

## CABINET MEMBER FOR EDUCATION, CULTURE AND LEISURE SERVICES

Venue: Town Hall, Moorgate  
Street, Rotherham.

Date: Tuesday, 8 March 2005

Time: 8.45 a.m.

### A G E N D A

1. To determine if the following matters are to be considered under the categories suggested in accordance with the Local Government Act 1972.
2. To determine any item which the Chairman is of the opinion should be considered as a matter of urgency.
3. Minutes of a previous meeting (Pages 1 - 3)
4. Implementation of the Records Management Programme and Compliance with Freedom of Information Legislation (Pages 4 - 13)  
- to report details of the Implementation of the Records Management Programme

**(The Chairman authorised consideration of the following item at the meeting in order to expedite the matter referred to without delay).**

5. Nomination - Hospital Teaching and Home Tuition Service
6. Exclusion of the Press and Public  
The following item is likely to be considered in the absence of the press and public as being exempt under Paragraph 8 of Part 1 of Schedule 12A to the Local Government Act 1972:-
7. Tender Report - Sitwell Junior School (Pages 14 - 19)  
- **to seek approval to accept a tender for an extension to provide four classrooms at Sitwell Junior School**
8. Date and Time of Next Meeting

**CABINET MEMBER FOR EDUCATION, CULTURE AND LEISURE SERVICES  
TUESDAY, 15TH FEBRUARY, 2005**

Present:- Councillor Boyes (in the Chair); Councillor Littleboy.

Apologies for absence were received from Councillor Austen.

**157. LEA GOVERNOR APPOINTMENTS**

Pursuant to Minute No. C50 of January 2000, consideration was given to nominations received to fill LEA vacancies on school governing bodies.

Resolved:- That, with the effective date of appointment, the following appointments be made to school governing bodies:-

Anston Park Junior	Mrs M E Bridges JP	15/02/05
Aston Fence J&I	Mrs V Otley	15/02/05
Brinsworth Manor Infant	Mrs M Rollinson	15/02/05
Coleridge Primary	Mr D Ellum	15/02/05
Flanderwell Primary	Mrs A Myers	15/02/05
Flanderwell Primary	Mr P Jarvis	15/02/05
Kiveton Park Infant	Mr A Hanks	15/02/05
Maltby Craggs Infant	Mr A Barclay	15/02/05
Meadowhall Junior	Mrs C Bowler	
15/02/05		
Rawmarsh Rosehill Junior	Cr R Stone	15/02/05
Whiston J.& I.	Cr B Cutts	
15/02/05		
Wickersley Northfield Primary	Mrs M Crookes	15/02/05
Wickersley Northfield Primary	Mrs C Parker	15/02/05
Our Lady & St Joseph's Cath. Prim.	Mrs A Roche	
15/02/05		
Thrybergh Fullerton C.of E. Primary	Mr R Ackroyd	
15/02/05		
Wath C.of E. Primary	Mrs J Hampshire	
15/02/05		
Dinnington Comprehensive	Mrs J Burton	
15/02/05		
Dinnington Comprehensive	Mr P Wardle	
15/02/05		
Dinnington Comprehensive	Mr R Perrin	
15/02/05		
Wales High School	Mr M Green	15/02/05

**Re-appointments**

Blackburn Primary	Mr D Waller	27/03/05
Bramley Grange Primary	Mrs A Brown	27/03/05
Thorpe Hesley Infant	Mr G Brown	

27/03/05		
Thorpe Hesley Infant	Mr W J Dyer	
27/03/05		
West Melton J.& I.	Mr M Simmons	27/03/05
Wickersley School & Sports	Mrs M Oldfield	
27/03/05		
College		

All the above appointments are subject to satisfactory checks being undertaken.

**158. PROGRESS REPORT ON CULTURE, LEISURE AND LIFELONG LEARNING IMPROVEMENT ACTION PLAN AND SERVICE PLANNING**

Consideration was given to a report of the Libraries, Museums & Arts Manager on the progress made by Cultural Services following the Regular Performance Assessment (RPA) carried out by the Audit Commission in January 2004. The report also brings to Members' attention work done to date to determine strategic outcomes and target audiences for the Service Area, in line with the requirements of the Audit Commission and the revised RMBC Service Planning Guidance.

The RPA inspection of Cultural Services identified a broad range of achievements and successes and highlighted a number of areas the service should focus on in order to sustain the goal of continuous improvement.

An improvement plan was established in January 2004 and is currently in its 13<sup>th</sup> month of implementation. Progress is being made on all of the areas identified by the inspection.

