

REPORT TO: CITY GOVERNANCE COMMITTEE - 21 AUGUST 2023
REPORT ON: RECORDS MANAGEMENT POLICY
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 226-2023

1.0 PURPOSE OF REPORT

1.1 The report proposes the adoption of an updated Dundee City Council Records Management Policy.

2.0 RECOMMENDATIONS

2.1 It is recommended that the Committee approve the updated Records Management Policy, as detailed in Appendix A and place the policy on the Council's internet and intranet sites.

3.0 FINANCIAL IMPLICATIONS

3.1 None.

4.0 MAIN TEXT

4.1 The Council's Policy has been updated in line with its 5-year scheduled review. As there have been no significant legislative changes to the Records Management requirements there are no fundamental changes to the policy. However there have been updates relating to the way the council stores digital records in line with the move to Office 365. There are also some changes to the responsibilities of the Records Manager in line with recommendations from the Keeper of the Records of Scotland after the submission of the Council's Records Management Plan.

5.0 POLICY IMPLICATIONS

5.1 This report has been subject to the Pre-IIA Screening Tool and does not make any recommendations for change to strategy, policy, procedures, services or funding and so has not been subject to an Integrated Impact Assessment. An appropriate senior manager has reviewed and agreed with this assessment.

6.0 CONSULTATIONS

6.1 The Council Leadership Team were consulted in the preparation of this report.

7.0 BACKGROUND PAPERS

7.1 None

ROBERT EMMOTT
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

21 AUGUST 2023

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Dundee City Council

Records Management Policy

2022

VERSION CONTROL

Document Title	Information, Records Management and Preservation of Archival Records Policy
Author	Sarah Aitken
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Status	Final

VERSION HISTORY

Version	Date Issued	Document Details/Reasons for Amendment
3.0	12/05/2022	Update/Review of Policy
3.1	18/10/2022	Updates to remove references to CeDRMS and include SharePoint

DISTRIBUTION

Version	Date Distributed	Distributed To
3.0	22/06/2022	Strategic Information Governance Group for Comment
3.1	24/10/2022	Corporate Services Leadership Team for Comment and Approval

APPROVAL HISTORY

Version	Date Approved	Approved By
3.0	5/10/2022	Information Governance Strategy Group
3.1	24/10/2022	Corporate Services Leadership Team

Policy Statement

Dundee City Council creates large amounts of records as part of its day-to-day activities. These records are an essential asset as evidence of actions, decisions and business carried out by the Council.

The Council believes that effective records management will bring substantial benefits to the Authority. This will result in greater business efficiency and considerable improvements in the use of information as well as financial, human and other resources within the organisation.

This policy outlines the Council's commitment to good practice in records management throughout the whole organisation. Under the requirements of the Public Records (Scotland) Act 2011, the Council will maintain a Records Management Plan and relevant policies, procedures and practices across the Council. The Council recognises that, under Sections 53 and 54 of the Local Government (Scotland) Act 1994, and under Section 61(6) of the Freedom of Information (Scotland) Act 2002, it has a statutory obligation to ensure that proper arrangements are made for the preservation and management of all records, in all formats, created by the Council and those records inherited from its predecessor authorities.

The purpose of this document is to set out the Council's policy on records management and the preservation of archival records.

Aims and Objectives

The key aims and objectives of this policy are as follows:

- to ensure a corporate approach to records management
- to develop and encourage a culture which acknowledges the value and benefits of effective records management within the Authority
- to ensure that an effective framework exists to support, implement and monitor the Council's policy on records management within the Council and each of its Services
- to define and maintain the knowledge base that the Council needs to achieve its goals and the ways in which employees need to use information and knowledge
- to ensure that sufficient resources and facilities are available within the Council to support the Council's stated policy relating to effective records management and preservation
- to ensure that information is available to the people who need to use it, in an appropriate format
- to identify and provide appropriate training in relation to records management and preservation
- to ensure that all records of historical, cultural or educational significance are identified and preserved under the management of the City Archivist.

Scope

The policy applies to all staff of:

- Dundee City Council;
- the Dundee Licensing Board;
- any third party performing a function on behalf of Dundee City Council.

This policy applies to all records, regardless of format, that are created, received and managed by any of the above organisations.

Legislation

This policy has been developed to ensure compliance with the following national legislation:

- Public Records (Scotland) Act 2011
- Data Protection Act 2018p&R
- Freedom of Information (Scotland) Act 2002
- Environmental Information (Scotland) Regulations 2004
- The Privacy and Electronic Communications (Amendment) Regulations 2018
- Re-use of Public Sector Information Regulations 2005
- Local Government Scotland Act 1994 (Sections 53 and 54)

Definitions

The following terms are used throughout this policy to describe the types of records that the Council holds:

Current Records	Records used regularly and frequently in the day-to-day work of the Council, and generally will be referred to and used at least once a month.
Semi-Current Records	Records that are no longer used regularly but are still needed for statutory, regulatory or informational purposes.
Non-Current Records	Record no longer required for work of the Council.
Archival Records	Records identified by the City Archivist as having a long-term value. This could be due to their historical, cultural or educational significance.

This applies to all records regardless of their format or location.

Roles and Responsibilities

All Staff and Elected Members

It is the responsibility of all Council staff and Elected Members to manage records and information in line with the Council's policy and procedures. All staff should ensure that they are familiar with and follow any records management procedures in their service.

