ANGUS COUNCIL

RECORDS MANAGEMENT POLICY

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Amendment Form

Version	Date	Brief Summary of Changes	Author
01.1	21/8/15	Deletion of list of legislation from Appendix 2 – replaced with generic wording	Shona Cameron
01.2	21/9/15	Finalised Version	Shona Cameron
02	21/12/16	Slight changes to wording	Angela Dunlop
02.1	6/11/17	• Remove reference to EDRMS • Remove reference to R&IMWG and replace with reference to new IGWG • Update list of policies and guidelines • Reference to Records & Information Management Co-ordinators and Data Protection & FOI Co-ordinators – change to Information Officers	Anne Garness
02.2	31/12/18	Yearly review	Angela Dunlop
02.2	19/02/2020	Yearly review	Angela Dunlop
02.2	07/12/2021	Yearly review	Angela Dunlop
02.2	12/04/2022	Yearly review	Angela Dunlop
02.2	12/04/2023	Yearly review – will now be biennial	Claire McBean

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Appendices:

Section 1   Introduction

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

1.2   Angus Council recognises that the effective management of its records, regardless of format is essential to support the core functions of the council, to comply with legal, statutory, and regulatory obligations and to demonstrate transparency and accountability to all its stakeholders.

1.3   Records are a vital information asset and a valuable resource for the council's decision-making processes, policy creation and operations and therefore must be managed effectively from the point of creation or receipt, through their lifecycle, to their ultimate destruction or permanent preservation.

1.4   This policy along with associated guidance provides the foundation for good records management across the council and aims to ensure that:

- Records Management is recognised as a corporate function;
- Records created are fit for purpose and support the delivery of efficient services and provide evidence of the activities, business, actions and decisions of the council;
- The council provides continuity in the event of a disaster;
- The council complies with legal requirements;
- The right information is created and kept for as long as it is required;
- Information is stored, used and protected in accordance with the many requirements of its creators, users, the council and statutory and regulatory authorities;
- Information is held in a form and manner that helps people access it easily and efficiently;
- Better information sharing;
- Records are stored and maintained in a cost effective manner;
- Better working environments and the identification of opportunities for office rationalisation and increased agile working.

Section 2   Policy Statement & Commitment

2.1   It is the policy of Angus Council to maintain authentic, reliable, and useable records, which are capable of supporting business functions and activities for as long as they are required. This will be achieved through the establishment of effective records management policies and procedures and by:

- The development of a business classification scheme to reflect the functions, activities and transactions of Angus Council;
- The adoption of the Scottish Council on Archives Records Retention & Disposal Schedules to provide clear guidance regarding the retention and disposal of Angus Council records;
- The review and consolidation of destruction arrangements to detail the correct procedures to follow when disposing of business information;

- The development of archive transfer arrangements to detail the procedures for identifying and transferring relevant records to the Archive, Restenneth Priory, Forfar;
- The development of a mandatory training programme for all staff.

Section 3   Policy

3.1   The council will manage records efficiently and systematically, in a consistent manner to support council operations and to meet legislative, regulatory, funding and ethical requirements.

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

3.3   A small percentage of the council's records will be selected by an appraisal process for permanent preservation. The appraisal process is defined in the council's Records Retention and Disposal Guidance. These records will become part of the council's Archive and provide an enduring record of the conduct of the council's functions and business.

3.4   Records management training will be mandatory for all members of staff.

3.5   This document, together with subsidiary policies and guidance documents available on the intranet define the framework within which records are managed across the council.

Section 4   Scope

4.1   This policy applies to all records (regardless of format or technology used to create and store them) that are created, received and maintained by the council. This includes business systems as well as traditional paper correspondence, files, and email.

4.2   This policy applies to records throughout their lifecycle, from planning and creation through to disposal.

4.3   This policy is binding on all those who create or use council records such as elected members, staff (including those who are agile working), contractor, external body and consultants in the course of carrying out their duties for the council.

Section 5   Responsibilities

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

5.2   The Chief Information Governance Officer is responsible for ensuring that records management practices and procedures are established in line with legal obligations and professional standards, issuing advice and guidance through the Information Governance Steering Group and/or the Information Governance Working Group in

order to meet the aims and objectives outlined in the Information Governance Strategy and associated documents.

5.3   Senior Information Owners are senior officers who have been appointed to represent their directorates on the Information Governance Steering Group. They are responsible for overseeing the implementation of good information practices within their directorates.

5.4   Service Directors as Senior Information Asset Owners for their service area are responsible for ensuring that all records in their area are managed in conformance with this policy.

5.5   Information Officers are members of staff from within each service area who have been designated to the role by their Service Directors and are responsible for disseminating policy and guidance and assisting in local implementation.

5.6   The Archivist, ANGUSalive, has responsibility for the council's archived records.

5.7   Anyone acting in breach of this policy, or who do not act to implement it, may be subject to disciplinary procedures or other appropriate sanctions.

Section 6   Training

6.1   A comprehensive training programme has been developed for staff to highlight and increase awareness of their responsibilities in line with data protection, freedom of information and records management.

