

## **GLASGOW CITY COUNCIL**

### **RECORDS MANAGEMENT POLICY**

#### **1. Introduction**

##### **1.1 Purpose**

The purpose of this Records Management Policy is to provide a framework for the creation, maintenance, storage and disposal of public records within Glasgow City Council, and its related organisations.

The Council is committed to establishing and maintaining record-keeping practices that meet its business needs, accountability requirements and stakeholder expectations.

##### **1.2 Policy Statement**

Glasgow City Council's records are a major component of its corporate memory and as such are a vital asset that support on-going operations and provide valuable evidence of business activities over time. The Council is committed to implementing best practice record-keeping systems to ensure that records are created, maintained, and disposed of in a managed framework, regardless of their format, and with appropriate evidential characteristics.

The Council recognises its legal requirements under the Local Government etc. (Scotland) Act 1994, current data protection legislation, the Freedom of Information (Scotland) Act 2002, and the Public Records (Scotland) Act 2011. It is committed to implementing best record-keeping practice in accordance with the principles set out in: the International Standard BS ISO 15489–2002, Information and Documentation - Records Management; the Freedom of Information (Scotland) Act 2002 Section 61 Code of Practice on Records Management; and the Model Plan and Supporting Guidance drawn up by the Keeper of Records of Scotland in respect of the Public Records (Scotland) Act 2011.

##### **1.3 Authority**

This policy has been discussed with the Extended Council Management Team (ECMT) and the Executive Member for Governance and has been issued as a binding Procedural Rule by the Director of Governance & Solicitor to the Council in terms of the Council's scheme of delegated functions.

##### **1.4 Review Date**

There will be an annual assessment of the Records Management Policy. Major reviews will be conducted every 3 years, or as required by: e.g.

- operational impact of introduction of the Electronic Document and Records Management System (EDRMS) and associated procedures
- new legislative or regulatory requirements, new organisations (ALEOs), related organisations, and contractors carrying out the Council's functions.

### **1.5 Scope of the Policy**

This policy applies to *all* records created by:

- Glasgow City Council and its predecessor authorities
- Assessor and Electoral Registration Officer for the City of Glasgow
- City of Glasgow Licensing Board
- Glasgow Life, City Property (Glasgow) and City Property (Investments). It is expected that all other ALEOS will adopt the policy or create a policy of their own taking this policy as a minimum standard to be achieved.

Contractors carrying out functions on behalf of the Council which involve the creation of public records will have obligations imposed on them in their contracts with the Council.

This policy applies to records throughout their life, from planning and creation to disposal.

The policy will be supported by the following documentation and functions:

- Records Management guidelines and procedures
- Archives Policy: Appraisal - Preserving the Archival and Historic Memory of Glasgow
- Audit trails
- Business Classification Scheme
- Vital Records Policy
- Disposal Policy
- Electronic Document and Records Management (EDRMS) Operating Model
- Information Management policies, including: Data Protection, Information Security and information sharing protocols and procedures
- Retention and Disposal Schedules
- Review and Assessment findings

**1.6** The policy applies to all staff employed by the Council, Glasgow Life, City Property (Glasgow) and City Property (Investments). It also applies to contractors and consultants having direct access to Council records (electronic or paper).

All practices concerning record-keeping within the Council organisation are to be in accordance with this policy and its supporting policies, guidelines and procedures.

- 1.7 The policy and its supporting processes and guidelines will be disseminated throughout the Council.

## 2. Definitions

As used in this policy

Records management - defined in BS ISO 15489 as 'the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records'.

Records - information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. Records must be authentic, reliable and useable, and capable of supporting business functions and activities for as long as they are required.

Appraisal - the process of determining the value and thus the final disposition of records, making them either temporary or permanent.

Archives - records identified as having long term historical significance and evidential value to be retained permanently as part of Glasgow City Archives

Council – Glasgow City Council, partner and related organisations, and predecessor authorities, e.g. Glasgow Corporation, Strathclyde Regional Council.

Disposal - retention and transfer to the City Archives, or transfer to a successor authority or organisation, or authorised destruction or deletion of records.

Non-current records – records required for the work of the Council but referred to on an infrequent basis.

3. The key objectives of the Records Management Policy are to:
- develop and encourage a culture which acknowledges the benefits and value of effective records management throughout the Council
  - ensure that an effective framework exists within the Council and each of its Services to support, implement and monitor the Council's Policy relating to records management
  - ensure that sufficient resources are available within the Council to support the policy

- implement good record keeping practice in accordance with the principles in BS 15489:2001 Information and Documentation - Records Management; Section 61 Records Management Code of Practice for the Freedom of Information (Scotland) Act 2002; and the Model Plan and Supporting Guidance drawn up by the Keeper of Records of Scotland in respect of the Public Records (Scotland) Act 2011
- identify and arrange appropriate records management training to assist in applying good records management practice
- develop and implement best practice for electronic records creation, management and preservation
- ensure that records vital to the operation of the Council are identified and protected
- ensure that records of historical, cultural, educational and evidential value are identified as early as possible and are permanently preserved in City Archives

#### **4. Managing the Record-Keeping Process**

Public records are the corporate memory of the Council and the cornerstone of Council accountability. A public record provides evidence of the decisions and actions of a public authority while undertaking its business activities. The Council's framework for records management comprises a number of documents which will provide an accurate reflection of the record-keeping programme within the Council. More specifically, documentation regarding the organisation's recordkeeping system/s, disposal arrangements, policies, practices and processes are essential components of this policy.

