Warwick District Council
Records Management Policy

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For queries regarding this policy,
please contact:
Democratic Services Manager and
Deputy Monitoring Officer.

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Records Management Policy

Revision History

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1.0		Anna Moore	Original Document
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Approvals

This document requires the following approvals:

Name	Title
Executive	5.4.2018

Distribution

This document has been distributed to:

Title
All Staff
All Members

For queries regarding this policy,
please contact:
Democratic Services Manager and
Deputy Monitoring Officer.

WARWICK DISTRICT COUNCIL

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1   **Management Summary**

1.1   Information is one of the Council's corporate assets; in the course of carrying out its' various functions, the Council accumulates information from both individuals and external organisations. The Council also generates a wide range of information, which is recorded in documents and collected into records.

1.2   The documents and records are in several different formats, examples of which include, (but are not limited to) communications such as letters, emails and attendance notes; financial information including invoices, statements and reports; legal documents such as contracts and deeds; and information relating to various types of applications, including forms, plans, drawings, photographs and tape recordings.

1.3   This policy sets out the Council's approach to records management that requires active management throughout their life cycle. The key issues covered are:-

- Information Asset Register
- Information Security
- Records Metadata
- Network Drives
- Protective Marking
- Evidential Integrity
- Record Retention Schedule
- Disposal of Records

2   **Policy Statement**

2.1   Warwick District Council recognises that its documents and records are valuable assets and vital to the delivery of high quality public services. Effective document and records management is also essential in enabling the Council to comply with its legal and regulatory obligations. This policy sets out the Council's requirements.

3   **Purpose**

The purpose of this policy is:-

3.1   To set out the broad Council's approach to records management.

3.2   To ensure that the value of information assets is recognised and Council activities are adequately documented to meet service needs, accountability and legal requirements.

3.3   To ensure that the integrity and availability of records is maintained to allow well-informed decision making by the Council.

3.4   To ensure that Council records applies best practice standards in the recording of record metadata.

3.5 To ensure that records held outside service business applications, for example on network drives, are logically structured to enable continuing active management until they are archived or deleted / disposed of.

3.5 To ensure that records are handled and shared securely as required by any protective marking.

3.7 To set out the corporate requirement for a record retention framework that will inform decisions on whether a particular document should be retained and for how long.

3.8 To set out record disposal requirements.

3.9 To ensure that evidential integrity is maintained for records.

3.10 To ensure that the Council archives records and documents that are of historical value are saved for the benefit of future generations.

3.11 To clarify the different roles and responsibilities of Council officers in relation to records management.

4 Scope

4.1 This Policy applies to all records and information held by the Council on whatever media and all those involved in the creation and maintenance of Council records.

5 Policy Requirements

5.1 Information Asset Register
All significant information and record systems will be recorded in the Council's Information Asset Register, which will be an extension of the Personal Data Register or Record of Personal Data Processing.

5.2 Information Security
All record and information systems will be subject to controls and procedures detailed in the Council's Information Security Policy and sub policies and procedures. These aim to ensure the Confidentiality, Integrity and Availability of information at all times.

5.3 Records Metadata
Where records are not entered on a specific business application, or an Electronic Document and Records System (EDRMS) the Council's standard record metadata set should be applied whenever possible. This consists of: title, author, date, version no, status (draft or final), protective marking, review date, distribution list.

5.4 Protective Marking
Records with protective marking should always be handled and stored in accordance with the requirements of the marking. The protective marking guidance gives details of handling requirements.

5.5 Network Drives

Where records are not entered on a specific business application system, or an Electronic Document and Records System (EDRMS), records should held in folders in a structure that allows active management in accordance with the record life cycle (see Appendix) including deletion when required by the record retention schedule. Email document links should be used whenever possible in preference to attachments.

