



## **AGENDA ITEM 6**

### **CENTRAL SCOTLAND VALUATION JOINT BOARD**

**Subject: RECORDS MANAGEMENT POLICY**  
**Meeting: CENTRAL SCOTLAND VALUATION JOINT BOARD**  
**Date: 17<sup>TH</sup> FEBRUARY 2017**  
**Author: JANE WANDLESS, ASSISTANT ASSESSOR**

#### **1.0 INTRODUCTION**

Records Management is the systematic control of records generated by Central Scotland Valuation Joint Board (CSVJB) and the Assessor and ERO 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. The Records Management 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 organisation.

#### **2.0 BACKGROUND**

This Policy was considered and approved by the Management Team in February 2017.

#### **3.0 RECORDS MANAGEMENT POLICY**

A copy of the proposed Records Management Policy is attached as Appendix 1 of this report.



#### **4.0 RECOMMENDATION**

**I ask that the Board approves the new 'Records Management Policy'.**

.....  
**Assistant Assessor**

**Appendix 1 – Records Management Policy**

# Central Scotland Valuation Joint Board

## Records Management Policy

**Version Control Table**

<b>Version</b>	<b>Maintained by</b>	<b>Amendment date</b>	<b>History of changes</b>
0.1	J Wandless	06/01/2017	1 <sup>st</sup> Draft
0.2	J Wandless (Reviewed by Management Team 3 <sup>rd</sup> February, 2017)	10/02/2017	2 <sup>nd</sup> Draft

DRAFT

# CONTENTS

	<b>PAGE</b>
Statement by the Assessor & Electoral Registration Officer	4
1. General	5
2. Purpose and Scope	5
3. What is Records Management?	6
4. Why is Records Management Important?	6
5. Policy Statement and Commitment	7
6. Roles and Responsibilities	7 - 8
7. Legislation	8
8. Relation to other RVJB Policies	8
9. Training	9
10. Monitoring and Review	9

DRAFT

## Statement by the Assessor & Electoral Registration Officer

*I can confirm that it is the stated aim of Central Scotland Valuation Joint Board and the Assessor & ERO to achieve efficiency benefits through best practice applied to records management. This is intended to lead to improvements in the use of all Board resources.*

*Best Practice in records management will ensure that all information:*

- *Received or created is stored in the appropriate way and easily retrievable.*
- *It is retained, destroyed or preserved in accordance with the Board's and Assessor and ERO's Retention and Disposal Arrangements.*
- *Meets our current needs and our requirements into the foreseeable future.*
- *Is capable of enabling change when required.*
- *Is easily accessible to users and that the skills and technology are available to achieve this aim.*

*The Public Records (Scotland) Act 2011 emphasises the importance placed on records management in local authorities. It is our aim to draft and implement an effective Records Management Plan in order to meet the requirements of the Act. The Plan will be reviewed at regular intervals to ensure its effectiveness.*



**Assessor & Electoral Registration Officer**

**Date: 10<sup>th</sup> February, 2017**

## **1. General**

- 1.1 The Assessor and ERO carries out the functions of valuation of Non-Domestic properties for the purposes of the Valuation Roll; the banding of dwellings for the purposes of the Council Tax List and the Electoral Registration function for the three constituent local authorities.
- 1.2 Central Scotland Valuation Joint Board (CSVJB) and the Assessor and ERO recognise that the effective management of their records, regardless of format, is essential in order to support their core functions, to comply with legal, statutory and regulatory obligations, and to demonstrate transparency and accountability to all its stakeholders. Records are a vital information asset and a valuable resource for the organisation's decision-making processes, policy creation and operations, and must be managed effectively from the point of their creation until their ultimate disposal. Reference to 'the organisation' in the context of this policy relates to the records of both CSVJB and the Assessor & ERO.

