



Records Management Policy

Title	Records Management Policy
Who should use this	All Staff
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Approved by Joint Board	N/A
Reviewer	Assessor & ERO
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Review History

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1	NEW POLICY (AND ASSOCIATED PROCEDURES) INTRODUCED TO COMPLY WITH PUBLIC RECORDS (SCOTLAND) CT 2011	OCTOBER 2015
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1. Purpose

Records Management is the systematic control of records generated by Ayrshire Valuation Joint Board to ensure optimum efficiency of storage, retrieval, disposal or preservation. The Board has a statutory responsibility under the Local Government (Scotland) Act 1994 and the Public Records (Scotland) Act 2011 to ensure that records created by the Board are properly managed. There is a particular need for a Records Management Policy in order to meet, amongst other things, the requirements of legislation such as the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998.

This Policy will, in the future, also ensure compliance with the Model Records Management Plan for Developing Records Management Arrangements Under Section 1 of The Public Records (Scotland) Act 2011.

The purpose of this Policy is to establish a framework for the creation, management and disposal of records, whatever the format, created or received by the Board.

2. Context

This Policy forms part of a number of documents designed to inform all staff about their records management responsibilities and provide practical advice on records management issues. This policy should be read in conjunction with the Board's various procedural documents for dealing with records management. Documents such as;

- Procedure for Dealing with Records Management.
- Procedure for Dealing with Vital Records.
- Procedure for Transferring Records.
- Procedure for the Disposal of Records.
- Records Retention and Disposal Schedule.
- Business Classification

3. Justification

Effective records management is essentially a matter of good business administration. It delivers significant benefits:

- a) increased administrative efficiency and effectiveness
- b) savings in administrative costs
- c) achievement of business objectives and targets
- d) retention of records for the minimum period of time
- e) accurate and timely retrieval of records

- f) retrieved when required and disposed of in line with agreed schedules
- g) identification of records of historical value for permanent retention at the earliest possible moment
- h) ensures that records are created and managed in the most appropriate medium for the task they perform
- i) ensures compliance with public access legislation such as the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998
- j) ensures compliance with the Model Records Management Plan for Developing Records Management Arrangements Under Section 1 of The Public Records (Scotland) Act 2011
- k) ensures compliance with legislation or guidelines governing the retention of local authority records.

4. Definitions

Current Records – records used regularly and frequently in the day-to-day work of the Board.

Semi-Current Records – records required for the work of the Board but referred to on an infrequent basis. Includes records that must be retained for a statutory period.

Non-Current Records – records no longer required for the work of the Board that must be retained for legal purposes and referred to very infrequently.

Archival Records – records identified as having long term historical significance and evidential value to be retained permanently as archives.

Records Survey – method to establish quantity, function, location, value, and retrieval rate of records.

Retention Schedule – compiled following records surveys to establish how long and where records should be kept.

Data Protection Act 1998 – gives individuals rights to access personal information held about them in paper or electronic format.

Freedom of Information (Scotland) Act 2002 – gives rights to individuals and organisations to request access to any information, subject to a limited range of exemptions, held by any public authority in Scotland.

5. Scope

This policy applies to all aspects of the Board's work, all records created and received during the conduct of Board business, and all information systems used to create and manage records.

This policy provides the overarching framework for any other Board records management policies, practices or procedures.

This policy has been developed with reference to relevant legislation and professional standards.

6. Policy

The aim of this Policy is to define and provide a framework for the effective management of the paper and electronic records of Ayrshire Valuation Joint Board. This framework will govern the following processes:

6.1 Current Records and Semi Current Records

- creation and capture of authentic and reliable records to ensure evidence, accountability and information regarding decisions and activities.
- participate in records surveys as required.
- distribute new or revised records management policies and procedures across the Board as required.
- ensure agreed retention schedules are adhered to.
- ensure confidential destruction of records not transferred to any other organisation.
- arrange for the transfer of non-current records to Ayrshire Archives, any other archive facility and any other external organisation.

6.2 **Non-Current Records**

- efficient, secure storage of non-current records in a cost effective and adequate storage area.
- implementing agreed retention schedules.
- initiating and implementing records surveys across the Board.
- providing advice across the Board on records management best practice.
- submitting advice on Board wide policies that impact on records management.
- facilitating confidential disposal, review, or transfer to Archives for permanent preservation, of records no longer required in accordance with retention schedules.
- protection of vital records required by the Board in order to function effectively.

7. **Retention/Disposal Schedule**

The Board has a schedule for the retention and disposal of records. The preparation and maintenance of the schedule will primarily be the responsibility of the Records Manager, with input from the Corporate Governance Forum, Management Team and various other colleagues in an effort to ensure that all of the Board's business needs are considered.

8. **Implementation**

The aims and objectives of this policy framework will be achieved by the interface of the following;

- a Procedure for Dealing with Records Management which provides practical advice on the day to day operations of the Board's Record Management Procedures
- the Records Retention and Disposal Schedule to regulate how long records should be retained
- a Vital Records Procedure to protect those records which are essential to the operation of the Board
- a Records Destruction Procedure to ensure all necessary procedures are in place to facilitate the cost effective and secure destruction of records
- a Records Transmittal Procedure to ensure the secure transfer of records to Ayrshire Archives as well as any other archive facility and any other external organization.

9. Allocation of Responsibility

The Board's Records Manager, currently the Head of Valuation Services and Assistant ERO, will report to the Assessor and Electoral Registration Officer and will be responsible for enabling and co-ordinating the development, promotion, implementation, maintenance and monitoring of records management.

All Line Managers will be responsible for supporting and monitoring staff recordkeeping practices as defined by this Policy.

All employees will be responsible for creating and maintaining authentic and reliable records in relation to their work.

10. Relevant Legislation and Standards

Legislation of relevance across the Board includes:

- Data Protection Act 1998
- Freedom of Information (Scotland) Act 2002
- BS ISO 15489:2001 International Records Management Standard
- Local Government (Scotland) Act 1994
- Public Records (Scotland) Act 2011

Specific business functions and activities within the Board may be subject to specific legislation or professional best practice.

The Board will seek to comply with relevant guidance on best practice issued from such bodies as the National Records of Scotland and the Scottish Information Commissioner.

11. Audit

The Records Manager will regularly audit Board records management practices for compliance with the Policy framework.

Audits will:

- identify areas of operation covered by this framework
- highlight areas which do not meet the requirements of this framework
- provide a mechanism to ensure relevant procedures are implemented in areas highlighted as not meeting requirements.

12. Review

The Policy will be subject to changes, with the approval of the Corporate Governance Forum, Management Team and where appropriate the Board, according to developments in records management standards and practice, Government legislation, and Board strategy.