

**REPORT TO: TAYSIDE VALUATION JOINT BOARD – 23 NOVEMBER 2015**

**REPORT ON: RECORDS MANAGEMENT POLICY AND  
RECORDS MANAGEMENT PLAN**

**REPORT BY: ASSESSOR**

**REPORT NO: TVJB 25-2015**

## **1 PURPOSE OF REPORT**

1.1 To present to the Board the draft Records Management Policy and Records Management Plan, which are attached as appendices to this Report.

## **2 RECOMMENDATIONS**

2.1 It is recommended that the Board approve the draft Records Management Policy (Appendix 1) and draft Records Management Plan (Appendix 2) for submission to the Keeper of Records of Scotland.

## **3 FINANCIAL IMPLICATIONS**

3.1 None.

## **4 POLICY IMPLICATIONS**

4.1 This report has been screened for any policy implications in respect of Sustainability, Strategic Environmental Assessment, Anti Poverty, Equality Impact Assessment and Risk Management. There are no major issues.

## **5 BACKGROUND**

5.1 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. Tayside Valuation Joint Board is a named authority as defined in the Act. The creation of a Records Management Policy is a mandatory element of the plan.

5.2 The Public Records (Scotland) Act 2011 also requires named public authorities to submit their Records Management Policy and Records Management Plan to be agreed by the Keeper of the Records of Scotland (the Keeper). To assist authorities, the Keeper has developed and published a model plan and has provided supporting guidance on the form and content of that plan.

5.3 The Keeper has prepared a rolling programme of invitations to named public authorities under the Act inviting them to submit their Records Management Policy and Records Management Plan with a view to scrutinising and agreeing them. Tayside Valuation Joint Board has been requested to submit its Records Management Policy and Records Management Plan by 30 November 2015.

5.4 The attached draft Records Management Policy and draft Records Management Plan have been prepared on the basis of the model plan produced by the Keeper and after consultation with the Keeper on specific areas that are relevant to the Board.

**6 CONSULTATIONS**

6.1 The Clerk and Treasurer to the Joint Board have been consulted on this report.

**7 BACKGROUND PAPERS**

7.1 None.

**Alastair Kirkwood**  
**Assessor**

**November 2015**

*TAYSIDE VALUATION JOINT BOARD*



**RECORDS MANAGEMENT POLICY**

## Version Control

<b>Version</b>	<b>1.0</b>
<b>Author</b>	<b>D Allan</b>
<b>Summary of Changes</b>	Alter statement by Assessor & ERO; At 8.1 include Government Security, Classification, Handling and Disposal Policy and remove Protective marking policy and procedures; Alter 10.1
<b>Date of Approval</b>	<b>30 October 2015</b>
<b>Review Frequency</b>	<b>Annually</b>
<b>Next Review Date</b>	<b>30 October 2016</b>

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## **Statement by the Assessor & Electoral Registration Officer**

*It is the aim of Tayside Valuation Joint Board to achieve efficiency benefits through best practice applied to records management. This is intended to lead to improvements in the use of personnel and financial resources.*

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

- *Received or created is stored in the appropriate way and is easily retrievable*
- *Is retained, destroyed or preserved in accordance with the Board'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, (the Act) 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 annually to ensure its effectiveness.*

*Compliance with the Act lies with the Chair of the Governance Working Group. The working group will receive reports on compliance at each of its meetings on any relevant issues and develop any solutions necessary.*

Assessor & Electoral Registration Officer

Date 30 October 2015

***This statement provides evidence for  
Elements 1, 2 and 3 of the Board's  
Records Management Plan***

## **1.0 General**

- 1.1 The Assessor, on behalf of Tayside Valuation Joint Board (the Board), 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 Valuation List for the three constituent local authorities and the Electoral Registration function in Angus and Perth & Kinross local authority areas.
- 1.2 The Board recognises that the effective management of its records, regardless of format, is essential in order to support its 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.

## **2.0 Purpose and Scope**

- 2.1 The purpose of this policy is to demonstrate the importance of managing records effectively within the Board, 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 Board.
- 2.2 This policy relates to all divisions and sectors of the Board and all records created by its employees. It relates to the management of records as a 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 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 Board, which details the aims, objectives and priorities for the Board. Such aims require 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. The Board 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 Board's public records.

