

HARINGEY COUNCIL

RECORDS MANAGEMENT POLICY

1. INTRODUCTION

In common with all local authorities, Haringey Council receives and generates a large number of records which document and support its activities. These records are a vital source of information on the Council's actions, policies and decisions.

The purpose of the **records management** function within Haringey Council is to:

- Create and capture authentic and reliable records which provide evidence of the Council's activities and decisions and which demonstrate its accountability;
- Secure, maintain and preserve those records for as long as they are required and to provide access to them as necessary to support the Council's operations and fulfil its obligations under the Freedom of Information Act;
- Identify those records which will form a significant part of the historical record of the Council's activities and make provision for their permanent or long term preservation;
- Identify those records that are vital to the continuance of the Council's business and protect these against disaster;
- Destroy records that are no longer required, having regard to statutory record-keeping requirements, thus promoting the efficient use of physical and electronic storage space.

2. SCOPE

For the purposes of this document, a **record** is defined as:

Recorded information, regardless of media or format, created or received in the course of individual or organisational activity, which provides reliable evidence of policy, actions or decisions. (National Archives)

This policy covers all records created and received by all departments of the Council, in any format. These will include:

- Word-processed correspondence, minutes of meetings, policies, strategies and other documents;
- Maps, plans, drawings and photographs, whether analogue or digital;
- Hand-written documents and pre-printed forms completed in manuscript;
- E-mail messages, spreadsheets and data from business systems.

Records held by schools are the responsibility of the individual organisation and are outside the scope of this policy.

This policy is complemented by a suite of policies, based on ISO 27001 2005 *Code of Practice for Information Security Management*, dealing with various aspects of the management of electronic records. These are:

- AUP001 Email acceptable Usage Policy
- AUP005 Data Protection Policy
- AUP006 Portable Storage Device Acceptable Usage Policy
- AUP007 Data Storage Acceptable Usage Policy

- AUP008 IT Data Retention Acceptable Usage Policy
- IPR007 Information Handling, Labelling and Disposal
- ISP003 Information Classification
- ISP010 Compliance

3. STATEMENT OF RECORDS MANAGEMENT POLICY

Haringey Council will institute, implement and review procedures to ensure that reliable and usable records are created, maintained and made accessible for as long as they are required to support the business of the Council. This will be enabled by procedures to ensure that:

- Records are managed in accordance with current professional standards, that is:
 - BS ISO 15489 Standard on best practice in records management;
 - ISO 176699 Standard on Information Security Management;
 - ISO 27001 Code of Practice for Information Security Management;
 - DISC PD 0008:1999 Code of practice for legal admissibility and evidential weight of information stored electronically;
 - DISC PD 0010:1977 Principles of good practice for information management.
- Records are managed in accordance with current legislation:
 - Data Protection Act 1998;
 - Environmental Information Regulations 2004;
 - Freedom of Information Act 2000;
 - Human Rights Act 1998
 - Local Government (Access to Information) Act 1985;
 - Local Government Act 1972;
 - Public Records Act 1958 and 1967;
 - Regulation of Investigatory Powers Act 2000;
 - Telecommunications (lawful business practices) and (interception of communications) Regulations 2000.
- Records management practices are compatible with corporate policies:
 - The Council Plan 2007-2010;
 - Haringey Environmental Strategy;
 - Freedom of Information Process;
 - Data Protection Subject Access Process.
- Records are accessible to officers to support them in making informed and proper judgments in the course of their work;
- Records are accessible to the public in accordance with the Council's Publications Scheme and in accordance with the requirements and timetable of the Freedom of Information Act, 2000;
- Records are kept securely and protected from accidental or deliberate loss or destruction;
- Records are maintained in a secure environment with good conditions for their physical preservation and storage and which allows access as needed;
- Records are kept in accordance with the schedules drawn up for their retention, having regard to legal requirements and recognised good practice, and are safely disposed of after the expiry of their retention period in accordance with legal and regulatory obligations;

- All staff are aware of their obligations in respect of the filing, retention and disposal of records.

4. OWNERSHIP

All records created and received by Haringey Council are the property of the Council, not by any department or individual, and must not be used for any activity or purpose other than the Council's official business.

5. RESPONSIBILITIES

All staff who create, receive or use records will have some responsibility for their management. Specific responsibilities are outlined below.

Management Board

The Management Board will comprise representative of each directorate and will be chaired by a designated officer (currently Assistant Director: Culture, Libraries & Learning). The Board will be responsible for:

- Approval of a corporate framework for the management of records within the Council;
- Promotion of a culture and practice of good records management throughout the Council;
- Ensuring that sufficient resources are available for the maintenance of the records management function;
- Ensuring compliance with the Freedom of Information Act, 2000, and other legislation appertaining to the management of, and access to, records;
- Promoting the value of historic records and ensuring their preservation as a corporate memory.

Records Manager

The Records Manager will be responsible for:

- Ensuring that the management of Haringey Council's records complies with legal and professional obligations;
- Managing records in all formats;
- Advising Council officers on records management;
- Implementing the Records Management policy;
- Maintaining corporate retention schedules.

Directorate representatives

Each directorate will have at least one representative, who will be responsible for:

- Providing advice on records management to officers in the directorate, liaising with the Records Manager as required;
- Bringing matters of concern to the attention of the Records Manager and the Management Board.

Service Heads

All service heads, business unit heads and team leaders will be responsible for:

- Ensuring that the records management policy is implemented and complied with in the department or service under their control;
- Liaising with the directorate representative to resolve information requests which staff are unable to answer;
- Ensuring that staff receive training, development and support in records management matters;
- Ensuring that all records within the department have an identified owner, responsible for their management whilst in use;
- Ensuring the adherence to proper procedures to ensure that no unauthorised destruction of records occurs, particularly any wilful destruction of records pertinent to a request made under the Freedom of Information Act and which would constitute a breach of Section 77 of the Act.
- Ensure that a satisfactory audit trail exists for records destroyed according to the retention schedules;
- Ensure that records of long term importance are offered to the Haringey Archives for permanent storage;
- Ensure that business recovery plans are in place to allow continuity of service in event of a disaster.

Individual officers

All records created by officers during the course of their work are the property of Haringey Council. Individual officers are responsible for:

- Adhering to corporate and directorate records management policies;
- Filing records according to a file structure appropriate to their subject and format to enable ready retrieval when required;
- Ensuring that all records, regardless of format, are stored safely in suitable conditions;
- Ensuring that records are retained in accordance with the retention schedules and disposed of according to corporate and directorate policies when their retention period has expired.

Contact details for key personnel are given in Appendix 1.

6. NON-COMPLIANCE

The Council has an established staff Disciplinary Code of Conduct. Any breach of policies contained within this document or its associated documents will be dealt with in accordance with those procedures.

7. RETENTION SCHEDULES

A set of retention schedules, following the *Retention Guidelines for Local Government* drawn up by the Records Management Society will be maintained. Retention schedules applicable to individual departments will be held by Directorate Representatives and made available to service heads and individual officers as necessary.

8. TRAINING AND AWARENESS

Haringey Council recognises the importance of good records management and will implement a programme of training to ensure that all officers are aware of their duties and responsibilities in this respect.

9. MANAGEMENT AND REVIEW

Compliance with this policy will be monitored by the Records Manager in collaboration with directorate representatives and will present reports to the Management Board at agreed intervals.

This policy will be reviewed at intervals of no less than three years, or exceptionally, if required by changes in Freedom of Information, Data Protection or other relevant legislation.

Appendix 1 Key personnel

Management Board

Records Manager

Directorate Representatives