6.2   Service Directors are responsible for ensuring that all members of staff are aware of the council's policies and procedures.

6.3   Additional support and guidance will be provided by Information Officers as required.

Section 7   Monitoring of Compliance

7.1   The Chief Information Governance Officer along with the Information Governance Steering Group are responsible for overseeing of records management policies and overseeing policy implementation via the Information Officers.

7.2   The Chief Information Governance Officer along with the Information Governance Steering Group are also responsible for regular policy reviews, monitoring compliance and the effectiveness of the Records Management Policy across the council.

7.3   This policy will be reviewed at least every two years in order to take account of any new or amended legislation, regulations or business practices.

Section 8   Implementation

8.1 This document which forms part of the council's overall framework, together with the following related policies and guidance is available on the intranet.

- Classification Scheme Guidelines
- Archiving and transfer of records agreement
- Best practice guidance for scanned formats
- Data Protection Policy
- Email Management Guidance
- Freedom of Information Guidance
- Information Governance Strategy
- Information Security Policy
- Leavers'/Job Change Checklist
- Naming Conventions
- Open Data Publication Plan
- Physical Files Policy
- Records Management Guidance
- Records Management Plan
- Records Management Policy
- Records Retention and Disposal Guidance
- Scanning records checklist
- Scottish Council on Archives Retention Schedules (SCARRS)

Appendix 1   Definitions

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).

Records Lifecycle   This term describes the life of a record from its creation through the period of active use, then into a period of inactive retention and finally disposal or archival presentation. The following diagram shows the lifecycle of the records we create.

Creation

Distribution and Use

Storage and Maintenance

Retention and Disposition

Archival Preservation
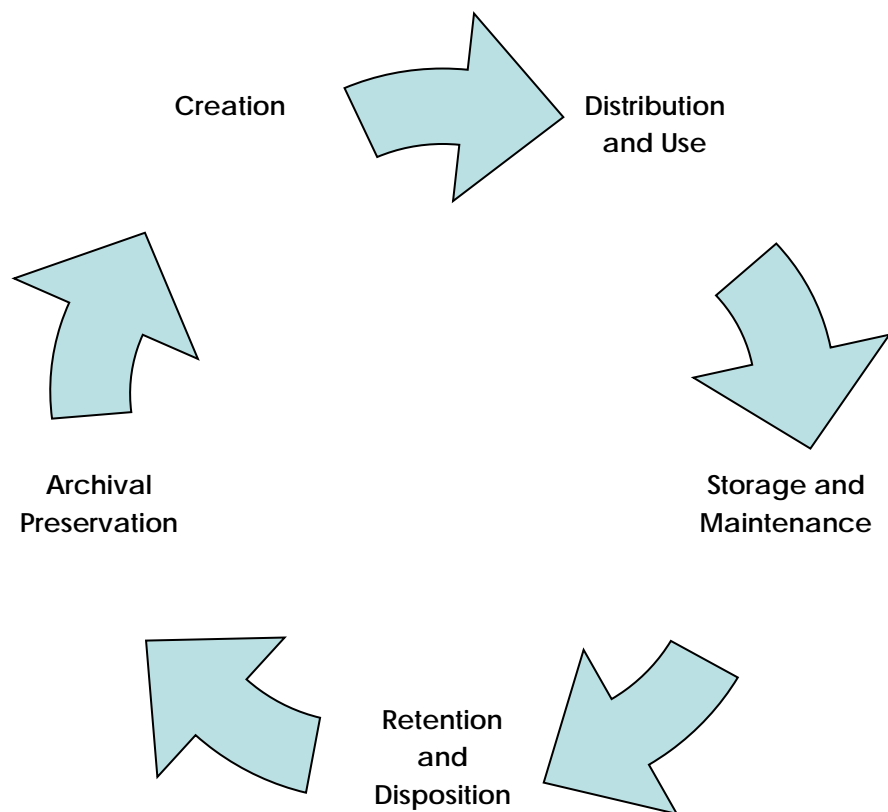
Document: A document is any piece of written information in any form, produced or received by an organisation or person. It can include databases, website, email messages, word and excel files, letters and memos. Some of these documents will be ephemeral or of very short-term value and should not be kept in a records management system.

Record: Documents, regardless of format, which need to be kept as evidence of business transactions, routine activities or as a result of legal obligations and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These should be placed into an official filing system and at this point they become official records. In other words, all records start off as documents but not all documents will ultimately become records.

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).

Appendix 2   Legislative and Standards Framework

The management of the council's records is undertaken in line with the legislative and regulatory framework. Compliance with this Policy will facilitate compliance with all relative acts, regulations and standards.

Standards and Codes of Practice:

Angus Council also aims to operate in accordance with the following best practice standards for record keeping:

- Code of Practice on Records Management issued under Section 61 of the Freedom of Information (Scotland) Act 2002
- BS ISO 15489   Information and Documentation - Records Management
- PD 0010   The principles of good practice for information management
- BIP 0025   Effective Records Management
- BS 10008:2008   Evidential weight and legal admissibility of electronic information