The report highlights key areas for improvement and progress made, and incorporates recommendations from the Best Value Review on Sport and Leisure (August 2001) Light touch inspection on Sport and Leisure (December 2003) and Regular Performance Assessment on Cultural Services (March, 2004).

The report included the following appendices:-

- Appendix 1 - Action Plan, including current status
- Appendix 2 - Mapping exercise against key Strategy documents
- Appendix 3 - Proposed Culture and Leisure Service Strategic Outcomes and Target Communities

The majority of the improvements to date have been achieved from within current budgets. However, certain elements have required additional funding, as identified in the report now submitted.

The Audit Commission has made it clear that the Service needs to target resources more effectively on identified priority groups, and that this must

be clearly demonstrated.

The meeting referred to a range of other strategies all of which impact on service planning. These include:-

- Corporate Plan and Local Strategic Partnership priorities
- Alignment to cross-cutting issues
- Contribution to CPA/Links to inspection
- Link to Best Value Performance Indicators

This was to be the final update on the RPA which would be superseded by the new Service Plan.

Resolved:- (1) That the report be received.

(2) That the proposed Strategic Outcomes and target audiences are approved to allow the Culture and Leisure Service Plan to be prepared.

(3) That a presentation to demonstrate how Culture fits into the overall Service Plan be given at a future meeting of the Cabinet Member, Education, Culture and Leisure Services, and The Cabinet.

**159. LGA ANNUAL CULTURAL SERVICES CONFERENCE 2005 - BROADENING HORIZONS**

Consideration was given to attendance at the Annual LGA Cultural Services Conference 2005 – Broadening Horizons.

Resolved:- That one Officer be nominated to attend the above Conference to be held in London on the 17<sup>th</sup>-18<sup>th</sup> March, 2005.

<b>ROTHERHAM BOROUGH COUNCIL – REPORT TO MEMBERS</b>
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1.	<b>Meeting:</b>	<b>ECALS Cabinet Member &amp; Advisors</b>
2.	<b>Date:</b>	<b>8<sup>th</sup> March 2005</b>
3.	<b>Title:</b>	<b>Implementation of the Records Management Programme and Compliance with Freedom of Information legislation</b>
4.	<b>Programme Area:</b>	<b>ALL</b>

**5. Summary:**

Rotherham MBC is committed to the development and implementation of a Records Management programme. This commitment stems from both legislative and regulatory obligations and recognition of the need for efficient and effective conduct of Council business. More recently, this commitment has been evidenced through Cabinet, 26<sup>th</sup> January 2005, minute B137. It was resolved:

‘That the Records Management Centre should be completed and given full support as an integral part of the records management programme to be implemented across the authority’.

An essential element in the development of a Records Management programme and the Records Centre as an integral part of it is the adoption of policy governing implementation and operation.

**6. Recommendations:**

**That the Records Management Policy Statement should be approved by Cabinet and in support of that policy, the Records Management Awareness Guidance document should likewise be given approval. Together, these documents are essential to the development and implementation of a Records Management programme across the Authority.**

7. **Proposals and Details:** Rotherham MBC has recognised the necessity for a Records Management programme, both in the promotion of efficient business activity and in order to meet wider legislative obligations not least under the Local Government Act 1972 s224 and the Freedom of Information Act 2000.

The Lord Chancellor's Code of Practice on the Management of Records, issued under section 46 of the Freedom of Information Act 2000, states on policy that

6.1 'An authority should have in place an overall policy statement, endorsed by top management and made readily available to staff at all levels of the organisation, on how it manages its records, including electronic records'

and further that

6.2 'This policy statement should provide a mandate for the performance of all records and information functions'.

### **A Policy Statement for Rotherham MBC**

The Records Management Policy Statement (Annex 1) and Awareness Guidance document (Annex 2) have been circulated, considered and approved by Programme Areas. Programme Area representatives on the Records Management Group have taken responsibility for this process. At a meeting of the Records Management Group, 9<sup>th</sup> February 2005, it was agreed that the documents should go forward to Cabinet for approval.

It is now vital that the Policy Statement and Awareness Guidance document receive approval. This will facilitate the achievement of key objectives in the development and implementation of the Records Management programme:

- Compliance with the Lord Chancellor's Code of Practice
- A foundation for the implementation of a programme for the management of both paper and electronic records according to recognised professional standards
- The creation of a Records Management page on the intranet, on which the documents can be posted, linked to the Freedom of Information pages
- The basis for and finalisation of operational procedures for the Records Centre

The Policy Statement and Awareness Guidance document will be developed and made more comprehensive as the Records Management programme develops in conjunction with Programme Area representatives on the Records Management Group. Approval at this early stage is essential to that progression.

