



**BIRMINGHAM
CHILDREN'S TRUST**

Birmingham Children's Trust

Records Management Policy

If you have any enquiries about this Policy, please contact the Council Records Management buy back service on records.management@birmingham.gov.uk

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Version:	1.3
Date:	24 th January 2024
Approved by:	Head of ICT & CIO, Birmingham Children's Trust Head of Service, Quality Assurance and Performance.
Classification:	UNCLASSIFIED

CONTENTS

1 OVERVIEW AND PUBLICATION PARTICULARS3

2 INTRODUCTION3

3 THE POLICY7

4 IMPLEMENTATION OF THE POLICY8

1. OVERVIEW AND PUBLICATION PARTICULARS

Document History

Version	Date	Purpose	Aligned Policy	Author
0.1	07/02/2018	Circulation for review	BCC v4.1 – 15/09/2015	Lorna Foxall
1.0	16/03/2018	Sign off by Head of ICT & CIO and Head of Quality and Practice	BCC v4.1 – 15/09/2015	Anthony Elliott Kathryn Brooks
1.1	14/08/2018	Updated to reflect introduction of Acceptable Use Policy	BCC v4.1 – 15/09/2015	Lorna Foxall
1.2	4/9/2018	Correction of name and job title	BCC v4.1 – 15//9/2016	Tony Elliott

Document Distribution after Approval

Name	Organisation
All staff	Birmingham Children's Trust

Document Reviewers

Name	Organisation	Role
Head of ICT & CIO	Birmingham Children's Trust	Reviewer

Document Approval by Birmingham Children's Trust

Name	Organisation	Role	Date
Head of ICT & CIO	Birmingham Children's Trust	Authorising Body	20/03/2018

Review Period

This document will be reviewed at least once in every 2 years.

2. INTRODUCTION

2.1 Scope

The policy covers the management of all records of the Birmingham Children's Trust (the Trust) regardless of medium or format, including electronic records, and it is applicable to all employees of the Trust, including volunteers, consultants and partner organisations.

This scope includes, but is not limited to:

- digital – Microsoft Office documents, files held on network drives, data held in software applications, scanned records, emails, chats and posts in Teams, text messages such as WhatsApp, and social media (where applicable)
- hard copy paper files, microfiche or microfilm
- audio and video recordings, photographs, slides, and multimedia content
- building maps and plans
- websites and intranet sites that provide information to employees or members of the public
- relevant metadata (data about the context, content and structure of other records listed above)

Records shared with other organisations or held on behalf of the Trust by other organisations should be managed in accordance with Trust policy.

2.2 Overview & Purpose

Birmingham Children's Trust recognises that having accurate and relevant information is essential to effective decision making and quality customer service. As an important public asset, records require careful management and accordingly the management of records has to be considered within the context of the Trust's overall Information Assurance Plan.

The objectives of this policy are to establish and support:

- A consistent approach to and standards for records management across the Trust.
- Compliance with the legislative and regulatory framework affecting record-keeping.
- A clear governance structure for monitoring and reporting on records management.
- Awareness of records management principles and responsibilities in the Trust

Good records management is essential to ensure that the Trust can comply with its legislative responsibilities and can act as a driver for business efficiency. Effective management of records and information brings the following benefits. Good records management:

- increases efficiency by enabling better use of resources;
- improves openness and accountability;
- helps achieve and demonstrate compliance with legislative and regulatory requirements;
- enables the protection of the rights and interests of the Trust, its employees and citizens;
- supports joint working with partners and the exchange of information across the Trust;
- provides institutional memory.

Poor records and information management create risks for the Trust, such as:

- poor decisions based on inaccurate or incomplete information;
- inconsistent or poor levels of service;
- financial or legal loss if information required as evidence is not available or cannot be relied upon;
- non-compliance with statutory or other regulatory requirements;
- failure to handle confidential information with an appropriate level of security and the possibility of unauthorised access or disposal taking place;
- failure to protect information that is vital to the continued functioning of the Trust, leading to inadequate business continuity planning;
- unnecessary costs caused by storing records and other information for longer than they are needed;
- staff time wasted searching for records;
- staff time wasted considering issues that have previously been addressed and resolved;
- loss of reputation as a result of all of the above, with damaging effects on public Trust.

The purpose of this policy is to define a framework, for the management of records across the Trust, which meets the requirements of relevant legislation, codes of practice and standards, and acts as a driver for business efficiency.

The full policy framework for Records Management within Birmingham Children's Trust is:

- The Records Management Policy which sets out the Trust's commitment to managing records and high-level objectives and responsibilities within the Trust for managing records.
- The Records Management Standard which sets out the minimum expectations for management of records within the Trust and against which compliance may be monitored.

- The Trust Retention Schedule, which outlines the minimum retention periods for all records within the Trust.
- Records Management Manual which provides more detailed guidance on how to implement best practice with regard to records management and meet the Records Management Standard.

2.3 Roles and Responsibilities

Trust

- Trust Leadership are responsible for supporting the application of the records management policy and standards throughout the Trust. The SIRO is responsible for information risk within the Trust and must ensure that effective records management policies and processes are in place.

