

## Corporate Records Management Policy

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<b>ORIGINATOR</b>	<p><b>Document Author and Job Title:</b> Liz Diack, Corporate Records Manager</p> <p><b>Responsible Service Area:</b> Information Governance, Legal Services</p> <p><b>Policy Operational Level:</b> Level 2 – Council Corporate Policies &amp; Strategies</p>
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KMBC DOCUMENT CONTROL PAGE (2) Continued	
<b>EQUALITY IMPACT ASSESSMENT</b>	<p>In order to carry out an EIA you should first complete a screening matrix which can be accessed through the Corporate Equality and Diversity Team.</p> <p>Screening Matrix Complete: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Date Complete:</p> <p>Manager/Group responsible: Senior Management Group</p> <p>Category: High <input type="checkbox"/> Medium <input type="checkbox"/> Low <input checked="" type="checkbox"/> No relevance <input type="checkbox"/></p> <p>Based on the category indicate the date that a further assessment must take place:</p> <p>Initial Assessment is complete: Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> <input type="checkbox"/> N/A Date</p> <p>Complete: <input type="checkbox"/> <input type="checkbox"/></p> <p>Full EIA Process is complete: Yes No N/A <input checked="" type="checkbox"/> Date Complete:</p>
<b>SUSTAINABILITY APPRAISAL</b>	<p>To evaluate the economic, social and environmental impacts of a policy you should complete the Integrated Sustainability Appraisal Toolkit on the Policy Hub <input type="checkbox"/></p> <p>Policy has been appraised for sustainability: Yes <input checked="" type="checkbox"/> No</p> <p>Action has been taken to mitigate any identified negative impacts: <input type="checkbox"/> <input type="checkbox"/></p> <p>Yes No N/A <input checked="" type="checkbox"/></p> <p>Date Complete: 12/01/2010</p>
<b>RISK ASSESSMENT</b>	<p>A risk assessment template is available on the Corporate Risk Management intranet site. <input type="checkbox"/></p> <p>Policy has been risk assessed: Yes <input checked="" type="checkbox"/> No</p> <p>Date complete: 25/01/2010 <input type="checkbox"/></p>
<b>TRAINING/ AWARENESS RAISING</b>	<p>Training / awareness raising required to fully implement document: Yes <input checked="" type="checkbox"/> No</p> <p>If no please state why: Requirement under S46 of Freedom of Information Act and BS ISO 15489 Standard for Records Management.</p> <p>If yes indicate the date of training / awareness raising: This will need to be developed as part of the records management programme</p> <p>Training provided by: Corporate Records Manager</p>
<b>POLICY LIBRARY</b>	<p>Once formally approved the document should be posted onto the Policy Library on the council intranet.</p> <p>Date Posted: October 2020</p> <p>Posted by: Head of Legal Services</p>

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## **1. Introduction**

Knowsley Metropolitan Borough Council's records are a vital asset that support ongoing operations and provide valuable evidence of business activities over time. They therefore form a significant part of the corporate memory.

It is the policy of Knowsley Council to establish effective records management to:

- Maximise the use of our information assets.
- Ensure that the integrity of the council's records is protected and that records are authentic, reliable and useable in order to meet the council's needs, now and in the future.
- Ensure compliance with legislative and best practice requirements.
- Support the business requirements of the council.

This will be achieved by creating a policy and procedural framework which ensures that:

- Relevant records are captured and held for the business needs of Knowsley Council.
- Records can be easily understood (adequate context is provided).
- Records can be trusted (they are complete, accurate, up to date and protected).
- Employees are made aware of, and trained in, the management of records within their sphere of responsibility.
- Records are made accessible to those employees who need and are permitted to access them to enable well informed and proper judgements to be made.
- Records are kept securely and protected from accidental loss and destruction.
- Records are kept for no longer than is necessary, in accordance with legal and professional obligations.
- Records are disposed of appropriately, in accordance with legal and regulatory obligations.

This Policy is produced in accordance with the requirements outlined in the Lord Chancellor's Code of Practice on the Management of Records, (issued under section 46 of the Freedom of Information Act 2000) and BS ISO 15489 Standard for Records Management.

## **2. Scope**

This Policy applies to all records that are created, received and maintained by Knowsley Council, and its employees, which represent evidence of the organisation's activities. It applies to all records regardless of format or storage medium, and therefore applies to paper and electronic records, including e-mail.