5.6 Email folders (including archive)

The email client (Microsoft Outlook) should not be used as a filing system. Emails should either be stored within a specific business application system, or an Electronic Document and Records System (EDRMS). If this is not possible records should held in folders in a structure that allows active management in accordance with the record life cycle (see Appendix) including deletion when required by the record retention schedule. Email document links should be used whenever possible in preference to attachments.

5.7 Evidential Integrity

For some records that might form evidence for court proceedings or investigations it can be important that secure storage with appropriate rights access can be demonstrated as well as a supporting change log or history. The possible need to maintain evidential integrity should be considered when record systems are set up.

5.8 Record Retention Schedule

It must be ensured that records are retained or disposed of according to the Council's Record Retention Schedule. If records contain 'personal data' as defined by Data Protection legislation then an individual has the right to be informed how long data is held for and it cannot be kept longer than necessary for the purpose it was collected for.

5.9 Disposal of Records

Records may only be disposed of in a secure and controlled way that ensures destruction and provides a full information trail. The record disposal guidance provides more details.

5.10 Historical Preservation

Some records may be considered of future historical interest and the County Records Manager should be consulted regarding their possible preservation.

6   Roles and Responsibilities

6.1   Heads of Service will be responsible for ensuring (in accordance with this Policy) that records management arrangements are fit for purpose.

6.2   Heads of Service may delegate the operational aspect of this function to one or more officers within their service area.

6.3 Service Managers must ensure that their teams receive sufficient guidance to ensure that record systems are actively maintained, and to foster an awareness of the full record life cycle.

6.4 ICT is responsible for advising on digital security and use of network drives.

6.5 The Information Governance Manager is responsible for advising on information legislation and records management best practice.

6.6 All employees must comply with the requirements of this Policy.

7 Policy Governance

7.1 The following table identifies who within Warwick District Council is Accountable, Responsible, Informed or Consulted with regards to this policy. The following definitions apply:

Accountable the person who has ultimate accountability and authority for the policy.

Responsible the person(s) responsible for developing and implementing the policy.

Consulted the person(s) or groups to be consulted prior to final policy implementation or amendment.

Informed the person(s) or groups to be informed after policy implementation or amendment.

Accountable	Deputy Chief Executive & Monitoring Officer
Responsible	Democratic Services Manager and Deputy Monitoring Officer.
Consulted	SMT and Executive
Informed	All Council personnel, temporary / agency staff, contractors, consultants, suppliers and Members.

8 Review & Revision

8.1 This policy will be reviewed as it is deemed appropriate, but no less frequently than every 12 months.

8.2 Policy review will be undertaken by the Council's Information Security Officer.

9 References

9.1 The following Warwick District Council documents are relevant to this policy:
- Warwick District Council – Record Retention Sub-Policy
- Warwick District Council – Data Handling Policy

10 Key Message

Through this policy the Council has committed to full life cycle records management.

- It identifies steps that can help prevent information retrieval difficulties, reduce duplication, and enhance confidentiality

- Inactive and disposal phase management should be built into routine business operations to ensure compliance with legislation and prevent it becoming unduly burdensome.

- Information and records should only be retained for the period required by legislation, the period specified in the Record Retention Schedule, or only as long as is necessary for the purpose they were created for.