Service unit

- Assistant Directors or equivalent roles as the Trust's Information Asset Owner is responsible for implementing the policy in their areas. This should include:
- Heads of Service, Senior Managers, Departmental Heads are responsible for:
 - developing and operating records management procedures, covering both electronic and hard copy records, that comply with the records management policy and standards;
 - ensuring employees, including contractors, consultants and volunteers employed to undertake Trust business follow procedures for the management and storage of electronic and hard copy records including the development of verification procedures for monitoring compliance with procedures;
 - ensuring appropriate resources are in place to enable compliance with the records management policy and standards;
 - communicating records management procedures.
- Line managers should ensure that when a member of staff leaves, responsibility for records held on personal drives or other areas not accessible to colleagues is transferred to another member of staff; and out of date information deleted. The Line Managers MUST ensure that a Leaver's checklist has been followed.
- Commissioning Team are responsible for ensuring that third parties and partner organisations understand their obligations in receiving, handling, storing, disposing, and returning information in the course of executing their contracts and agreements.

Partnership working

- Where records are created as a result of partnership working there needs to be clearly defined responsibilities between the Trust and the partner organisation for the creation and management of records.
- Where the Trust is the lead partner:
 - the Trust's records management policy will be applicable;
 - the Trust will be responsible for the custody and ownership of the records;

Commissioned services and suppliers

- There has been an increase in the commissioning of services from external suppliers. It is important to ensure contracts place clear obligations on suppliers to manage records, created or held by external agencies, on behalf of the Trust, in accordance with the records management policy.

Project records

- Project managers are responsible for the following:
 - take responsibility for managing project information from the start to the finish of a project
 - ~~close down Teams (and private channels), ensuring that business and project~~

information is migrated to a suitable place for continuing retention

Individuals

- Trust employees, including contractors, consultants and volunteers employed to undertake Trust business, have a responsibility to document actions and decisions by creating and filing appropriate records and subsequently to maintain and dispose of those records in accordance with records management procedures.
- Apply everyday good practice to their records, including use of document control practices (naming conventions and version control), following relevant filing rules and saving emails, texts, and messages on the appropriate case management system.
- Apply the Trust's Retention Schedule to their records, so that records are kept as long as they are required and destroyed securely or transferred long-term or permanent retention.
- Arrange handover of records and knowledge transfer they hold before leaving the Trust.

2.4 Related Documents

Regulatory Environment

The regulatory environment of the Trust is influenced by many factors including statute, case law, regulations, mandatory standards of practice, voluntary codes of practice and the expectations of our stakeholders and citizens. The regulatory environment and the subsequent requirements for the management of records will be very much dependent on the nature of the business of the service area. The following list of archive and record-keeping legislation and standards is therefore not exhaustive.

Examples of legislation

- Public Records Act 1958 & 1967
- Local Government Act 1972
- Freedom of Information Act 2000
- Data Protection Act 2018
- Environmental Information Regulations 2004

Voluntary codes of best practice

- Lord Chancellor's Code of Practice on the Management of Records under Freedom of Information
- Caldicott Report (1997) and Implementing the Caldicott Standard into Social Care (HSC 2002/003)

Examples of British and International standards related to records management

- ISO 15489:2001 Records management. BS ISO/IEC27001:2013 – Information technology. Security techniques. Information Security management systems. Requirements.
- BS ISO/IEC27002:2013 – Information technology. Security techniques. Information Security management systems. Code of practice.
- BS 10008 Evidential weight and legal admissibility of electronic information – specification
- BIP 0008:2015 Code of Practice for legal admissibility and evidential weight of information stored electronically
- BS 8470:2006 Secure destruction of confidential material. Code of practice
- BS EN 15713:2009 Secure destruction of confidential material

Related Trust policies and codes of practice

- Birmingham Childrens Trust ICT & Digital Strategy
- Data Protection Policy
- Acceptable Use Policy
- Security Handbook

2.5 Performance Management

Key performance indicators will be used to monitor the performance of the service and departmental records management performance including:

- customer satisfaction surveys;
- response times in responding to enquiries;
- records retrieval and return;
- timely destruction for eligible records.

3. THE POLICY

Records Management at the Trust should achieve the following objectives:

- records necessary for business, regulatory, legal and accountability purposes should be identified and retained;
- records should be managed in a cost-effective manner that ensures value for money for the Trust;
- records should be captured into systems, manual or electronic, which enable them to be stored, retrieved, and destroyed as necessary;
- records potentially required as evidence in a legal or regulatory process should be subject to controls to ensure that their evidential value can be demonstrated, if required;

- business continuity plans should identify and safeguard vital records of the Trust and make provision for records and records management processes which are essential to the continued function and protection of the Trust in the event of a disaster;
- records should be stored in an appropriate, safe, and secure physical or electronic environment which protects against accidental loss or destruction;
- inactive records, which cannot be held safely or securely onsite should be transferred to the Trust's offsite records storage service;
- access to records should be controlled and monitored in accordance with the nature and sensitivity of the records and with regard to relevant legislation;
- records should be accessible to staff who are authorised to use them;
- records should be arranged and described in a manner which facilitates fast, accurate and comprehensive retrieval;
- provision should be made for the preservation of records to ensure they are complete, available and usable for as long as they are required;
- time expired records should be destroyed consistently in accordance with Trust retention schedules;
- records should be destroyed in a secure a manner as is necessary for the level of confidentiality with records containing confidential information being securely shredded;
- records of historical and administrative importance should be identified as archives and transferred to the Archives and Collections section for permanent retention.

4. IMPLEMENTATION OF THE POLICY

Compliance with the policy will be periodically monitored and failure to comply will be reported to the Information Assurance Group.

The approved document will be put on the Children's Trust intranet.