8. **Finance:** There are no direct financial implications as far as approval and adoption of the policy is concerned.
9. **Risks and Uncertainties:** Failure to put in place a Records Management Policy Statement will make implementation of a coherent and comprehensive Records Management programme across the authority extremely problematic if not impossible. In turn, this will lead to a failure to meet obligations under the Freedom of Information Act 2000.
10. **Policy and Performance Agenda Implications:** The approval of the Policy Statement and Awareness Guidance document will help facilitate the implementation of Records Management across the Authority in both paper and electronic records.
11. **Background Papers and Consultation:**

Annex 1 Rotherham MBC Records Management Policy Statement  
Annex 2 Rotherham MBC Records Management Awareness and Guidance

The Data Protection and Information Security Officer, Acting Executive Director of ECALS and Strategic Leader Culture and Leisure have approved the report.

**Contact Name:**

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Rotherham MBCA Records Management Policy Statement  
(Draft)**1. Background**

The environment in which a local government authority operates is rapidly changing. Rotherham MBC is seeking to achieve continuous improvement, the promotion of democratic open governance and a clear customer focus in the provision of services.

The business of the authority generates large quantities of records, both paper and electronic. These records form the authority's corporate memory and are a vital asset. The effective management of these records is essential to the efficient conduct of the authority's business.

A legislative framework with codes of practice and standards is in place either directly or indirectly supporting the implementation of records management in all local authorities:

- Local Government Act 1972 s224 placed a duty on all local authorities to make proper arrangements for their own documents
- Data Protection Act 1998 applying to structured paper records
- Freedom of Information Act 2000 came into force from 1<sup>st</sup> January 2005
  - The Lord Chancellor's Code of Practice on Records management under section 46 of the Act
  - Promotion of the Code of Practice by the Information Commissioner under section 48 of the Act
- British Standard PD ISO/TR 15489 Information and Documentation - Records Management, Part 1 General and part 2 Guidelines
- British Standard 7799 Information Security Management - Code of Practice for Information Security Management
- The National Archive
  - Functional Requirements for Electronic Records Management Systems

## 2. The Principles of Records Management

Records Management is concerned with the creation, maintenance, control and disposal of records generated by the authority in the course of its business activity. This concern applies to all parts of the organisations and all documentation regardless of format or media. The objective is to manage all documentation in a way that facilitates their most appropriate, efficient and effective use.

All records management programmes are based upon the concept of the 'life cycle' – a system for describing the various stages of existence through which all recorded information passes, whether in paper or electronic format. Records are current at creation and whilst in regular use. They become semi-current as their administrative value declines. When a record ceases to have administrative value, then it is dead and can be assigned for appropriate disposal.

Records management facilitates the proper transition of all records, regardless of format or media, through their 'life cycle'. A 'retention schedule' promotes the control of a series of records (common type records) by establishing appropriate periods of preservation in line with administrative needs, best practice guidelines and legislation.

## 3. Records Management for RMBC

### 3.1 Key Commitments and Objectives:

- Change Management

To work in co-operation with Programme Areas, Data Protection and Freedom of Information officers and Information Technology providers to develop an organisational culture in which the value of records, regardless of format or media is recognised.

- Training

To assess training needs in the principles and practice of records management and to provide training as required

- Retention Schedules

To undertake a functions analysis of the authority to assess the record series generated. Retention schedules should be compiled to establish how long records should be retained. The schedule can be compared against other local authorities and professional best practice guidelines

- Common Practice and Procedures

To develop and implement procedures in line with records management best practice. Focusing particularly on the creation and retention of documentation recording business transactions of the authority; appropriate and authorised access to records; tracking of records and proper audit trails; efficient storage and retrieval systems; secure disposals of records and the identification of records worthy of permanent preservation as archives.

- Records Centre

To develop a records centre in order to gain physical control of paper records in the authority. The operating procedures of the centre will underpin the implementation of the common practices and procedures.

- Electronic records

To ensure that records in all formats and media become recognised as a vital part of the corporate memory. It is essential that proper management of their creation, life cycle and retention should be put in place. This can only be achieved through collaborative working with all parties and particularly Information Technology providers.

