RECORDS MANAGEMENT POLICY

DOCUMENT VERSION CONTROL – GOVERNANCE SCHEME

Date	Author	Version	Status	Reason for Change
Dec 2016	SEStran	1.0	Policy created	Implementation
Oct 2017	SEStran	1.1	Adoption of version control	Implementation

Records Management

What is Records Management

Records Management is the corporate and professional function of managing records to meet SEStran's needs, promote efficiency and provide legal and financial accountability.

SEStran's Records Management Policy exists to ensure that:

- SEStran's records are fit for purpose
- the right information is created and kept for as long as it is needed
- information is held in an accessible form and manner.
- information is stored, used and protected in accordance with the many requirements of its creators, users, SEStran, the law and regulatory bodies, and;
- cost effectiveness is maintained (in terms of the time spent looking for information, storage and maintenance).

Records Management Policy

SEStran 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 organisation.

The policy follows from SEStran's Information Security Policy. Its purpose is to ensure the creation and maintenance of authentic, reliable and useable records, with appropriate evidential characteristics, within SEStran by establishing a framework and accountabilities for records management, through which best practice can be implemented and audited.

1. Policy

1.1 SEStran will manage records efficiently and systematically, to support operations and meet legislative, regulatory, funding and ethical requirements.

1.2 Records will be created, maintained and retained in order to provide information about and evidence of SEStran's transactions and activities. Retention schedules will govern the period of time that records will be retained.

1.3 A small percentage of SEStran's records will be selected, in consultation with the National Records of Scotland Team, for permanent preservation. These records will become part of SEStran's Archive and will provide an enduring record of the conduct of SEStran's functions and business.

1.4 Records management training is provided to all staff as part of SEStran's employee induction.

1.5 This document, together with subsidiary policies and implementation documents are available from http://www.sestranlink/ and define the framework within which records are managed across SEStran.

2. Scope

2.1 This policy applies to all records in hard copy and electronic format that are created, received and maintained by SEStran staff in the course of carrying out their functions.

2.2 This policy applies to all records created whether internally or externally-funded, in addition to any contractual record-keeping requirements.

2.3 This policy is binding on all those who create or use SEStran's records such as staff, Board Members, students, contractors, consultants, visitors and guests of SEStran., whether accessing records from the office or remotely.

3. Oversight

3.1 The Partnership Director is responsible for records management within SEStran and has the authority to define and implement SEStran-wide records management policies.

3.2 The Performance & Audit Committee/Partnership Board is responsible for the approval of records management policy..

3.3 The Partnership Director is responsible for regular policy reviews and monitors the effectiveness of the records management policy across SEStran.

3.4 SEStran's Office Manager (Records Manager) is responsible for promoting compliance with this policy and for drawing up guidance about good records management practice.

3.5 SEStran's Records Manager has responsibility for SEStran's Archive.

4. Responsibilities

4.1 All information users are responsible for creating, maintaining and preserving records to which they have access in accordance with this policy.

4.2 The Partnership Director, as data owner, is responsible for ensuring that all records in SEStran are managed in conformance with this policy.

4.3 SEStran Staff, who act in breach of this policy, or who do not act to implement it, may be subject to disciplinary procedures..

5. Policy implementation documents

5.1 This document, together with related records management policies are available at: http://www.**sestran link.**

5.2 Guidance document - **Records Management Guidance** provides context and further information to support implementation of SEStran's Records Management Policy.

Appendix A - Definitions

Records

All those documents, regardless of format, which facilitate SEStran activities and business 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. A record has the following essential qualities:

- *it is present* (the information needed to evidence and reconstruct the relevant activity or transactions is recorded).
- *it can be accessed* (it is possible to discover, locate and access the information, and present it in a way that is true to the original presentation of the information).
- *it can be interpreted* (a context for the information can be established showing how it is related to other information, when, where and who created it, and how it was used).
- *it can be trusted* (the information and its representation is fixed and matches that which was actually created and used, and its integrity, authenticity and provenance can be demonstrated beyond reasonable doubt).
- *it can be maintained* (the record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary and on transfer to other agreed locations, systems and technologies).

Records management

Records management is defined as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records (ISO 15489).

Review

The Partnership Director and Business Manager are responsible for reviewing this policy. This policy is to be reviewed under the following circumstances

- Annually
- In the event of any changes to legislation