Senior Management Responsibility

The Chief Executive has senior management responsibility for records management within the Council. The Clerk to Dundee Licensing Board has senior management responsibility for records created by the Board.

Legal Manager

The Legal Manager within the Democratic and Legal Service has operational responsibility for records management within the Council. This includes oversight of the Archives and Records Centre, Freedom of Information and Data Protection provision within the Council.

Records Manager

The Records Manager has day-to-day responsibility for records management within the Council. The Records Manager will:

- act as the Council's main contact with the Keeper of the Records of Scotland
- co-ordinate records management issues for the Authority
- develop policy and procedures that ensure that areas of the Council are able to be compliant with policy and legislation
- develop guidance and give advice to colleagues across the Council on records management issues
- provide advice on adequate storage facilities for current and semi-current records and monitoring such storage areas.
- operate the Council's on-site Record Centre at the City Archives
- deputise for the Legal Manager on Records Management issues where appropriate

City Archivist

The City Archivist is responsible for the management and administration of the City Archives and all matters relating to the archival records of Dundee City Council. The City Archivist's responsibilities with regard to records management include:

- identifying Council records of historical, cultural, or educational significance
- providing advice to Council services on the appraisal, scheduling, and transfer of records to the City Archive
- ensuring the proper storage and preservation of all items in so far as practicable in compliance with the recommendations of The Keeper of the Records of Scotland
- providing advice on retention periods of records
- ensuring that archival records created by the Council and its predecessor bodies are accessible for staff and the public, in accordance with the relevant legislation
- deputising for the Legal Manager on Records Management issues where appropriate

Heads of Service and Managers

Each Head of Service or Manager is responsible for ensuring records created by employees under their management are managed in line with this policy and related procedures and guidance. Managers should also ensure that all members of staff receive appropriate records management training for their role. Managers will appoint a Records Management Group representative for their area.

Information Governance Groups

Strategic Information Governance Group

The Strategic Information Governance Group provides the strategic vision and communication with regards to the Council's requirements in relation to implementing the Policy. The Strategic Information Governance Group is chaired by the Head of Democratic & Legal Services.

Information Governance Compliance Group

The Council's Information Compliance Group assists Services to implement good information management practices, among other functions. The Information Compliance Group is chaired by the Information Governance Manager/Archivist/Records Manager.

Both groups comprise of the Information Governance Manager, the Records Manager, the IT Senior Service Manager, and representatives from each Council Directorate. This helps to ensure a corporate approach to information governance initiatives. Information Governance, for the purposes of these groups includes data protection, freedom of information, records management, and information security. The groups will meet quarterly, however extra meetings can be called if required.

IT Services

The Council's Information Technology Service (IT) is responsible for maintaining the Council's network infrastructure and ensuring the continuity of service and security. IT will also provide specialist and technical advice to all areas of the Council with regard to storing and managing digital records in line with this policy and the Council's Records Management Plan. This will include support for the software used to store and manage digital records within the Council.

Storage of Records

Services should store current and semi-current records in a manner which is appropriate for the information they contain. Personal and sensitive data should be stored in secure areas. Digital records, where possible, should be stored within SharePoint in O365 or another approved document management system.

Each of the Council's services may use the storage and production facilities of the Records Centre, at the discretion of the City Archivist. Semi current records deposited with the City Archivist shall be fully listed by the depositing service with review or destruct dates clearly indicated. Each service may withdraw only its own deposited records. Consultation of deposited records by another service may only be carried out with the prior approval of the depositing service.

Storage is also available at the Council's offsite Non-current Records Store. Records stored at this facility will be managed by each service.

Disposal of Records

Records should only be retained as long as they are needed, in line with the Council's agreed Record Retention and Disposal Schedule. Before destroying any non-current records that are

not covered by the Retention Schedule, colleagues should seek advice from either the City Archivist or Records Manager.

Records due for destruction should be destroyed using the Council's preferred shredding company or using an in-house shredding facility. Services are responsible for ensuring that confidential waste bags due for collection are stored in secure areas. Each service should retain registers of records destroyed and obtain certificates of destruction if using the Council's preferred shredding company. Digital storage media should be destroyed in line with the Council's IT Equipment Disposal Policy. Services should ensure that records stored digitally are destroyed in line with Retention Schedules.

The Council is required to permanently retain some records that are of archival value. When these records revert to being non-current, they should be transferred to the Archives for appropriate storage. Such records will be highlighted in the Council's agreed Record Retention and Disposal Schedule.

"From time to time we are sometimes required to retain information beyond our usual retention periods. Two examples are children's records following an instruction by the Child Abuse Inquiry or records of activity during the covid period which are required to be retained by virtue of the Covid Inquiry."

Related Policies

This policy sits within the wider Information Governance policy framework of the City Council. Related Policies include:

- [Data Protection Policy](#)
- [Freedom of Information Corporate Policy](#)
- IT Equipment Disposal Policy

Review

This policy will be reviewed every five years or during a full review of the Council's Records Management Plan, whichever should come sooner. Earlier reviews may also take place should there be any major legislative or business change. The Council's Information Governance Groups will monitor compliance with the policy and suggest any amendments. The policy will be approved by the Strategic Information Governance Group, the Council's Corporate Services Leadership Team and the City Governance Committee of the Council. The policy will also be approved by the Dundee Licensing Board.