

Records Management Policy

SLT/EET:

Governors/Trustees:

Could/does the policy or procedure have a negative impact on one or more of the groups of people covered by the protected characteristics of equality? If so, how can this be changed or modified to minimise or justify the impact? ^{no}

Could/does the policy have the potential to create a positive impact on equality by reducing and removing inequalities and barriers that already exist? If so, how can these be maximised? ^{no}

Introduction

This policy recognises that an effective records management programme is key to facilitating Tees Valley Collaborative Trust's (The Trust) compliance with the legal and regulatory obligations as defined in the Trust's Information Policy. This policy should be read in conjunction with the Trust's Information Governance Policy Framework.

Records management is recognised by the Trust as a core corporate function that supports the effective management of the academies. A records management programme ensures that authoritative evidence of the Trust's work is created, captured, managed and made accessible within the scope of the Trust's Information Governance Policy Framework. This allows for improved accountability, transparency, continuity, decision-making, and better compliance with relevant legislation and regulations, as well as protection of the rights and interests of the Trust's academies. ¹

Scope

A record is defined as 'information created, received and maintained as evidence and as an asset by (academies in the Trust)...in pursuit of legal obligations or in the transaction of business'.²

This policy applies to all records created, received or maintained by staff of the Trust in the course of carrying out its work, whether they are held electronically or in hard-copy. Records are retained as evidence for a set period determined by legal, regulatory and functional requirements.

A small proportion of records will be selected for permanent preservation and transferred to an archives service once they are no longer needed by the school for current business or legal purposes.

Responsibilities

¹ This policy has been formulated with reference to guidance and standards including the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000; the International Standard ISO 15489-1: 2016 for Information and documentation – Records management; The National Archives Implementation Guide 3: Records Management Policy, 2010; The National Archives Model Action Plan for Schools, 2004; and the IRMS Information Management Toolkit for Schools version 5 – 01 February 2016.

² ISO 15489-1:2016

The Trust (and the academies within the Trust) has a corporate responsibility to maintain its records and record keeping systems in accordance with the regulatory environment. The person with overall responsibility for this policy is the Senior Information Risk Owner (SIRO) - Director of Resources

The SIRO will act as the accountable person and a champion for records management. They will oversee records management policy and strategy and ensure that the necessary resources are made available and remedial action is taken when problems arise. They will give guidance for good records management practice and will promote compliance with this policy so that information will be retrieved easily, appropriately and in a timely way. They will also monitor compliance with this policy by surveying at least annually to check if records are stored securely and can be accessed appropriately, and will support appropriate allocation of resources towards the Trust's records management programme, and will promote records management training for all staff.

The person with operational responsibility for the individual academies records management programme are the Asset Owners. They will ensure that the programme is developed, manage its implementation and overall functioning, including the production of procedures and guidance, work with business units to determine vital records and develop and implement disposal policies and schedules, as well as facilitating programme reviews and improvements.

All staff (including temporary staff) must ensure that records for which they are responsible are accurate, and are maintained and disposed of in accordance with the school's records management guidelines.

Relationship with existing policies

This policy has been drawn up within the context of the Trust's Information Governance Policy Framework. In particular it flows from the Trust's Information Policy and helps to facilitate compliance with the requirements of the General Data Protection Regulation, Environmental Information Regulations 2004 (EIR) and Freedom of Information Act 2000 (FOIA), associated guidance and Codes of Practice issued under the legislation.

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