PTS Records Management Policy

Introduction and purpose

1. **Records**

   1.1. Records contain information that is a unique and invaluable resource and an important operational asset. A systematic approach to the management of PTS records is essential to protect and preserve records as evidence of our actions.

   1.2. This policy is intended to provide the broad principles and guidelines to be applied to the management of records in PTS throughout their life cycle. It is not intended to provide any details of underlying records management processes in the various strands of PTS activities, e.g. finance, human resources etc.

   1.3. The efficient management of the PTS records is necessary to support its core function to comply with legal and regulatory obligations and to contribute to the effective management of the organisation.

   1.4. The policy has the following elements:

       1.4.1. Definitions
       1.4.2. Scope
       1.4.3. Key objectives
       1.4.4. Responsibilities for achieving key records management actions
       1.4.5. Relationships with existing policies
       1.4.6. Guidance in support of the policy
       1.4.7. Amendments and review
       1.4.8. Contacts

2. **Definitions**

   2.1. Records are defined as those documents and information, which regardless of format facilitate PTS activities and the business carried out by PTS and which are thereafter retained (for a set period) to provide evidence of its transactions or activities.

   2.2. Records may be created, received or maintained in hard copy or electronically, and include email. Records include those designated for permanent preservation in the PTS Archives.

   2.3. Records management is defined as a field of management responsible for the efficient and organisational control of the creation, maintenance, use, distribution, storage and disposal of records. It constitutes a series of integrated systems related to the core processes of PTS, which ensure that evidence of, and information about, its activities are managed and maintained as viable records.

3. Scope

    3.1. This policy applies to all records created, kept or managed by staff in the course of carrying out their functions, or any third parties conducting business on behalf of PTS.

4. Key objectives

    4.1. Records management is necessary to:

        4.1.1. ensure that PTS conducts itself in an orderly, efficient and accountable manner;

        4.1.2. realise best value through improvement in the quality and flow of information and greater coordination of records and storage;

        4.1.3. support core PTS functions providing evidence of conduct and the appropriate maintenance of associated tools, resources and outputs;

        4.1.4. meet legislative and regulatory requirements;

        4.1.5. deliver services to staff and stakeholders in a consistent and equitable manner;

        4.1.6. assist document policy formation and managerial decision making;

        4.1.7. provide continuity in the event of a disaster;

        4.1.8. protect the interests of the organisation and the rights of employees, clients and present and future stakeholders;

        4.1.9. establish an organisation and cultural identity and maintain a corporate memory;

5. Responsibilities for records management and compliance

    5.1. PTS has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. The Managing Partner has overall responsibility for this policy.

    5.2. Some PTS records will be selected for permanent preservation, as part of the PTS archive and as an enduring record of the conduct of PTS functions and business.

    5.3. PTS Managing Partner is responsible for drawing up guidance for good records management practice and promoting compliance with this policy. Guidance will be published on the PTS website.

    5.4. All employees of PTS have responsibility for the management of records generated by their activities, namely to ensure that the records created, received or processed within their purview, are managed in a way that complies with this Policy. They are assisted in this function by the Managing Partner.

    5.5. The Managing Partner is responsible for disseminating guidance to colleagues and assisting in the implementation of procedures and best practice.

    5.6. The Managing Partner has responsibility for computing and systems administration and to ensure that electronic systems and the functions/transactions performed by their programmes comply with this policy and related requirements.

5.7. Individual employees must ensure that the records for which they are responsible form complete and accurate records of their activities, and that they are maintained and disposed of in accordance with the PTS records management guidelines and information compliance policies.

6. Relationship with existing policies and codes

6.1. This policy has been formulated within the context of the PTS policies and guidelines, national legislation and professional codes of practice, and is intended to act as a framework to support standards and promote compliance with legislative and regulatory environments.

7. Key policies and codes related to this policy are cited below.

7.1. Relevant PTS Policies:

7.1.1. Information Sharing Policy
7.1.2. Data Protection Policy
7.1.3. Confidentiality Policy
7.1.4. Information Security Policy

8. Professional Standards/ Codes of Practice
8.1. British Psychological Society Code of Conduct

9. Guidance and training in support of the policy

9.1. All staff have a personal responsibility to manage records used in the course of carrying out their functions. They should have the required authority, skills and training to manage these records.