## **2. Purpose and Scope**

- 2.1 The purpose of this policy is to demonstrate the importance of managing records effectively within the organisation, to outline key aims and objectives in relation to recordkeeping, and to act as a mandate for the support and delivery of records management policies, procedures and initiatives across the organisation.
- 2.2 This policy relates to all divisions and sectors of the organisation and all records created by its employees. It relates to the management of records as an internal, facilitating function of the organisation and covers the records created by the organisation, about its activities. It does not relate to the management of any former records that may have been transferred to an archive.
- 2.3 The policy relates to all staff. It applies to all records of the organisation regardless of format or medium, including paper, electronic, audio or visual.
- 2.4 The policy is to be read in conjunction with the Service Plan for the organisation, which details the aims, objectives and priorities for the organisation as well as the current record keeping practices in place within the organisation. Such aims include the improvement of business efficiency through less time spent searching for information, increased joined up working and improved communications across the organisation as a whole; the demonstration of compliance with statutory and regulatory recordkeeping obligations including the Public Records (Scotland) Act 2011, the Freedom of Information (Scotland) Act 2002, the UK Freedom of Information Act 2000 and the Data Protection Act 1998; and the promotion of openness, transparency, accountability and improved corporate governance.
- 2.5 The Public Records (Scotland) Act 2011 places an obligation on named authorities in Scotland to produce a records management plan which sets out their arrangements for the effective management of all records. CSVJB is a named authority as defined in the act. The creation of a records management policy statement is a mandatory element of the plan, and is necessary in order to identify the procedures to be followed in managing the organisation's public records.

### 3. What is Records Management?

- 3.1 Records management may be defined as the process whereby an organisation manages its records, whether created internally or externally and in any format or media type, from their creation or receipt, through to their destruction or permanent preservation.
- 3.2 Records management is about placing controls around each stage of a record's lifecycle, at the point of creation (through the application of relevant data relating to a record, version control and naming conventions), during maintenance and use (through the management of security and access classifications, facilities for access and tracking of records), at regular review intervals (through the application of retention and disposal criteria), and ultimate disposal (whether this be recycling, confidential destruction or transfer to an archive for permanent preservation). By placing such controls around the lifecycle of a record, we can ensure they demonstrate the key attributes of authenticity, reliability, integrity and accessibility, both now and in the future.
- 3.3 Through the effective management of the organisation's records, CSVJB and the Assessor & ERO can provide a comprehensive and accurate account of their activities and transactions. This may be achieved through the management of effective metadata as well as the maintenance of audit trail data.
- 3.4 We retain records that provide evidence of our functions, activities and transactions, for:
- **Operational Use** – to serve the purpose for which they were originally created (e.g. property records), to support our decision-making processes, to allow us to look back at decisions made previously and learn from previous successes and failure (e.g. minutes of meetings), and to protect the organisation's assets and rights (e.g. Asset Register)
  - **Internal & External Accountability** – to demonstrate transparency and accountability for all actions, to provide evidence of legislative, regulatory and statutory compliance and to demonstrate that all business is conducted in line with best practice (e.g. Policies & Procedures).

### 4. Why is Records Management Important?

- 4.1 Information and records are a valuable corporate asset without which we would be unable to carry out our functions, activities and transactions, meet the needs of our stakeholders, and ensure legislative compliance.
- 4.2 The benefits of implementing records management systems and processes include:
- Improved information sharing and the provision of quick and easy access to the right information at the right time;
  - The support and facilitation of more efficient service delivery;
  - Improved business efficiency through reduced time spent searching for information;
  - Demonstration of transparency and accountability for all actions;
  - The maintenance of a record of the transactions of the organisation;
  - The creation of better working environments and identification of opportunities for office rationalisation;
  - Risk management in terms of ensuring and demonstrating compliance with all legal, regulatory and statutory obligations;
  - The meeting of stakeholder expectations through the provision of good quality services.

## **5. Policy Statement and Commitment**

5.1 It is the policy of the organisation to maintain reliable and useable records, which are capable of supporting business functions and activities for as long as they are required. This will be achieved through the consolidation and establishment of effective records management policies and procedures, including:

- The development of a business classification scheme to reflect the functions, activities and transactions of CSVJB.
- The review and consolidation of the retention and disposal schedule to provide clear guidance regarding the management of the organisation's records.
- The review and consolidation of destruction arrangements to detail the correct procedures to follow when disposing of business information.
- The production of archive transfer arrangements in order to provide advice and guidance on how to securely transfer records to the archive, if appropriate.
- The review and consolidation of information security policies and procedures in order to protect records and systems from unauthorised access, use, disclosure, disruption, modification, or destruction.
- The review and consolidation of data protection policies in order to demonstrate the organisation's commitment to compliance with the Act and the safeguarding and fair processing of all personal data held.
- The continuing review of our business continuity arrangements, encompassing strategies to ensure that vital records held by the organisation remain accessible and that there are processes in place to monitor the integrity and usability of records
- The identification of records management as a distinct stream within the organisation's training aims, with requisite training provided to all staff.
- The completion of a self assessment review, following the implementation of the records management plan in order to ensure that the records management practices remain fit for purpose.