Appendix – The Records Lifecycle

1. Information		
6. Disposal		2. Creation
5. Inactive Record		3. Collection
	4. Active Record	
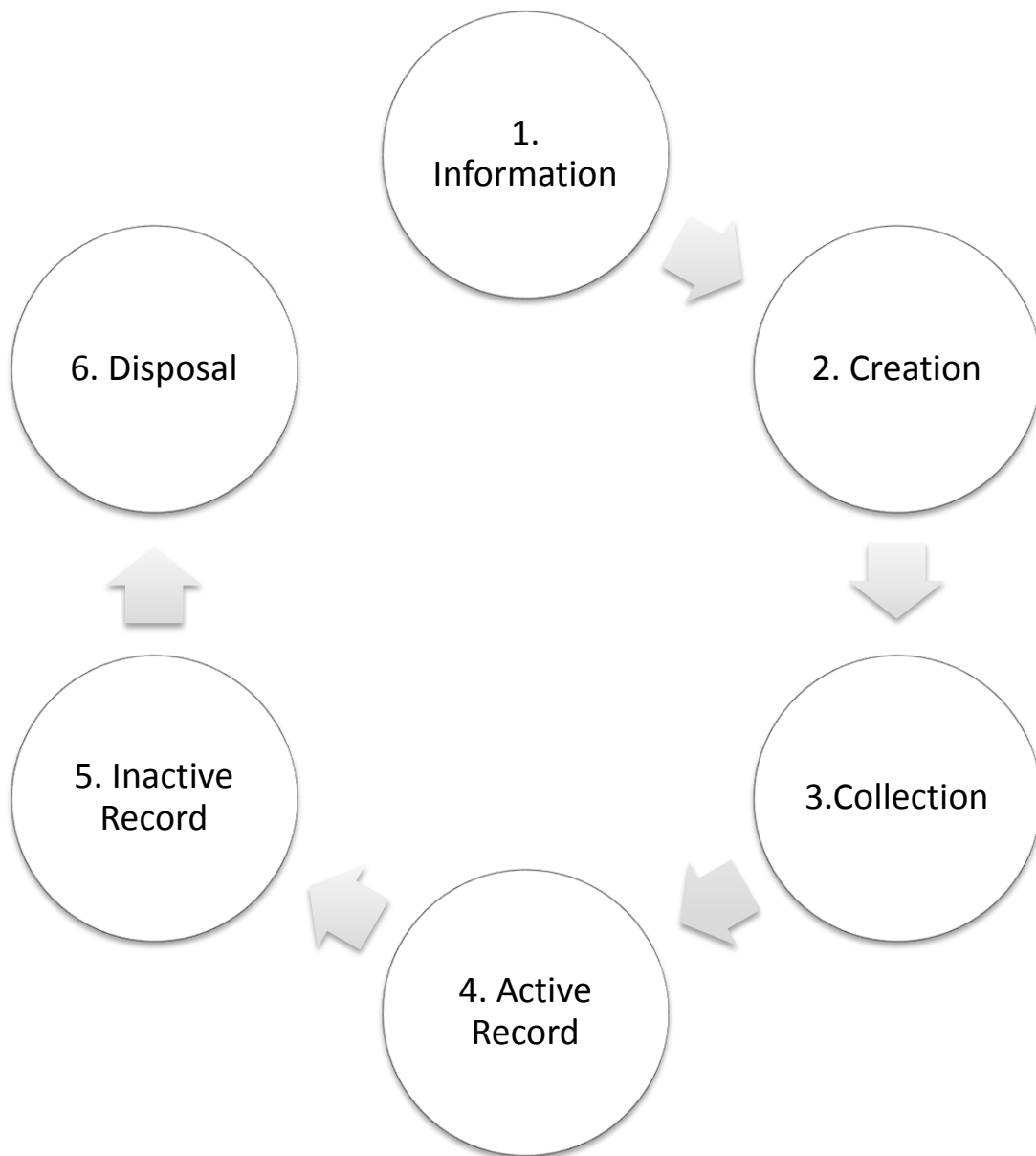
1	**INFORMATION** is received.
2.	**CREATION** Documents, emails, letters etc on the same subject are generated
3	**COLLECTION** The information is collected into a record with a unique identifier . A reference number, a name, a title, or a folder location.
4.	**ACTIVE RECORD** The record is active and added to by amendments, new information, revised documents and collaboration with other teams or agencies. Searchability is key.
5	**INACTIVE RECORD** The purpose that the record was created for is completed and the record is inactive for a specified period.
6	**DISPOSAL** When the retention period is complete the record is deleted or disposed of. It may be preserved if it is considered to be of future historic interest.