

Individual Executive Member Decision

Title of Report:	Records Management Policy Revision
Report to be considered by:	Individual Executive Member Decision
Date on which Decision is to be taken:	9 th May 2013
Forward Plan Ref:	ID2644

Purpose of Report: To present the revised Records Management Policy for consideration by the Executive Member for Council Strategy & Performance, Housing, ICT, Corporate Support, Legal.

Recommended Action: That the Executive Member for Council Strategy & Performance, Housing, ICT, Corporate Support, Legal approves the revised Records Management Policy.

Reason for decision to be taken: The Policy has been revised to take account of procedural changes, and to be published as an individual document. Previously it was published as part of the Record Retention Schedule, a supporting document

Other options considered: N/A

Key background documentation: Record Retention Schedule

Portfolio Member Details	
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Contact Officer Details	
Name:	Sue Broughton
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Implications

Policy:	There is a statutory requirement in the Freedom of Information Act 2000 (S46) for a Records Management Policy
Financial:	None
Personnel:	None
Legal/Procurement:	None
Environmental:	None
Property:	None
Risk Management:	Adverse risk if the Council does not have a Corporate Complaints Policy and Procedure
Equalities Impact Assessment:	Attached

Consultation Responses

Members:

Leader of Council:	Councillor Gordon Lundie
Overview & Scrutiny Management Commission Chairman:	Councillor Brian Bedwell
Ward Members:	N/a
Opposition Spokesperson:	Councillor Tony Vickers
Local Stakeholders:	N/a
Officers Consulted:	Andy Day; David Lowe; Heads of Service; Directors
Trade Union:	Rosemary Culmer

Is this item subject to call-in?	Yes: <input checked="" type="checkbox"/>	No: <input type="checkbox"/>
If not subject to call-in please put a cross in the appropriate box:		
The item is due to be referred to Council for final approval		<input type="checkbox"/>
Delays in implementation could have serious financial implications for the Council		<input type="checkbox"/>
Delays in implementation could compromise the Council's position		<input type="checkbox"/>
Considered or reviewed by Overview and Scrutiny Management Commission or associated Task Groups within preceding six months		<input type="checkbox"/>
Item is Urgent Key Decision		<input type="checkbox"/>
Report is to note only		<input type="checkbox"/>

Supporting Information

1. Background

- 1.1 The Freedom of Information Act 2000 S46 included a provision requiring the Lord Chancellor to issue a Code of Practice as guidance to all relevant authorities on the keeping, management and destruction of their records.
- 1.2 The most recent version of the Code of Practice was issued in July 2009 and states:

Records Management Policy

Authorities should have in place a records management policy, either as a separate policy or as part of a wider information or knowledge management policy.

The policy should be endorsed by senior management, for example at board level, and should be readily available to staff at all levels.

The policy provides a mandate for the records and information management function and a framework for supporting standards, procedures and guidelines. The precise contents will depend on the particular needs and culture of the authority but it should as a minimum:

- a) Set out the authority's commitment to create, keep and manage records which document its principal activities;
- b) Outline the role of records management and its relationship to the authority's overall business strategy;
- c) Identify and make appropriate connections to related policies, such as those dealing with email, information security and data protection;
- d) Define roles and responsibilities, including the responsibility of individuals to document their work in the authority's records to the extent that, and in the way that, the authority has decided their work should be documented, and to use those records appropriately;
- e) Indicate how compliance with the policy and the supporting standards, procedures and guidelines will be monitored.

The policy should be kept up-to-date so that it reflects the current needs of the authority. One way of ensuring this is to review it at agreed intervals, for example every three or five years, and after major organisational or technological changes, in order to assess whether it needs amendment.

The authority should consider publishing the policy so that members of the public can see the basis on which it manages its records.

2. Corporate Complaints Policy

- 2.1 The Policy sets out the stated requirements for records management as detailed in the Code of Practice. Its purpose is to assist staff in understanding their responsibilities in respect of corporate records management. It is also intended to

explain to the wider public the way in which records are protected and retained within the Council. It is a public document.

3. Equalities Impact Assessment Outcomes

- 3.1 There is no adverse impact on any identified groups within the Council's staff. This is detailed in the attached Stage One review. There is no requirement for a Stage Two review.

4. Conclusion

- 4.1 The Records Management Policy has been revised in accordance with best practice, and the S46 Code of Practice as revised in July 2009.

5. Recommendations

- 5.1 That the Executive Member for Council Strategy & Performance, Housing, ICT, Corporate Support, Legal approves the revised Records Management Policy.

Appendices

Appendix A – Equality Impact Assessment – Stage 1

Appendix B – Records Management Policy (revised)

APPENDIX A

Equality Impact Assessment – Stage One

Name of item being assessed:	Records Management Policy
Version and release date of item (if applicable):	Version 3 February 2013
Owner of item being assessed:	Sue Broughton
Name of assessor:	Sue Broughton
Date of assessment:	12 th April 2013

1. What are the main aims of the item?
To ensure compliance with statute and best practice in handling corporate records. This ensures corporate probity and accountability to residents, clients and other stakeholders.

2. Note which groups may be affected by the item, consider how they may be affected and what sources of information have been used to determine this. (Please demonstrate consideration of all strands – age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation)		
Group Affected	What might be the effect?	Information to support this.
All WBC staff creating and managing records	It is considered that there will be no effect on any strands as identified	Policy previously in place in the council
Further comments relating to the item:		

3. Result (please tick by double-clicking on relevant box and click on 'checked')	
<input type="checkbox"/>	High Relevance - This needs to undergo a Stage 2 Equality Impact Assessment
<input type="checkbox"/>	Medium Relevance - This needs to undergo a Stage 2 Equality Impact Assessment
<input type="checkbox"/>	Low Relevance - This needs to undergo a Stage 2 Equality Impact Assessment
<input checked="" type="checkbox"/>	No Relevance - This does not need to undergo a Stage 2 Equality Impact Assessment

For items requiring a Stage 2 equality impact assessment, begin the planning of this now, referring to the equality impact assessment guidance and Stage 2 template.

4. Identify next steps as appropriate:	
Stage Two required	
Owner of Stage Two assessment:	
Timescale for Stage Two assessment:	
Stage Two not required:	Stage Two not required

Name: Sue Broughton

Date: 12th April