## **6. Roles and Responsibilities**

6.1 All staff have a responsibility to manage records effectively, through the documentation of all decisions and actions made by CSVJB and the Assessor & ERO; the effective maintenance of records throughout their lifecycle, including access, tracking and storage of records; the timely review of records and their ultimate disposal, whether this be for confidential destruction or recycling or transfer to an archive for permanent preservation.

6.2 The lead responsible officer for records management in CSVJB is the Assessor. With the support of the Assistant Assessor, they have responsibility for ensuring compliance with this records management policy.

6.3 The management team is responsible for approving a corporate approach to the management of records as defined within this policy, promoting a culture of best practice recordkeeping principles and practices in order to improve business efficiency and supporting records management through commitment and the provision of resources.

6.4 Line Managers are responsible for offering advice and guidance regarding records management to all staff within their team, highlighting any records management issues or concerns to the

Assistant Assessor and transferring any records of historical value to an archive for permanent preservation.

- 6.6 All staff are responsible for suitably maintaining all records so that they can be easily retrieved, retaining all records in line with the retention and disposal schedule, ensuring that all actions and decisions are properly recorded and adhere to this policy.
- 6.7 The Assistant Assessor is responsible for ensuring that records management practices and procedures are established in line with all legal obligations and professional standards, issuing advice and guidance to Line Managers where necessary.

## **7. Legislative Framework**

7.1 The management of the organisation's records is done so in line with the following legislative, statutory and regulatory framework. Compliance with this policy will facilitate compliance with these acts, regulations and standards.

- Public Records (Scotland) Act 2011
- Equality Act 2010
- Local Electoral Administration and Registration Services (Scotland) Act 2006
- The Environmental Information (Scotland) Regulations 2004
- Freedom of Information (Scotland) Act 2002
- Freedom of Information Act 2000
- Management of Health and Safety at Work Regulations 1999
- Human Rights Act 1998
- Data Protection Act 1998
- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
- Health and Safety at Work etc. Act 1974
- Public Records (Scotland) Act 1937

## **8. Relationship to other CSVJB Policies**

8.1 This policy forms part of CSVJB's overall framework but specifically relates to the following policies and procedures:

- Data Protection Policy
- Document Retention & Disposal Policy & Document Disposal Schedule
- Electronic Communication Policy
- Information Technology – Building Security Procedures
- Information Technology – Access to Production Systems Policy
- Information Technology – Security Incident Reporting & Management – Information Security Procedure
- Information Technology – Information Asset Disposal Policy
- Information Technology – IT System Change Control
- Information Technology – Acceptable Use Policy
- Information Technology – Mobile Device Protocol
- Information Technology – User Account Management
- Information Technology – Vulnerability Management Policy
- Information Technology – Password Policy
- Information Technology – Information Handling Policy
- Information Technology – Classification, Labelling & Handling Policy

## **9. Training**

- 9.1 Training will be provided to all staff in order to highlight and increase awareness of their responsibilities in line with data protection, freedom of information and records management. Furthermore, core competencies and key knowledge and skills required by staff with operational responsibility for records management will be clearly defined to ensure that they understand their roles and responsibilities, can offer advice and guidance, and can remain proactive in their management of recordkeeping issues and procedures within the organisation.

## **10. Monitoring & Review**

- 10.1 Compliance with this Policy and related standards and guidance will be monitored by the Assistant Assessor *in consultation with Line Managers and the Assessor*. Regular reports will be submitted to the Management Team and updates will be disseminated to all staff when required.
- 10.2 This policy will be reviewed in one year's time at which time compliance with the Public Records (Scotland) Act 2011 will also be reviewed. Further reviews of the policy will then take place at least every two years in order to take account of any new or changed legislation, regulations or business practices.

DRAFT