## **3.0 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 rules), 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 Effective records management enables the Board to provide a comprehensive and accurate account of its activities and transactions. This may be achieved through the management of effective metadata as well as the maintenance of audit trail data.

3.4 Additionally through effective records management the Board retains records that provide evidence of its functions, activities and transactions, for:

- **Operational Use**

Information which serves the purpose for which it was 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 Board's assets and rights (e.g. Asset Register).

- **Internal & External Accountability**

Information demonstrates transparency and accountability for all actions, provides evidence of legislative, regulatory and statutory compliance and demonstrates that all business is conducted in line with best practice (e.g. Policies and Procedures).

#### **4.0 Why is Records Management Important?**

4.1 Information and records are a valuable 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 Board
- 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

## **5.0 Policy Statement and Commitment**

5.1 It is the policy of the Board 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 the Board
- The review and consolidation of the retention and disposal schedule to provide clear guidance regarding the management of the Board'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 Board'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 Board remain accessible and that there are processes in place to monitor the integrity and usability of records
- The review of audit trail mechanisms, the potential of existing systems, and the gap which exists between current provision and best practice, in order to produce a clear strategy for improving the capture and management of key events in a record's lifecycle (e.g. creation, access, editing, destruction or preservation)
- The identification of records management as a distinct stream within the Board'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

## **6.0 Roles and Responsibilities**

6.1 All staff have a responsibility to manage records effectively, through the documentation of all decisions and actions made by the Board; 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 the Board is the Assessor who, with the support of the Depute Assessor and Chair of the Governance Working Group, will 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 in order to improve business efficiency and supporting records management through commitment and the provision of sufficient resources.
- 6.4 Assistant Assessors are responsible for offering advice and guidance regarding records management to all staff within their division; highlighting any records management issues or concerns to the Chair of the Governance Working Group 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 Chair of the Governance Working Group is responsible for ensuring that records management practices and procedures are established in line with all legal obligations and professional standards and issuing advice and guidance to Assistant Assessors where necessary.

## **7.0 Legislation**

- 7.1 The management of the Board'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
  - 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

## **8.0 Relationship to other Tayside Valuation Joint Board Policies**

- 8.1 This policy forms part of the Board's overall framework but is specifically related to the following policies and procedures:
  - Data Protection Policy
  - Retention Guidelines and Disposal Arrangements
  - Business Continuity Plan & Disaster Recovery Plan

- Information Technology – Electoral Registration Data Access and Building Security Policy
- Information Technology – Access Control Policy
- Information Technology – Security Policy
- Information Technology – Protective Monitoring Policy
- Information Technology – Security Incident & Weakness Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Information Technology – Procedure for Disposal of Media
- Government Security Classification, Handling and Disposal Policy

## **9.0 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 Board.

## **10.0 Monitoring & Review**

- 10.1 Compliance with this Policy and related standards and guidance will be monitored by the Chair of the Governance Working Group in consultation with Assistant Assessors and the Depute Assessor. Regular reports will be made at the Governance Working Group and Policy & Strategy Management Group 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.

***TAYSIDE VALUATION JOINT BOARD***



**RECORDS MANAGEMENT PLAN**

Setting out proper arrangements for the management of records under the Public Records (Scotland) Act 2011

October 2015

## Version Control

<b>Version</b>	<b>1</b>
<b>Author</b>	<b>D Allan</b>
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## 1. Introduction

The Public Records (Scotland) Act 2011 ('the Act') came fully into force in January 2013. The Act requires Tayside Valuation Joint Board (the Board) and other public authorities to prepare and implement a Records Management Plan (RMP). The RMP sets out proper arrangements for the management of records within the Board. The plan is to be agreed with the Keeper of the Records of Scotland ('the Keeper') and reviewed by the Board on an annual basis.

