

# Caerphilly County Borough Council

## Records Management Policy

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<b>Consultee/s:</b>	Information Governance Project Team
<b>Approved by:</b>	Senior Information Risk Owner
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A record is defined as: *'Information created, received and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business'* (BS ISO 15489, 2000).

### **Commitment to records management**

1. Caerphilly County Borough Council recognises that its records are its collective assets.
2. Records comprise the Council's corporate memory of its policies, services and decision-making processes and reflect its business requirements. The Council is dependent on its records to operate efficiently and to account for its actions.
3. The Council is committed to ensuring its records are maintained in accordance with the Lord Chancellor's Code of Practice on the Management of Records under Section 46 of the Freedom of Information Act

### **Objectives**

4. The Council will effectively manage its records from planning and creation through to disposal to fulfil the following objectives:
  - Create and capture accurate, authentic, reliable and useable records to produce evidence and demonstrate accountability
  - Maintain records to meet the authority's business needs for as long as required for operational efficiency
  - Dispose of records that are no longer required in an appropriate manner
  - Protect vital records

- Conform to legal and statutory requirements relating to record-keeping

## **Scope**

5. This policy applies to all records created, received or maintained by Council staff or those acting as its agents in the course of carrying out their Council business.
6. All types of records are covered, regardless of whether they are held electronically (including emails), on paper or audio-visual media, whether in English, Welsh or other formats or languages, and regardless of their age.
7. The policy covers records stored in any location, whether in office accommodation, corporate record centres, network drives, portable media (e.g. laptops and memory sticks) or held by other organisations on behalf of the Council, for example contractors.
8. The organisation's Record Retention and Disposal Policy should be consulted for detailed information on retention of records.

## **Responsibilities**

### All staff

9. All staff (permanent and temporary) are responsible for creating, managing, and timely disposal of accurate records to evidence the Council's activities.

### Members

10. Members create, use and manage Council information day-to-day, including outside the Council offices within their home or constituency office environment. Therefore it is crucial that Members understand their responsibilities to create and maintain this information appropriately.

### Directors

11. Directors as members of the Corporate Management Team (CMT) must ensure records management is given recognition and profile within the Council equal to management of other corporate assets such as staff and finance.
12. Directors are responsible for ensuring their directorates manage records effectively to provide evidence of the Council's activities, and that staff are supported accordingly. Individual Directorates must only develop records management policy and procedures in line with this corporate Records Management Policy.

### Senior Information Risk Owner (SIRO)

13. The Council's SIRO is the Council's Information Governance Champion, and takes a leading role in ensuring CMT are briefed in order to make decisions on key records management issues that arise. The SIRO is the Head of ICT Services and the Council's Data Protection Officer. The SIRO chairs the Information Governance Project Team and takes the lead on developing information governance policy and best practice, and cascading this information across the organisation.

### Heads of Service

14. Heads of Service have a crucial role in translating the Council's records management aspirations into reality by maintaining an awareness of how records are managed within their Service Area, being proactive in identifying potential improvements, and cascading corporate initiatives to their staff. Heads of Service are also responsible for monitoring records management practice within their Service Area to ensure best practice is adhered to, and providing reports as required.
15. Heads of Service must also ensure staff are fully supported in managing records effectively, and must ensure appropriate arrangements are in place for contractors and other partner organisations to adhere to the Council's high records management standards.

### Directorate Information Governance Stewards

16. Information Governance Stewards sit on the Information Governance Project Team and have a key role in developing information governance best practice that fits the work of each directorate. Stewards also communicate and monitor compliance with records management best practice throughout their directorates.

### Corporate Information Governance Unit

17. The Corporate Information Governance Unit supports all divisions of the Council and Members by providing advice and guidance on all aspects of effective records management practices, including hard copy and electronic records.

### Corporate Record Centres

18. The Corporate Record Centres advise on storage and retention of hard copy records, working closely with Corporate Information Governance Unit to ensure consistency in records management practice across the Council and across all types of records (hard copy and electronic).

### IT Section

19. IT, including IT Security Team, advise on certain aspects of creating and maintaining electronic records in conjunction with Corporate Information Governance Unit.

### Equalities and Welsh Language Team

20. This team, within Legal and Governance, can provide guidance and support on language and format issues relating to Welsh, British Sign Language, Braille and other spoken languages where it relates to any records held by the Council.

## **21. Supporting documents**

- Corporate Record Retention and Disposal Policy

- Information Risk Management Policy
- Environment Directorate Retention Schedule
- Social Services Directorate Retention Guidance
- Data Protection Policy
- IT Security Policy
- Policy on Requests for and Access to Unpublished Information
- Publication Scheme
- Wales Accord on Sharing of Personal Information (WASPI)
- Information Sharing Protocols (WASPI and non-WASPI)
- Strategic Equality Plan
- Welsh Language Scheme