

1. Introduction

1.1 The Archiving Policy is subsidiary to the Records Management Policy, existing to clarify and ensure the implementation of archival issues encapsulated in the Records Management Policy.

1.2 Learning Works has an obligation, in line with the Records Management Policy, to implement and preserve good archiving procedures and processes.

2. Definition of Archives

2.1 Some common definitions of archives are:

- Records that are preserved permanently because of their enduring value.
- The building, room, or storage area where archival material is kept.
- An organisation responsible for archival material (e.g. the National Archives).

2.2 Learning Works extends this to include records that are preserved semi-permanently, and those records which are stored where it is not feasible to include them in situ in the office environment.

3. Learning Works Archival Records

3.1 Learning Works archival records are those records which are no longer current but which have been chosen to be preserved, for a specified length of time.

3.2 The records that are eligible to become archives may need to be kept permanently because they are evidential, or for some other legal reason. They may be a historical record of the academy. They may have a wider value to the community. Or they may have a business need value.

3.3 The Archives might consist of: Learning Works historical data, correspondence of senior officers, building contract documents and financial records, past student records, research records of former staff and students, photographs and ephemera, records of collaborations with outside bodies. There may be others.

3.4 These records may be original documents, often unique, and they may be irreplaceable. An archival record may be the only copy that exists anywhere.

3.5 Archival records could be in any format or medium. They can exist electronically, although the vast majority may well be in paper.

4. Objectives and Responsibilities

4.1 All records placed in Learning Works on-site physical storage system will have a review date, when they will be referred to the person responsible for their storage.

4.2 The format or medium of archival records will be appropriate to the length of their retention, and to changes to technology, in terms of equipment or obsolescence. Archival documents by their nature will be permanent or semi-permanent, and so the medium chosen to store them should be long-lasting.

Recommendations for the Storage and Exhibition of Archival Documents.

4.3 It is the aim of Learning Works to have a central archive for historical documents with permanent value, but those archives with a local significance will continue to be dispersed around Learning Works.

4.4 Learning Works will adhere to data protection principles as set out in the Data Protection Act when storing and keeping personal data.

4.5 Learning Works will be aware of the obligations placed upon it by the International Community and other related legislation, when storing and keeping its archival records.

4.6 Learning Works will be aware of its obligations to its students and staff, both past and present, when storing and keeping archival records.

4.7 Learning Works will adopt appropriate and adequate security measures for storage of and access to archival records in whatever format, dependant on the record type.

4.8 There will be an adequate and appropriate allocation of resources by Learning Works to maintain its archival records, specifically in terms of staff time, storage space and equipment.

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