

Report

Report to:	Executive Committee
Date of Meeting:	1 March 2023
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Records Management Policy
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ request approval for the revised Records Management Policy
- ◆ advise the Committee on the communication plan for the Policy

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the Records Management Policy, attached as Appendix 1 to the report, and the proposed arrangements for its communication to employees be approved.

3. Background

3.1. The first South Lanarkshire Council Records Management Policy was approved in June 2006. This was revised in 2012 and again in 2016.

3.2. The Policy was reviewed by the Information Governance Board during 2022 and some amendments were made to bring it up to date.

3.3. The Records Management Policy is the overarching policy which provides the Council with a framework upon which to base the management of the records it creates, receives, holds, uses and manages. It is an important policy especially in light of The Public Records (Scotland) Act 2011 which was implemented in January 2013.

3.4. This Act requires public bodies to set out arrangements for the management of their records and to prepare a Records Management Plan for submission to the Keeper of the Records.

3.5. This policy assists South Lanarkshire Council to meet its obligations under the Act and provides an important framework from which other guidelines and procedures for managing records are developed.

4. What Does the Policy Cover?

4.1. The Records Management Policy, which is attached as Appendix 1 applies to all records created, received, held, used and managed by South Lanarkshire Council irrespective of the format of the records and to all permanent and temporary employees of South Lanarkshire Council.

4.2. An example of record formats is listed below:-

- ◆ word-processed correspondence, minutes of meetings, policies, strategies, case files, spreadsheets, and other documents
- ◆ stored maps, plans, drawings and photographs, whether analogue or digital;
- ◆ email messages
- ◆ CCTV footage (including that taken from body worn cameras)
- ◆ SMS text messages, tweets, and social media entries
- ◆ data/documents generated and stored in electronic systems such as Electronic Document Records Management Systems, People Connect or SEEMiS

4.3. **Benefits of Good Records Management**

Systematic management of records allows the Council to:-

- ◆ know what records it has, and locate them easily
- ◆ increase efficiency and effectiveness
- ◆ make savings in administration costs, both in staff time and storage
- ◆ support decision-making
- ◆ be open, transparent, and accountable
- ◆ achieve business objectives and targets
- ◆ provide continuity in the event of a disaster by identifying vital records
- ◆ demonstrate authenticity, reliability, integrity, and accessibility
- ◆ meet legislative and regulatory requirements and apply best practice

5. **Content of the Policy**

5.1. The Records Management Policy has been revised and updated from the 2016 version. It does not differ greatly from the previous version in terms of scope, purpose and responsibilities, however, it now reflects, in section 5, that Paul Manning, Executive Director (Finance and Corporate Resources) is the Council's Senior Information Risk Officer and also has responsibility for the Council's Records Management Plan. Section 6 includes changes in legislation since the previous policy update, for example the UK GDPR is now included. The standalone section 7 on electronic document management systems (EDRMS) has been deleted as this content is now covered in other sections of the policy and reference to EDRMS has been changed to ECMs (electronic content management system). Section 11, Training, has been updated and now includes cyber security as well as the updated learn on line courses available.

6. **Communication**

6.1. The Records Management Policy will be circulated to employees by means of a personnel circular and management bulletin. The policy will be made available for download from the intranet.

6.2. Resources will be asked to cascade the revised Policy through Resource management teams and team meetings bringing it to the attention of employees.

6.3. The Policy will join a suite of information governance related policies being developed by the Information Governance Board.

7. **Employee Implications**

7.1. There are no employee implications.

8. **Financial Implications**

8.1. There are no financial implications.

9. Climate Change, Sustainability and Environmental Implications

- 9.1. There are no implications for climate change, sustainability, or the environment in terms of the information contained in this report.

10. Other Implications

- 10.1. The Public Records (Scotland) Act 2011 places statutory duties on the Council as a Scottish public authority to submit a Records Management Plan and to undertake a programme of improvement to satisfy the provisions of the legislation. The Records Management Policy meets the requirements of the legislation.

11. Equality Impact Assessment and Consultation Arrangements

- 11.1. There are no equal opportunity assessment implications.
- 11.2. The Records Management Policy has been developed in consultation with the Information Governance Board and Council Resources.

Paul Manning

Executive Director (Finance and Corporate Resources)

13 February 2023

Link(s) to Council Values/Priorities/Outcomes

- ◆ Accountable, effective, efficient, and transparent
- ◆ Fair, open, and sustainable

Previous References

- ◆ Executive Committee, 21 November 2012
- ◆ Executive Committee 11 May 2016

List of Background Papers

- ◆ Records Management Policy v1.0
- ◆ Records Management Policy v2.0
- ◆ Records Management Policy v3.0

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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