



### 5.1.2.2 Records Management Policy

#### Scope

This policy applies to any record format created received or maintained, electronic or hard copy, by SESP staff or anyone performing work on behalf of SESP including contractors and consultants in the course of carrying out an SESP function or activity.

All staff, consultants and contractors performing work on behalf of SESP must comply with the procedures issued in accordance with this policy.

#### Purpose

The purpose of this policy is to ensure that records management and information systems support business operations, cater for future expansion and needs, enable accountability requirements to be met and facilitate access to records based information. The policy will ensure that records are created, protected, stored, circulated and disposed of appropriately.

#### Related Policies

Trainee Information Release  
Privacy  
ICT

#### The Policy

##### Records Management Program

- Responsibility for records management will be assigned to a position;
- Departments are responsible for making arrangements for managing the records relating to their functions;
- Head of Department is accountable for the effective management of the unit's records; and
- Each staff member is accountable to manage records in accordance with authorized protocols.
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##### Creation of Records

- All staff are obliged to create and maintain records which adequately document the activities in which they take part;
- Professional judgement is required to ensure records are created that will maintain critical decisions and corporate knowledge;



- Records must be created which document decisions and commitments including oral decisions, telephone conversations, emails and decisions made at meetings and other events; and
- All records must be contained in an official file.

#### Protection of records

- Staff must not relinquish control over, damage, alter or destroy records of SESP without authorization from the Academic Leader or Managing Director;
- Records must be appropriately maintained, stored and preserved; and
- All records, electronic and hard copy must be accessible and retrievable with appropriate security access.

#### Disposal and destruction of records

- All critical records must be retained;
- Staff may not destroy or dispose of records;
- Staff wishing to initiate the disposal of records are required to contact their line manager;
- Confidentiality of records must be maintained when transporting or destroying material; and
- Records created by SESP staff in the course of their duties may be destroyed by the two following methods:
  - Shredding
  - Chemical destruction.

#### **Definitions**

<b>Word/Term</b>	<b>Definition</b>
HOD	Head of Department
Record	Information created (electronic or hard copy), received and maintained as evidence and information in pursuance of legal obligations or in the transaction of business.
Disposal	The final outcome concerning records that includes either destruction, further retention or transfer to company archives.
Destruction	Refers to both the physical destruction of records on paper or microform and the permanent deletion of data from analogue and digital media.

#### **Accountabilities**

**Implementation:** All staff  
**Compliance:** All managers

#### **Associated Forms and Documents**

- None

#### **Consequences of Non-Compliance**



Non-compliance to this policy could result in SESP being in breach of legislation. Accreditation and registration would be at risk.

### 5.1.2.3 Release of Trainee Information Policy

#### Scope

The scope of the policy includes the gathering and release of trainee information to the trainee, staff and third parties.

#### Purpose

This purpose of this policy is to ensure that the confidentiality of trainee information is maintained and that the release of information or data exchange is carried out in such a way as to be compliant with European guidelines contained in the GDPR.

#### Related Policies

- Code of Conduct and Ethics
- Privacy

#### Policy

- All information relating to trainees in SESP must be stored securely and only accessed by authorized staff
- A trainee should be allowed access to their own personal information in order to update or amend that information. Proof of identity must be obtained before release of the information is given
- Information relating to trainee data may be released to an approved agency
- Trainees/ candidates are made aware in their induction that some approved agencies, in this case SQA, collect personal data on candidates in order to identify and certificate diploma candidates. SQA also stores information on qualifications taken by SESP candidates. This information comprises the candidate's name, program to be certified and the polytechnic's address
- Information relating to trainees must not be released to non-approved third parties without a trainee's written consent. The only exception to this rule is in case of a legal or police matter where the request is put in writing and approved by the Managing Director
- Personal information must only be collected for the purposes of supporting the functionality, goals and objectives of SESP.

#### Definitions

Word/Term	Definition
Trainee Information	Any information whether personal or academic gathered and held by SESP
Personal Information	Name, contact phone numbers, passport number, date of birth, employer information, disabilities
Academic Information	Attendance and assessment grades



Third Party	An individual or organization requesting information other than the trainee
GDPR	General Data Protection Regulation, as applied in European member states [followed by SQA].

### Accountabilities

**Implementation:** Registrar  
**Compliance:** Academic Leader

### Associated Forms and Documents

None at the time of publication

### Consequences of Non-Compliance

Failure to apply this policy may result in the release of personal and academic information without consent. Unauthorised release of trainee information may lead to disciplinary action.

### 5.1.2.4 Completion and Graduate Tracking Policy

#### Scope

The scope of the policy includes completion and placement tracking data collection for all graduated cohorts.

#### Purpose

This policy seeks to ensure the completion rates are able to be produced and documented. The Placement rates will be calculated but not reported, given that all SESP graduates are placed with their company sponsors.

#### Related Policies

- None

#### Policy

SESP as an institution will document completion rates for its programs. Additionally, SESP hereby states that all SESP graduates are placed with their company sponsors.

To complete, trainees must undergo a campus based training (program) before completing On the Job Training requirements with their companies (OJT can vary in length between 3 months and six months). At this point the trainees will graduate and receive their certificate and transcript and will be included in completion data.



With regard to placement, those students who have completed program requirements are still contracted to their company sponsors and bound to continue their training with that company until such a time that they enjoy full rights pertaining to being a company employee. On this premise, SESP will not monitor placed trainees beyond the six months of OJT.

SESP documents the results in order to demonstrate clear and positive outcomes from the training. Completion and placement records will be maintained in an orderly, comprehensive, verifiable and accurate manner for all trainees. The completion and placement data will include sufficient information for regularly calculating the percentage for completion and training-related job placements in a prescribed format and time frame.

While SESP understands that completion rates might be useful to company sponsors and by association, the trainees sourced by these companies, the nature of the trainee and specifically, the condition of already being employed by the sponsor company leads SESP to conclude that the collection of placement data will serve no useful purpose.

**Definitions**

Word/Term	Definition
Completion	The number of participants who successfully complete the program/ course/session for which they enrol and for which a transcript and certificate has been issued.
Completion/ Job Placement Benchmarks	The completion benchmark for graduate cohorts completing a program and moving into employment is 67% and 70% respectively.

**Procedures:**

1. Data for vocational programs will be collected, documented, and analysed by SESP.
2. The graduate tracking employment verification form is the data collection instrument to be used for all vocational programs covered by the policy.
3. Data collection for the documentation of completion data in relation to professional development programs/ certifications data should be appropriate to the length of the program, terms of obligation, and graduation dates.
4. Should benchmark data fall below permitted levels then SESP will participate in the following reporting requirements:
  - A. A report will be written with a detailed analysis and explanation of the reasons for the below-benchmark rates. This report will provide any mitigating circumstances that are pertinent to the program(s) offered which do not meet the benchmarks.
  - B. The report (A) will also include an operational plan for improving these rates within a designated time frame
  - C. The report will be made available to any accreditation body that so requires such reporting.

**Forms:** Graduate Tracking Employment Verification form

**Accountabilities:**

**Implementation:** Registration; Academic Leader