



**POLICY AND RESOURCES SCRUTINY COMMITTEE –  
1ST OCTOBER 2013**

**SUBJECT: INFORMATION GOVERNANCE POLICIES – RECORDS MANAGEMENT  
AND INFORMATION RISK MANAGEMENT**

**REPORT BY: ACTING DIRECTOR OF CORPORATE SERVICES & SECTION 151  
OFFICER**

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**1. PURPOSE OF REPORT**

- 1.1 To seek Member's recommendation to Cabinet of two new policies to improve information governance across the Council – a Records Management Policy and an Information Risk Management Policy.

**2. SUMMARY**

- 2.1 Significant progress is being made on the governance of Council information as a whole. These policies will ensure that all staff are aware of methods by which this key organisational asset - information – should be managed and protected, and implementation of those methods will achieve benefits in service delivery through better access to information.

**3. LINKS TO STRATEGY**

- 3.1 Information governance is connected to the Council's corporate governance and the Annual Governance Statement which is contained in the Statement of Accounts. Effective governance of the Council's information underpins all Council activities, including the Council's Improvement Objectives and Community Strategy.

**4. THE REPORT**

Records Management Policy

- 4.1 The Lord Chancellor's Code of Practice under S.46 of the Freedom of Information Act stipulates that public authorities should have in place a records management policy. The policy in appendix 1 contains all recommended elements of a records management policy, and will have the effect of guiding the Council's staff on how to effectively manage the information that they work with every day, improving efficiency of locating accurate and up-to-date information and thus improving the information that good service delivery depends upon.

Information Risk Management Policy

- 4.2 The Senior Information Risk Owner (SIRO) role is within the Acting Head of Information, Communication, Technology and Customer Services' responsibilities. As part of these duties, the SIRO must assure the organisation that its information is secure and well managed. The Information Risk Management Policy guides all staff in ensuring that their information holdings are safe and secure, and informs the ongoing process of compiling a Corporate Information Risk Register.

- 4.3 A process has been introduced under which all Heads of Service, as Information Asset Owners, report quarterly to the SIRO to provide assurance that their information risks have been identified, assessed and mitigated, and any outstanding issues addressed. These quarterly reports will enable the SIRO to provide assurance to the organisation as part of the Corporate Governance statement issued in March each year that the Council's information is safe, secure and well managed. The template for the Corporate Information Risk Register and quarterly report can be found at appendix 2 with the Information Risk Management Policy.

## **5. EQUALITIES IMPLICATIONS**

- 5.1 There are no specific equalities implications arising as a result of this report.

## **6. FINANCIAL IMPLICATIONS**

- 6.1 There are no specific financial implications arising as a result of this report.

## **7. PERSONNEL IMPLICATIONS**

- 7.1 All staff will need to familiarise themselves with the content of the policies.

## **8. CONSULTATIONS**

- 8.1 Consultations have taken place and are reflected in this report.

## **9. RECOMMENDATIONS**

- 9.1 Members recommend to Cabinet that the contents of the report be noted and the two policies approved.

## **10. REASONS FOR THE RECOMMENDATIONS**

- 10.1 To be advised of new organisational policies relating to the Council's legal duty to maintain records of its activities effectively, and assure the security of its information holdings.

## **11. STATUTORY POWER**

- 11.1 Freedom of Information Act 2000 (s.46)  
11.2 Environmental Information Regulations 2004  
11.3 Data Protection Act 1998  
11.4 The Local Government (Wales) Act 1994 (s.60)

Author: Joanne Jones, Corporate Information Governance Manager  
Consultees: Nicole Scammell, Acting Director of Corporate Services & S151 Officer  
Lynton Jones, Acting Head of Information, Communication, Technology and Customer Services  
Stuart Rosser, Interim Chief Executive  
Cllr Keith Reynolds, Deputy Leader and Cabinet Member for Corporate Services  
Gail Williams, Monitoring Officer/Principal Solicitor  
Corporate Services Senior Management Team  
Information Governance Project Team  
Corporate Information Governance Unit

Appendices:

- Appendix 1 Records Management Policy
- Appendix 2a Information Risk Management Policy
- Appendix 2b Information Risk Register