This Policy applies to all officers, temporary employees, consultants, contractors, elected members and others in the course of their work for and on behalf of Knowsley Council whether working directly for the council or in partnership with it. This Policy applies regardless of location of working environment, be this on council premises, at home, or elsewhere.

Employees will be made aware of this Policy through various communication methods, including utilising the intranet, team briefs, presentations, global emails and so on.

### 3. Aims and Objectives

The key aims and objectives of the Corporate Records Management Policy are to define a framework for managing records of the council in order to ensure that:

- The quality of the record can be maintained through time so accessibility, interpretation and trustworthiness can be maintained for as long as the record is needed.
- Sufficient resources are available within the council to support this Policy.
- Records can be trusted to reliably represent the information that was actually used in or created by the business process and its integrity and authenticity can be demonstrated.
- An effective framework exists within the council and each of its Services to support, implement and monitor this Policy.
- Records vital to the operation of the council are identified and protected.
- A culture is developed and encouraged which acknowledges the benefits and value of effective Records Management throughout the council.
- Records can be easily accessed by those with appropriate authority.
- Records of historical, cultural and educational significance are identified as early as possible and are permanently preserved in the council's Archive Service.
- Appropriate training is identified and arranged to assist in applying good Records Management practice.

### 4. Benefits

There are a number of benefits in the council managing both its paper and electronic records in a more systematic and structured environment, including:

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|---------------------|--|
| Economy             | <ul style="list-style-type: none"><li>• Value for Money efficiency savings through more effective use of office space, reduced storage costs and increased staff productivity.</li><li>• Reduction in the number of leased in buildings.</li><li>• Consolidation of numerous current storage contracts.</li></ul>  |
| Efficiency          | <ul style="list-style-type: none"><li>• Reduced likelihood of duplicating effort as information is more easily shared where appropriate.</li></ul>   |
| Service Delivery    | <ul style="list-style-type: none"><li>• Well informed and sound decisions based on complete and relevant information enables effective performance monitoring, service planning and policy development.</li></ul>  |
| Legal Protection    | <ul style="list-style-type: none"><li>• Effectively managed records will enable the council to protect not only its own interests and assets but also those of organisations, communities and individuals associated with it.</li><li>• Ability to comply with relevant legislation, regulations and standards for example Data Protection Act 1998, Freedom of Information Act 2000, Local Government Acts (including Section 224 of the 1972 Act) and BS ISO 27001 Information Security.</li></ul> |
| Enhanced Image      | <ul style="list-style-type: none"><li>• Improved efficiency both in terms of use of resources as well as service provision will result in an improved image of the council both to internal employees and members as well as externally to the council's partners, other organisations and its communities.</li></ul>  |
| Business Continuity | <ul style="list-style-type: none"><li>• Enabling identification and appropriate procedures to be put in place for key information, ensuring that the council is able to maintain its core</li></ul>  |

	functions in the event of a disaster.
Archival Preservation	<ul style="list-style-type: none"> <li>• Identification of key records and establishing procedures facilitating the development of a corporate memory and ensuring the long-term preservation of information with historical importance.</li> </ul>
Performance	<ul style="list-style-type: none"> <li>• Demonstrate effective use of resources as part of the Comprehensive Area Assessment.</li> </ul>
Working Environment	<ul style="list-style-type: none"> <li>• Reduce amount of excessive and redundant information that clutters working spaces including offices, desks and e-mail inboxes.</li> <li>• Improved health and safety through less clutter around desks, and improved storage areas.</li> </ul>
Consistency	<ul style="list-style-type: none"> <li>• Corporate policies and procedures will provide a framework to support all council employees in managing the information they use and create in a consistent and reliable manner.</li> </ul>

## 5. Relevant Legislation and Standards

Compliance with this Policy will facilitate compliance with following legislation and standards:

- Public Records Acts (1958 and 1967)
- Local Government Act (1972).
- Environmental Information Regulations (1992).
- General Data Protection Regulation (GDPR) (2018)
- Data Protection Act (1998).
- Freedom of Information Act (2000).
- Regulation of Investigatory Powers Act (2000).
- Environmental Information Regulations (2004).
- The Children Act (2004).
- Civil Contingencies Act (2004).
- The Protection of Freedoms Act 2012
- Re-use of Public Sector Information Regulations (2015).
- BS ISO 15489 British and International Standard for Records Management.
- BS ISO 27001: British and International Standard on Information Technology, Security techniques, Information Security Management Systems.
- BS 10008: British Standard on Evidential weight and legal admissibility of electronic information

In addition, compliance with this Policy will also facilitate compliance with other statutory and regulatory record-keeping obligations that are specific to certain council functions or directorates.

