



Records Management Policy

January 2017

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Revision History

Version	Date	Summary of Changes	Author
0.1	Sept 2016	Initial draft	TM
0.2	Nov 2016	Draft for approval to IGG	TM
0.3	Jan 2017	Remove reference to RM Toolkit	TM
1.0	16 Jan 2017	Final version	TM
1.1	26 July 2018	Revised to reflect Risk Structure and DP Changes	JT
2.0	17 September 2018	Final approved by IGG	

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1. Records Management at SBC

At Scottish Borders Council (the Council) managing our information assets as records allows us to reduce costs, comply with our statutory duties effectively and timeously, assures us that our information is accurate and up to date and minimizes duplication. By agreeing common standards and monitoring against them Records Management conforms to the risk based approach to business the Council has adopted.

2. Aims and scope of the Policy

This policy supports the Information Governance Policy approved by the Councils Information Governance Group (chaired by the Senior Information Risk Officer "SIRO"). It sets out the principles of good records management and, through supplementary guidance and training, advises how to meet those aims.

The policy is for all staff, contractors, and all others who process Council information

3. Policy Statement

Benefits of good records management

Having a standard approach to record keeping will ensure that the Council

- has an accurate, authentic and reliable record of activities and decisions
- meets its statutory duties in respect of information access and data sharing
- acknowledges its statutory duty in respect of the Public Records (Scotland) Act
- complies with information security standards
- keeps information for no longer than it is required
- identifies and preserves vital and/or historical records
- can control growth of storage of physical and digital information assets

Roles and responsibilities

The Council takes a risk approach to information management and the Records Management function is managed in this context. The SIRO convenes an Information Governance Group with representation from all parts of the business. This Group reviews, monitors and approves all information management policies through quarterly meetings. The meetings are themed – once a year the theme is Records Management.

There is an Information Management team whose duties include creation of policy, guidance and training on records management. They have tools, such as the Information Asset Register, that help monitor policy.

There are Strategic Information Asset Co-ordinators and Operational Information Asset Owners who manage the information assets, cascade training and measure risk on their allocated assets.

All staff must undertake mandatory training (e-learning) on information management and security.

Principles of records management

The Council has agreed in its Information Management Policy that records management will promote transparency and information quality assurance to

- make sure we comply with legal obligations
- ensure all staff treat information as a valuable resource and know that records belong to the Council – not to a service or individual
- ensure information is accessible and available until the agreed destruction date
- ensure an accurate, reliable, useable record of Council business is captured and maintained for as long as it is required using, for example, version control
- promote active management of council information – by use of file plans or business classification and common filing systems and storage
- promote awareness of how to handle information securely and confidentially by protective marking and other tools
- historical information is identified and preserved appropriately

Access to records

The Council follows guidance from the UK Information Commissioner in creating policies, guidance and training about Data Protection legislation and acknowledges that good record keeping supports the public right to access their personal data held by the Council as well as reducing the burden on staff in administering Subject Access Requests made under the legislation.

The Council follows guidance from the Scottish Information Commissioner in creating policies, guidance and training on requests for information made in respect of the Freedom of Information (Scotland) Act 2002 (FOISA), the Environmental Information Regulations (Scotland) 2004 and other devolved function information regulations. In particular, the Council recognizes the value of the FOISA s61 Code of Practice on the Management of Records in promoting good record keeping as a way of complying effectively with the Act and lowering administrative costs to the Council.

Security of records

The Council takes the security of information assets seriously and has approved a security policy, a protective monitoring policy and security incident reporting procedures

The physical security of records is supported by a policy on confidential destruction, a contract with an approved confidential waste processor and a contract with Iron Mountain for the long term off site storage of paper records. All staff may use these services which are chargeable to their service. Routine risk reviews of Information Asset Registers will highlight where there are weaknesses in provision and steps to address the problem will be recorded and mitigating actions monitored by reporting to IGG or through the business risk register.

Risk and Policy Monitoring

The Information Governance Group is responsible for monitoring information risk. This group reviews and monitors policy. There is one theme per quarter viz.:

Records Management, Data Protection and Information Access, Information Security, Information Governance

Reporting

The Information Governance group reports to the Corporate Management Team so that information management is monitored and, where applicable, endorsed at executive level in the Council

Policy Review

This Policy and associated guidance is calendared for review by the IGG annually from January to March when Records Management is the review theme.

Related Policies and guidance

Related policies and guidance are on the intranet pages for:

[Information Management](#) and [Information Technology](#) where current versions of the following key policies and other guidance can be found:

1. Security Policy – this policy describes what you MUST do to keep information safe and avoid fines of up to £500,000 from the ICO if you don't
2. Information Governance Policy – describes how information is managed and assured at the Council
3. Records Management Policy – policy for managing records compliantly and effectively
4. Sharing Information Code of Practice and Data Protection by Design guidance – process for ensuring that personal and confidential information is processed appropriately

Mandatory information management and Information security e-learning modules are available on [SBLearn](#) for individuals and groups to complete. Other training modules are also available on the site.

Statutory framework

Information about the Public Records (Scotland) Act, Records Management Plans and Proper Arrangements under the Local Government Scotland Act can be found on the [National Records of Scotland](#) website.

Information on Data Protection legislation can be found on the website of the [UK Information Commissioner](#)

Information on the Freedom of Information (Scotland) Act and associated regulations and codes of practice is on the website of the [Scottish Information Commissioner](#)