



Information Assurance

**Records Management Policy**

V3.4

## Document Control

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<b>Approved by</b>	Andrew Crookham – Senior Information Risk Owner

## Version History

<b>Date</b>	<b>Version Number</b>	<b>Revision Notes</b>	<b>Author</b>
11 May 2016	V2.5	Inclusion of chapters 17 - as suggested by ICO – and 18	Massimiliano Grandi
18 May 2016	V2.6	Modification of chapter 8	David Ingham and Massimiliano Grandi
28 December 2016	V2.7	Officers with Records Management Responsibilities replace Local Records Management Officers. The tasks of the Officers with Records Management Responsibilities are specified more clearly	Massimiliano Grandi
02 March 2017	V2.8	Modification of chapter 16: "Information Security Framework Policy" replaced with "Information Security Management System"	Massimiliano Grandi
01 May 2018	V3.0	Policy refresh	Paula Jervis - Records Manager
14 February 2019	V3.1	Policy Refresh with minor amendments. SIRO details updated.	Paula Jervis – Records Manager
13 June 2019	V3.2	Policy update to reflect structure change and update SIRO details.	Paula Jervis – Records Manager
7 Apr 20	V3.3	Policy Refresh with minor amendments to 1.2 & 10.5	Paula Jervis-Chaddock – Records Manager
23 February 21	V3.4	Annual review with minor edits	Paula Jervis-Chaddock – Records Manager

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## 1. Introduction

- 1.1. Lincolnshire County Council creates records which document and support the delivery of its services. It is important therefore to ensure that these records are managed effectively and in manner which supports the council in meeting its statutory obligations.
- 1.2. This policy aims to ensure records are created, used, retained, and disposed of or transferred for permanent preservation within Lincolnshire County Council archives effectively.

## 2. Scope

- 2.1. The policy covers all records created during council business and activities.

## 3. Definitions

- 3.1. The following definitions apply:
  - 3.1.1. A **record** is information, in any format, created or received by the council to support and provide evidence of activities and transactions of business.
  - 3.1.2. **Records management** is the field of management responsible for the efficient and systematic control of records.
  - 3.1.3. **Record lifecycle** is a model used to describe the stages which a record progresses through its existence.
  - 3.1.4. A **retention and disposal schedule** details how long records need to be retained before they can be destroyed. The retention schedule is an essential part of a records lifecycle.

## 4. Roles and Responsibilities

- 4.1. The council's Records Manager is responsible for:
  - 4.1.1. The development of the records management strategy, and records management policy, procedures, and guidance.
  - 4.1.2. Conducting assessments on the application of corporate policy within the council.
  - 4.1.3. Monitoring and advising on projects relating to records management.
  - 4.1.4. Raising staff awareness, and providing advice and guidance, on matters concerning records management.
  - 4.1.5. Working in conjunction with service areas to ensure there are comprehensive and useable retention and disposal schedules.
- 4.2. Information Asset Owners are responsible for:
  - 4.2.1. Ensuring that the lifecycle of a record is maintained effectively and efficiently.

- 4.2.2. Ensuring access to records is controlled.
- 4.2.3. Ensuring the location of their records is known.
- 4.2.4. Ensuring records are used for a business purpose.
- 4.2.5. Ensuring that retention periods are updated in line with any changes to legislation or business practice.
- 4.2.6. Ensuring retention periods are applied to records and that review activity takes place
- 4.2.7. Promoting activity which aligns with this policy.
- 4.2.8. Assisting the records manager in assessments relating to their service's records.
- 4.2.9. Notifying the records manager of any concerns regarding the management of their records.

## 5. Record Lifecycle

5.1. The council will apply the following core record lifecycle:

- 5.1.1. **Creation or Receipt** – a record is created or received and will not change.
- 5.1.2. **Use and Maintain** – a record cannot be changed but is still used, is maintained and is accessed regularly i.e. at least once every 3 months.
- 5.1.3. **Transfer and Store** – a record is not accessed regular and is transferred to be securely stored in line with council retention schedules.
- 5.1.4. **Destroy or Preserve**- a record has reached the end of its retention schedule and no lawful reason exists to keep the record, it is either securely destroyed, or if it holds historical value, transferred to the archives for permanent preservation.

## 6. Records Management Principles

- 6.1. Records to document the council's principal activities are to follow the core record lifecycle.
- 6.2. Records are to be authentic, reliable, have integrity and remain useable.
- 6.3. Arrangements are to be made for the continuity and availability of records during organisational or technological change.
- 6.4. Records are to be managed in a manner which ensures the council meets its statutory obligations. Such legislation includes:
  - 6.4.1. The Public Records Act 1958 and 1967

- 6.4.2. The Data protection Act 2018
- 6.4.3. The UK General Data Protection Regulation
- 6.4.4. The Freedom of Information Act 2000
- 6.4.5. The Environmental Information Regulations 2004
- 6.4.6. The Local Government Records Act 1962
- 6.4.7. The Re-use of Public Sector Information Regulations 2015

6.5. Effective use of records as a corporate source of information shall be encouraged.

6.6. Records should be published where it is in the public interest.

6.7. Records must be anonymised if there is not a business need to retain personal data.

## **7. Create or Receive**

7.1. Records must be created in a manner which ensures their authenticity, reliability, and integrity so they can provide evidence of a transaction or activity.

7.2. Records must be received in a manner which ensures their authenticity, reliability, integrity, and usability so they can provide evidence of a transaction or activity.

## **8. Use and Maintain**

8.1. Records are to be maintained for accountability, regulatory, legal and business purposes.

8.2. Records remain in use when accessed at least once every three months.

## **9. Transfer or Store**

9.1. Electronic records must be stored in an appropriate record keeping system e.g. IMP, Mosaic.

9.2. Paper records must be stored in a manner that allows effective retrieval.

9.3. All records, regardless of format, must be stored securely and in line with Information Security policies. Access must be controlled.

9.4. Records must have identified owners; this must be identifiable by role or position.

9.5. You must avoid creating duplicate or unnecessary records.

9.6. All records must be marked with a retention and disposal date based on the business purpose of the record.

9.7. Council retention schedules are to be used to inform the most appropriate retention date.

- 9.8. Retention and disposal must also consider ongoing business need, and legal or regulatory requirements.
- 9.9. Records must be reviewed at the end of the retention period and a decision made to either continue to retain the record, with a new retention date applied, or to securely destroy it.
- 9.10. Retention past the original retention period must be supported by a clear business need.
- 9.11. Records must not be retained longer than is necessary.

## **10. Destroy or Preserve**

- 10.1. Records must not be destroyed if they are subject to legal hold.
- 10.2. Records must not be destroyed if a request for information has been received under applicable legislation e.g. freedom of information, data protection.
- 10.3. Records must not be destroyed if they hold historic value and must be transferred to the archives for permanent preservation.
- 10.4. When records are destroyed it must be done securely and in line with the council's information security policy.
- 10.5. Destruction of hardcopy records that provide evidence of decision making must be recorded within a destruction register. This also applies to records that have been identified in your locally held Service Area Information and Records Appraisal form as significant enough to record destruction. For access to the destruction register form please contact [recordsmanagement@lincolnshire.gov.uk](mailto:recordsmanagement@lincolnshire.gov.uk)
- 10.6. When destroying a record all formats of that record must be destroyed e.g. paper file, electronic record.

## **11. Further Information**

- 11.1. For further information or support please email the Records Manager at [recordsmanagement@lincolnshire.gov.uk](mailto:recordsmanagement@lincolnshire.gov.uk)
- 11.2. This Policy shall be reviewed on an annual basis.