



Document Control

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1.0 POLICY STATEMENT:

The information that Sunbeam House Services (SHS) records contain serves as evidence of functions executed and activities performed, and comprises a valuable source of knowledge as to how and why decisions are taken. Given that good quality records are of value to any organisation, their effective management is necessary to ensure that the records maintained are authentic, reliable, and complete and to ensure that they are protected and preserved as evidence to support future actions, and to ensure current and future accountability.

2.0 OFFICIAL RECORDS

All records created and received in the course of its official business constitute the official records of Sunbeam House Services.

3.0 RECORDS MANAGEMENT

Records management is the application of controls to the creation of, access to and retention of documents. It also includes

- maintenance;
- disposal of records;
- correspondence; and
- forms management;
- records classification;
- files management;
- retention scheduling;
- disaster planning;
- vital records protection;
- the administration of inactive records storage;
- the management of record conversion programmes;
- archival preservation activities; and
- destruction of records.

Good records management is of special significance in the context of SHS's functions, where the maintenance of service users records is a core activity.

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4.0 THE RATIONALE FOR RECORD MANAGEMENT

Effective records management allows SHS to create and maintain records that enable it to:

- conduct business in an orderly, efficient and accountable manner;
- deliver services in a consistent and equitable manner;
- support and document policy formulation and managerial decision-making;
- provide consistency, continuity and productivity in management and administration;
- facilitate the management of risks to the safe-keeping of records and provide continuity in the event of disaster;
- meet legislative and regulatory requirements, including audit, oversight and archival activities;
- provide protection and support in litigation, including the management of risks associated with the existence, or lack of evidence of, organisational activity;
- ensure that adequate records are made of all the core activities;
- protect the interests of Sunbeam and the rights of service users, employees, agents and present and future stakeholders;
- support and document current and future research and development activities, developments and achievements;
- maintain corporate and institutional memory

5.0 OBJECTIVES OF RECORD MANAGEMENT

5.1 The purpose of this records management policy is to ensure the creation and management of authentic, reliable, complete and usable records, capable of supporting SHS's functions and activities for as long as they are required.

5.2 The objectives of this policy are to:

5.2.1 Support records management within SHS

5.2.2 Support organisational compliance with legislation and SHS regulations

5.2.3 Ensure the preservation of records of permanent value.

6.0 SCOPE

6.1 The records of SHS consist of recorded information, regardless of format, created or received by officers and employees in the course of performing official

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functions on behalf of SHS and held as evidence of its organisation functions, policies, decisions, procedure, operations and internal or external transactions. Records can be in any physical form or medium, including paper and electronic.

- 6.2** All records created or received by SHS and its officers and employees in the course of their official duties are the property of SHS and subject to its overall control. All records created and received by SHS 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 SHS.
- 6.3** All records created and received by SHS and its officers and employees in the course of their official duties must be disposed of in a manner that safeguards the confidentiality of the information they contain.
- 6.4** All records created and received by SHS and its officers and employees in the course of their official duties that are permanently preserved must remain accessible to authorised officers and employees.
- 6.5** This policy supports the provision of a structure for the ongoing application of records management implementation plan,
- 6.6** The management of documentation across SHS is based on operational zones which have been identified and documented.
- 6.7** The Client Information Database (CID), is used to store key documents related to the service and supports offered to clients.
- 6.8** Where paper documents are maintained as per the Document Zones, these are referenced in the client's CID document section.

7.0 ROLES & RESPONSIBILITIES

7.1 *Users*

Each user of SHS's ICT resources is responsible for:-

- 7.1.1 Complying with the terms of this policy and all other relevant SHS policies, procedures, regulations and applicable legislation.
- 7.1.2 Respecting and protecting the privacy and confidentiality of the information they process at all times.
- 7.1.3 Complying with instructions issued by the ICT Manager on behalf of SHS.
- 7.1.4 Reporting all misuse and breaches of this policy to their Senior Manager.

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7.2 Senior Managers

In addition to each user's responsibilities, Senior Managers are directly responsible for:-

- 7.2.1 The implementation of this policy and all other relevant SHS policies within the business areas for which they are responsible.
- 7.2.2 Ensuring that all SHS employees who report to them are made aware of and are instructed to comply with this policy and all other relevant SHS policies.
- 7.2.3 Consulting with the ICT Manager in relation to the appropriate procedures to follow when a breach of this policy has occurred.

7.3 ICT System Administrators & Developers

Each SHS System Administrator & Developer is responsible for:-

- 7.3.1 Complying with the terms of this policy and all other relevant SHS policies, procedures, regulations and applicable legislation.
- 7.3.2 Ensuring the network administration password is secure.
- 7.3.3 Complying with instructions issued by the ICT Manager on behalf of SHS.

8.0 ENFORCEMENT

- 8.1 SHS reserves the right to take such action as it deems appropriate against users who breach the guidelines of the policy
- 8.2 Breaches of this policy by a third party, may lead to the withdrawal of SHS information technology resources to that third party and/or the cancellation of any contract(s) between SHS and the third party.
- 8.3 SHS will refer any user of its ICT resources for illegal activities to the appropriate law enforcement agencies.

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