

REPORT TO: LICENSING BOARD – 29 JUNE 2017
REPORT ON: RECORDS MANAGEMENT POLICY
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 237-2017

1.0 PURPOSE OF REPORT

1.1 The report is to inform the board of the updated Dundee City Council Records Management Policy.

2.0 RECOMMENDATIONS

2.1 It is recommended that the Board approve the updated Dundee City Council Records Management Policy, as detailed in Appendix A.

3.0 FINANCIAL IMPLICATIONS

3.1 There are no direct financial implications from this report.

4.0 MAIN TEXT

4.1 The Council's policy has been updated as a result of the Public Records (Scotland) Act 2011 and is attached for approval. The policy applies to the records of the Dundee City Licensing Board.

4.2 This includes sections detailing responsibilities for Records Management within the Council which will feature in the combined Council and Licensing Board Records Management Plan, due to be submitted at the end of June 2017.

5.0 POLICY IMPLICATIONS

5.1 This report has been screened for any policy implications in respect of Sustainable Development, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues

6.0 CONSULTATIONS

6.1 The Council Management Team were consulted in the preparation of this report. The policy has been approved by the Council's Policy and Resources Committee.

7.0 BACKGROUND PAPERS

7.1 None

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EXECUTIVE DIRECTOR OF CORPORATE SERVICES

DATE: 15 JUNE 2017



Records Management Policy

2017

VERSION CONTROL

Document Title	Information, Records Management and Preservation of Archival Records Policy
Author	Sarah Aitken
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VERSION HISTORY

Version	Date Issued	Document Details/Reasons for Amendment
2.0	20/01/2017	Policy review under Public Records (Scotland) Act 2011
2.1	21/03/2017	Changes made to section 6(c)

DISTRIBUTION

Version	Date Distributed	Distributed To
2.0	16/02/2017	Records Management Group for discussion
2.0	10/03/2017	Kenny McKaig for approval
2.1	21/03/2017	Roger Mennie for approval
2.1	28/03/2017	Policy and Resources Committee for approval
2.1	15/06/2017	Licensing Board for approval

APPROVAL HISTORY

Version	Date Approved	Approved By
2.0	21/03/2017	Kenny McKaig, Legal Manager
2.1	21/03/2017	Roger Mennie, Head of Democratic and Legal Services
2.1	24/04/2017	Policy and Resources Committee

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1. 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.

2. 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 Departments
- 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 a n 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.

3. 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.

4. Legislation

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

- Public Records (Scotland) Act 2011
- Data Protection Act 1998
- Freedom of Information (Scotland) Act 2002
- Environmental Information (Scotland) Regulations 2004
- Privacy and Electronic Communications Regulations
- Re-use of Public Sector Information Regulations 2005
- Local Government Scotland Act 1994 (Sections 53 and 54)

5. 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. This could be for statutory, regulatory or informational purposes.
Non Current Records	Records no longer required for the 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.

6. Roles and Responsibilities

a. 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 department.

b. 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.

c. Records Management Responsibility

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. The Legal Manager will:

- chair the Corporate Records Management Group
- act as the Council's main contact with the Keeper of the Records of Scotland

- co-ordinate records management issues for the Authority

d. Records Manager

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

- 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
- to deputise for the Legal Manager on Records Management issues where appropriate

e. 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 departments 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
- provide advice on retention periods of records
- ensure that archival records created by the Council and its predecessor bodies are accessible for staff and the public, in accordance with the relevant legislation
- to deputise for the Legal Manager on Records Management issues where appropriate

f. 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.

g. Records Management Group

The Records Management Group, comprising the City Archivist, Records Manager and representatives from each Council Department, will ensure a corporate approach to records management initiatives. The group will meet quarterly, however extra meetings can be called if required. The group will:

- promote and encourage good records management practice throughout the Council;
- review and approve corporate records management policies and procedures, including the Council's Records Management Plan;
- identify records management issues throughout the Council or in Service areas, and suggest solutions;

- monitor initiatives to support the Council's Records Management Plan;
- arrange and evaluate appropriate records management training;
- discuss and provide advice on records management related issues, projects and decisions

Records Management Group Representatives will:

- provide the group with updates about records management practices and procedures in their area;
- pass back information provided at meetings to colleagues in their department including managers;
- ensure that there is an effective filing system and storage for all departmental records, both physical and digital;
- implement initiatives of the Records Management Group to support the Council's Records Management Plan;
- co-ordinate and update surveys of records and information audits held by the Department;
- suggest local procedures and practices to ensure compliance with the Records Management Plan and this policy;
- provide local advice on records management issues to colleagues within their service area (complex issues can be referred up to the Records Manager or City Archivist);
- obtain the consent of the City Archivist before the destruction of non-current records not listed on the Council's agreed retention schedule;
- liaise with the City Archivist on the identification and transfer of records with long-term historical, cultural or educational significance.

Records Management Group Representatives can seek advice on any of these matters from the Records Manager or the City Archivist. Alternatively issues can be raised at meetings of the group for discussion.

In some larger departments it is acknowledged that records management activities may be carried out by more than one person. In these cases it is suggested that the records management group representative arranges a local sub group to inform colleagues and discuss issues.

h. ICT

The Council's Information Technology Department (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 electronic records in line with this policy and the Council's Records Management Plan. This will include support for the Council's electronic Record and Document Management System.

7. Storage of Records

Departments 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. Electronic records, where possible, should be stored within the Council's Corporate electronic Records and Document Management System (CeDRMS) or another approved document management software.

Each of the Council's departments 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 department with review or destruct dates clearly indicated. Each department may withdraw only its own deposited records.

Consultation of deposited records by another department may only be carried out with the prior approval of the depositing department.

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

8. 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. Departments are responsible for ensuring that confidential waste bags due for collection should be stored in secure areas. Each department should retain registers of records destroyed and obtain certificates of destruction if using the Council's preferred shredding company. Electronic storage media should be destroyed in line with the Council's IT Equipment Disposal Policy. Departments should ensure that records stored electronically are destroyed in line with Retention Schedules.

The Council is required to permanently retain some records that are of archival value. When these records are of no further current business use 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.

9. 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

10. 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 Records Management Group will monitor compliance with the policy and suggest any amendments. The policy will be approved by the Records Management Group, the Council's Senior Management Team and the Policy and Resources Committee of the Council. The policy will also be approved by the Dundee Licensing Board.