##### **4.1 Record Qualities**

All records created by Council staff in the course of their duties must be full and accurate to ensure the business of Council is adequately documented and the resulting evidence in the form of public records is effectively managed. The Council's records must:

- be authentic – it is what it purports to be
- be reliable - can be trusted as a full and accurate representation of the activities
- have integrity - complete and unaltered
- be useable - can be located, retrieved, presented and interpreted
- be secure – maintained to prevent unauthorised access, alteration, damage or removal

##### **4.2 Capture and Control of Records**

All records created or received by staff during the course of Council business are to be captured into appropriate recordkeeping systems. All business applications that store records must be designed to ensure that the integrity of the records, the qualities highlighted above and their associated metadata is managed and retained for the retention period of the records.

EDRMS (OpenText Enterprise Content Server) will be the primary record-keeping system for Glasgow City Council. It can manage both physical – providing links to physical records – and electronic records in one system.

Line of business applications will be reviewed for their record-keeping capability.

Hard copy records managed by the Archives and Records Management Service (Glasgow Life) will be captured in the EDRMS.

#### **4.3 Storage and Handling of Records**

Records should be stored on media that ensures Council records are preserved for as long as they are required. Appropriate procedures and processes should be put in place to ensure the physical and intellectual security of Council records.

The Council will develop a Digital Continuity Strategy which will apply to all public records in digital formats, irrespective of whether the record is 'born digital' or is the output of a digitisation process. The Digital Continuity Strategy will address issues relating to application-specific business systems used by services.

Paper files and physical items that require storage must be stored in a location which complies with Council guidelines on document storage covering the security, accessibility and the longevity of records stored there. Unless there is a pressing business reason, records being retained for significant periods, that cannot be digitised, will be stored at off-site storage managed by the Archives and Records Management Service (Glasgow Life). On-site storage must be compliant with the Council's guidelines.

#### **4.4 Access to records**

Access to records is governed by the nature of the content, the statutory and regulatory framework within which the Council operates and the business needs and requirements of the Council. Staff must comply with policies processes and procedures that will protect records from unauthorised access, disclosure, deletion, alteration and destruction.

#### **4.5 Audit trail: Tracking of Records**

Tracking is required to ensure retrieval, prevent the loss of records, monitor use, maintain security and audit transactions. The audit trail is automatic in EDRMS. There are comprehensive procedures for tracking the non-current records managed off-site by the Archives and Records Management Service (Glasgow Life). Services must apply tracking to those on-site physical records which are outwith their office area.

#### 4.6 Disposal, Deletion or Destruction of Records

The lawful disposal of records is an essential and critical component of the Council's Records Management Plan, supporting the efficient and accountable management of public records.

Records may be disposed in two ways, namely:

- in the majority of cases, through the authorised destruction or deletion of records
- retention and transfer to the City Archives, or to successor authority,

The disposal of public records must be in accordance with the following principles of disposal

- authorised
- appropriate
- secure and confidential
- timely, and
- documented

#### 5. Compliance Monitoring and Self-Assessment Reporting

The Council is *committed* to ensuring a high level of performance of its processes and systems and therefore to incorporating regular reviews and assessments of its Records Management Policy. Ensuring all systems support business needs, and comply with regulatory and accountability requirements will require regular review and assessment of:

- record-keeping systems, procedures and practices; and
- compliance of *all* staff members

The Council will use a process of self-assessment, with action plans and reports back, as the primary tool to monitor and review its record-keeping systems and processes. Where appropriate, self-assessment will be augmented by external validation, internal or external audit.

#### 6. Training and Awareness-Raising

It is vital that all staff understand what is expected from them and that their roles are clearly explained. The Council's strategy for delivering an effective record-keeping environment includes the development and delivery of a comprehensive range of training and targeted awareness-raising activities and opportunities.

## **7. Roles and Responsibilities**

The Director of Governance & Solicitor to the Council has overall executive responsibility for records management policy and standards, and for supporting their application throughout the Council.

The Asset Governance Manager has daily responsibility for all information and records management governance, and must ensure that all of the governance, guidance and processes described in this Policy are properly undertaken by all Council staff.

Directors of Services, CEOs of ALEOs are responsible for the management of this policy through resource allocation, and other management support.

All staff are responsible for creating and keeping accurate and reliable records in compliance with this Policy and its supporting documentation.

## **8. Further Information**

For further information about this Policy please contact Dr Kenneth Meechan, Asset Governance Manager, Glasgow City Council or Dr Irene O'Brien, Senior Archivist, Glasgow Life.