### 3.2 Wider Responsibilities:

- The Records Manager in co-operation with appropriate officers is responsible for the development of a records management framework in the authority
- All records within a programme area / section of a programme area of the authority should have an identified 'owner' ultimately responsible for their management and proper maintenance whilst in regular use. This responsibility also includes due regard for appropriate and cost effective storage, efficiency of access and security. In particular, confidential and sensitive records should be stored and accessed appropriately.
- Programme areas should nominate contact officers to provide liaison within and between programme areas and to ensure the integration of good records management practice across the authority. There will be regular meetings of the Records Management Group as a forum for the discussion of issues

**4. Records Management Policy Development:**

- To ensure that the records management programme works in accordance with existing RMBC policies, particularly in relation to Data Protection and Information Security and Freedom of Information
- To review the records management policy in six months following the re convening of the Records Management Group and the opening of the Records Centre
- To produce the Common Practice and Procedures guidelines as soon as possible

Amended draft Version 9 February 2005

**Rotherham MBC****Records Management Awareness and Guidance****1. Background**

Recorded information, in whatever format, is vital to the business of Rotherham MBC and the provision of public services. Recorded information is therefore a vital asset and should be managed accordingly.

Good records management should be seen as a benefit, not a burden. All organisations, whether public or private, are advised to have good records management as a key objective to maximise efficiency and to ensure that information is easily retrievable and properly documented.

**2. Freedom of Information Act**

The Freedom of information Act comes fully into force in January 2005. The act places obligations on public authorities to maintain their records in accordance with the provisions of a code of practice on records management issued by the Lord Chancellor under section 46 of the Act

In order for a public body to respond to a request for information in compliance with the requirements of the Act, it will be necessary to have good records management in place and operational.

Poor records management is not of itself a breach of the act. The Act asserts that all recorded information held, wherever it is located within the public authority is potentially disclosable. If poor records management results in any of these requirements not being met, it will constitute a breach of the Act and the Information Commissioner will be able to consider using his enforcement powers

**3. Good practice in managing records**

The principles of good records management, whether you are working with paper documents or information in an electronic format are broadly the same.

A good place to start is by keeping a tidy desk and PC. The general work environment should be kept tidy and secure. The following points give some broad guidelines on good management of information:

**Good Practice with paper records:**

- Papers should be filed appropriately as soon as they are finished with

- Related paper work should be kept together to establish coherent information structures
- Papers or files obtained from a central filing system or a colleague should be returned to their place of origin as soon as they are finished with
- Where a new document is created, it should be numbered or referenced in accordance with existing office or departmental practice
- If you leave your desk for more than a few moments, ensure that sensitive or confidential papers are locked away
- Documentation should not be disposed of without proper reference to a departmental retention schedule. Always seek advice from a line manager before disposing of records. All documentation should be disposed of as confidential waste
- There should always be a clear 'audit trail' to identify where information is or what has happened to it and why
- Some material can be readily destroyed. As a general rule, the following types of material have no significant operational, informational or evidential value. They can be destroyed as soon as they have served their primary purpose.

For Example:

- Superseded address or distribution lists
- Superseded documentation such as policies, either internal or external
- Superseded internal telephone directories
- Superseded or obsolete in-house publications, manuals, forms and stationary
- Obsolete personal diaries
- Notices of meetings and other events with acceptances, apologies, descriptions of and directions to venues etc.
- External flyers, newsletters, marketing materials, catalogues and trade magazines, all printed published multiple copy material
- Obsolete requests for and confirmations of internal services such as booking of meeting rooms, allocation of parking spaces where no internal charges are made
- Working papers, where the results have been written into an official document and which are not required to support it i.e., draft notes of a meeting, written up to produce formal minutes and then submitted and authorised by the next meeting.

**Good practice in the use of your desk top PC**

- Do not disclose or allow anyone to use your passwords. Computers should be shut down at the end of the day
- All files are saved to the appropriate network drive and folder, not generally to a personal folder and never to the hard drive of a PC
- Information should be clearly 'filed' and cross referenced to ensure that related files or e-mails are identifiable and retrievable
- If you are away from your desk, ensure that sensitive or confidential material is not left on screen for anyone passing by to see. Make use of a screen saver password or shut down the computer.
- If a document is available on the network, avoid where possible the temptation to print off your own copy. This saves paper and space in filing cabinets.
- Electronic documentation should not be disposed of without proper reference to departmental retention schedules and a line manager. Routine e-mail communications past their 'sell by date' can be deleted. Deleted in this context means not still held, for example in the deleted folder in Outlook. Deleted thus means it is information that is not recoverable by the authority.
- There should always be a clear 'audit trail' to identify where information is or what has happened to it and why

**4. Policy Documents**

These broad guidelines on Records Management should be used in conjunction with relevant RMBC policy documents:

- Electronic communications Policy
- Data Protection Policy
- Information Security Policy

By virtue of paragraph(s) 8 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

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