

# RECORDS MANAGEMENT POLICY

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## Records Management Policy

### 1.1 Purpose

The purpose of the Records Management Policy is to set out Community Safety Glasgow's responsibilities in relation to records management and provide a framework for the creation, maintenance, storage and disposal of public records within the Company.

Community Safety Glasgow is committed to establishing and maintaining record-keeping practices that meet its business needs, accountability requirements and stakeholder expectations.

### 1.2 Policy Statement

Community Safety Glasgow's records are a vital asset that support on-going operations and provide valuable evidence of business activities over time. The Company is committed to implementing best practice record-keeping systems to ensure that records are created, maintained, and disposed of in a managed framework, regardless of their format, and with appropriate evidential characteristics.

The Company recognises its legal requirements under the Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002. It is also committed to implementing best record-keeping practice in accordance with:

- The principles set out in the International Standard BS ISO 15489: Information and Documentation - Records Management
- The Freedom of Information (Scotland) Act 2002 Section 61 Code of Practice on Records Management
- The Model Plan and Supporting Guidance drawn up by the Keeper of Records of Scotland in respect of the Public Records (Scotland) Act 2011
- The Scottish Council on Archives Model Records Retention Schedules

### 1.3 Scope of the Policy

This policy applies to all records created by Community Safety Glasgow and its predecessor Glasgow Community & Safety Services, and to its trading companies. Contractors carrying out functions on behalf of the Company which involve the creation of public records will have obligations imposed on them in their contracts with the Company.

The Company recognises that information is held in many different formats. For the purpose of this policy, there is no difference between physical and electronic records.

This policy applies to records throughout their life, from planning and creation to disposal.

All employees are involved in creating, maintaining and using records. It is therefore vital that all staff employed by Community Safety Glasgow understand their records management responsibilities as set out in this policy.

The policy also applies to the Company's external ICT network administrators, and any contractors or consultants who may have direct access to Company records (electronic or paper) in the course of their duties.

All practices concerning record-keeping within Community Safety Glasgow are to be in accordance with this policy and any supporting policies, guidelines and procedures.

## 2. Aims and Objectives

The key objectives of the Records Management Policy are to:

- Ensure consistency in the creation and capturing of accurate, authentic and reliable records, which support business needs and evidence the Company's activities
- Implement good record keeping practice within the Company
- Ensure that records vital to the operation of the Company are identified and maintained in a safe and secure environment that enables their accurate and timely retrieval; and prevents accidental or unauthorised access, loss, alteration or destruction;
- Ensure that records of historical, cultural, educational and evidential value are identified as early as possible and are permanently preserved in Company Archives
- Ensure all records are accessible to authorised users and the information contained therein is available on request to the public unless the content is exempt under legislation.

## 3. Managing the Record-Keeping Process

Public records are the corporate memory of the Company and the cornerstone of Company accountability. A public record provides evidence of the decisions and actions of a public authority while undertaking its business activities. Community Safety Glasgow's framework for records management comprises a **Records Retention and Disposal Schedule** which will provide an accurate reflection of the record-keeping programme within the Company.

### 3.1 Record Qualities

All records created by Community Safety Glasgow staff in the course of their duties must be full and accurate to ensure the Company business is adequately documented and the resulting evidence in the form of public records is effectively managed. The Company's records must:

- Be authentic – it is what it purports to be
- Be reliable - can be trusted as a full and accurate representation of the activities
- Have integrity - complete and unaltered
- Be useable - can be located, retrieved, presented and interpreted
- Be secure – maintained to prevent unauthorised access, alteration, damage or removal.

### 3.2 Capture and Control of Records

All records created or received by staff during the course of Company business are to be captured into appropriate “recordkeeping systems”. All business applications that store records must be designed to ensure that the integrity of the records, the qualities highlighted above and their associated metadata is managed and retained for the retention period of the records.

### 3.3 Storage and Handling of Records

Records should be stored on media that ensures Company records are preserved for as long as they are required under the Records Retention and Disposal Schedule. Appropriate procedures and processes should be put in place to ensure the physical and intellectual security of Company records.

Paper files and physical items that require storage must be stored in a location which complies with guidelines on document storage covering the security, accessibility and the longevity of records stored there. On-site storage must also be compliant with the Company guidelines set out in the Records Retention and Disposal Schedule.

### 3.4 Staff Access to Records

Access to records is governed by the nature of the content, the statutory and regulatory framework within which the Community Safety Glasgow operates and the business needs and requirements of the Company. Staff must comply with policies, processes and procedures that will protect records from unauthorised access, disclosure, deletion, alteration and destruction.

### 3.5 Public Access to Records

Public access to CSG records will be in accordance with current legislation.

The CSG Publication Scheme and Information Asset List describe the type of information available to the public. Access to both the publication scheme and asset list is available on the Company website under the Freedom of Information section.

CSG will ensure that any decisions made regarding access to records under the Data Protection Act, Freedom of Information (Scotland) Act or Environmental Information Regulations (EIR) are documented so that they are consistent and can be referred to.

Managers must ensure that:

- All employees are aware of the arrangements for allowing access to certain types of information; and
- Procedures are in place to document decisions concerning access, such as the completion of authorised User Access Forms.

### 3.6 Disposal, Deletion or Destruction of Records

The lawful disposal of records is an essential and critical component of the Company's approach to records management, supporting the efficient and accountable management of public records.

Records may be disposed in two ways:

- Through the authorised destruction or deletion of records
- Retention and transfer to the Company Archives, or to a successor authority

The disposal of public records must be in accordance with the following principles of disposal

- Authorised
- Appropriate
- Secure and confidential
- Timely, and
- Documented

## 4. Compliance

Community Safety Glasgow is committed to ensuring a high level of performance of its processes and systems and therefore incorporates regular reviews and assessments of its Records Management Policy. Ensuring all systems support business needs, and comply with regulatory and accountability requirements will require regular review and assessment of:

- Record-keeping systems, procedures and practices; and
- Compliance of *all* staff members

In addition, the Company may use a process of service integrity self-assessment as a tool to monitor and review its record-keeping systems and processes. Where

appropriate, self-assessment will be augmented by external validation, internal or external audit.

Managers will ensure that employees responsible for records management have access to this policy, understand good practice in information management in general and the need for records management in particular.

## 5. Roles and Responsibilities

The Director has responsibility for records management policy and standards, and for supporting their application throughout the Company.

The Corporate Support Manager has operational responsibility for all information and records management governance, and must ensure that all of the governance, guidance and processes associated with this Policy are clearly articulated and accessible to all Community Safety Glasgow staff.

Heads of Service are responsible for the management of this policy through resource allocation, and other management support.

All staff are responsible for creating and keeping accurate and reliable records in compliance with this Policy and its supporting documentation.

## 6. Definitions

As used in this policy:

**Records management** - defined in BS ISO 15489 as 'the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records'.

**Records** - information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. Records must be authentic, reliable and useable, and capable of supporting business functions and activities for as long as they are required.

**Archives** - records identified as having long term historical significance and evidential value to be retained permanently as part of Company Archives

**Disposal** - retention and transfer to the Company Archives, or transfer to a successor authority or organisation, or authorised destruction of records

**Metadata** - data *about* data, giving details about the context, content and structure of a record. Metadata can include

- How, when and by whom a record was received, created, accessed and/or modified;

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- The format of the record; and
- The disposal details for the record.

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