## 6. Responsibilities

All employees who create, receive and use records will have records management responsibilities at some level depending on the nature of the role they fulfil.

Failure to adhere to this Policy may result in breaches of legislation and affect the council's ability to deliver its services, and to demonstrate that it is open and accountable.

### **6.1 Cabinet Members/Corporate Management Team**

- To ensure records management is recognised as a corporate programme within Knowsley Council and receives the necessary levels of organisational support and the resources required to ensure effectiveness.
- To support and enforce the Corporate Records Management Policy.

### **6.2 Information Asset Owners**

- To ensure proper provision for the implementation of the Corporate Records Management Policy is made within their Service.
- To nominate appropriate officers to oversee the implementation of and compliance with the Policy and to ensure full commitment and support is received.

### **6.3 Information Asset Administrators**

- To put in place procedures to ensure records are created, captured and maintained which provide evidence of the council's functions, policies, decisions, procedures and activities.
- To ensure action plans for implementation of the Policy are incorporated into appropriate business plans.

### **6.4 Service Areas**

- To ensure the capture of records that provide evidence of all functional activities, containing accurate and relevant information which is appropriate but not excessive.
- To capture records into appropriate record keeping systems that enable easy identification, classification and accessibility to information, resulting in openness, accountability and best practice.
- To ensure records, which no longer need to be retained, are only destroyed in compliance with Records Retention and Disposal Schedules and in a manner suitable to their confidentiality.
- To ensure sufficient commitment of employees time to manage records in accordance with approved and accepted records management standards.

### **6.5 All employees**

- Individual employees are responsible and accountable for managing records in accordance with records management standards, especially in an authorised manner.



- Records are created, received and used by individuals but they are the property of Knowsley Council. Records must be organised and retained to meet both immediate short-term user needs and the long-term corporate requirements of Knowsley Council.
- All employees have a responsibility to maintain accurate, comprehensive and up-to-date records.

## **7. Policy Review**

The Corporate Records Manager will be responsible for implementing the Policy. The Policy will need to be reviewed in relation to relevant legislation, standards and practices on an annual basis.

## Appendix A: Definition of key Records Management terms

<b>Archives</b>	Records no longer needed as evidence of business processes for operational reasons but have been identified as having long term historical significance and evidential value.
<b>Classification Scheme</b>	The scheme used to organise records in a structured manner. It enables records in a business information system to be managed, understood, linked to other related records and retrieved by users.
<b>Current Records</b>	Records used regularly and frequently in the day-to-day work of the council
<b>Disposition</b>	The eventual fate of records. Records are either transferred to the council's Archives Service or destroyed by shredding, deletion or some other form of physical or digital destruction.
<b>Fileplan</b>	The files that are allocated to the Classification Scheme.
<b>Metadata</b>	Metadata is structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.
<b>Records</b>	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.
<b>Record Series</b>	Records which provide evidence of a particular process and as such may vary in size from a single document to many thousands of documents.
<b>Taxonomy</b>	The name given to the list of record series which can be used as a pick list in a drop down menu to classify records and attach rules such as retention period
<b>Records Management</b>	The efficient and systematic control of the creation, receipt, maintenance, use and disposition of records. It includes processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records. It is based on the principles of regular review and controlled retention or destruction of records with the general aim of ensuring cost-effective business processes, legal and regulatory compliance and corporate accountability.

<b>Retention Schedule</b>	A list of the record series in an organisation with requirements for how long they should be kept in the various stages of their life and the justification for the
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	periods specified.
<b>Semi-current Records</b>	Records required for the work of the council but referred to on an infrequent basis. Includes records that must be retained for a statutory period
<b>Structured records</b>	Database records held in various line of business applications.
<b>Unstructured records</b>	Electronic records that are created using office applications such as MS Word, PowerPoint, and so on (including email, web-pages, audio-visual records <sup>1</sup> ) that can then be stored in a variety of locations (shared drive, personal drives, email inboxes, portal sites, intranet, databases, back-up tapes, CD/DVD's, USB sticks, and so on).
<b>Vital Records</b>	Records considered to be vital for the continued functioning of the authority in the event of an emergency.

For further information please contact the Corporate Records Manager, Liz Diack on on 0151 443 3794, or email [Elizabeth.diack@knowsley.gov.uk](mailto:Elizabeth.diack@knowsley.gov.uk)

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<sup>1</sup> For example voice/meeting recordings