A copy of the Act can be viewed online at:  
[www.legislation.gov.uk/asp/2011/12/part/1/enacted](http://www.legislation.gov.uk/asp/2011/12/part/1/enacted)

More information about the Public Records (Scotland) Act 2011 can be found by visiting the National Records of Scotland website at:  
[www.nas.gov.uk/recordKeeping/publicRecordsActIntroduction.asp](http://www.nas.gov.uk/recordKeeping/publicRecordsActIntroduction.asp)

In line with the Act, all records created in the carrying out of the Board's functions (whether directly or by third parties) are public records. Part 1, section 3.1 of the Act states that:

*"public records", in relation to an authority, means—*

- (a) records created by or on behalf of the authority in carrying out its functions,*
- (b) records created by or on behalf of a contractor in carrying out the authority's functions,*
- (c) records created by any other person that have come into the possession of the authority or a contractor in carrying out the authority's functions."*

Establishing effective records management arrangements helps to deliver a number of business benefits. For example:

- efficient and systematic control of the creation, storage, retrieval, maintenance, use and disposal of records
- faster, more accurate and reliable access to records
- compliance with legislative and regulatory requirements

## **2. Records Management Plan**

The Board's RMP relates to records throughout their lifecycle, from creation and acquisition to archive and destruction. It encompasses all records across all our service areas.

The Board's RMP sets out the overarching framework based on the 14 elements of the Keeper's published Model RMP.

The 14 Elements are:

1. Senior Management responsibility
2. Records Manager responsibility
3. Records Management policy statement
4. Business classification
5. Retention schedules
6. Destruction arrangements
7. Archiving and transfer arrangements
8. Information security
9. Data Protection
10. Business continuity and vital records
11. Audit trail
12. Competency framework for records management staff
13. Assessment and review
14. Shared information

The Board has provided the Keeper with evidence of policies, procedures, guidance and operational activity on all elements of the RMP.

The RMP is effective from 1<sup>st</sup> November 2015. It will be reviewed and updated, if required, on an annual basis thereafter.

### 3. Elements of the Plan

#### Element 1: Senior Management Responsibility

***Identify a person at senior level who has overall strategic responsibility for records management***

Senior Management responsibility for records management within TVJB covered by the RMP lies with:

Assessor & Electoral Registration Officer for Angus and Perth & Kinross	Alastair Kirkwood Assessor & Electoral Registration Officer Tayside Valuation Joint Board Whitehall House 35 Yeaman Shore DUNDEE DD1 4BU
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Evidence:

Records Management Policy (including statement from Assessor)

#### **Future Development**

There is no planned development but review will be required if there is a change to the Senior Responsible Officer.

## Element 2: Operational Records Management Responsibility

***Identify an individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation***

The Depute Assessor has oversight of records management. However the Chair of the Governance Working Group is the individual answerable to senior management and has operational responsibility for records management within the Board covered by the RMP. The Chair of the Governance Working Group is:

Assistant Assessor for Angus	Donald Allan Assistant Assessor Tayside Valuation Joint Board Ravenswood New Road Forfar DD8 2ZA
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Evidence:

Records Management Policy (including statement from Assessor)

Job Description – Depute Assessor

### **Future Development**

There is no planned development but review will be required if there is a change to the Officer responsible for operational management of records.

### **Element 3: Records Management Policy Statement**

***A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stake-holders that managing records is important to the authority and serves as a mandate for the activities of the records manager***

The Records Management Policy has been revised to take into account the requirements of Public Records (Scotland) Act 2011. It is available on the Board's intranet and is publicly available on the Board's website.

The Board's commitment to establishing and maintaining effective records management is set out in the Records Management Policy which includes the signed statement below from the Assessor and Electoral Registration Officer.

*"It is the aim of Tayside Valuation Joint Board to achieve efficiency benefits through best practice applied to records management. This is intended to lead to improvements in the use of personnel and financial resources.*

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

- Received or created is stored in the appropriate way and is easily retrievable*
  
- Is retained, destroyed or preserved in accordance with the Board'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.*

*Compliance with the Act lies with the Chair of the Governance Working Group. The working group will receive reports on compliance at each of its meetings on any relevant issues and develop any solutions necessary."*

The Board also recognises the legal obligations to set out proper records management arrangements to ensure compliance with other legislation such as the Freedom of Information (Scotland) Act 2002, Data Protection Act 1998 and Local Government (Scotland) Act 1994.

The records of the Board constitute an auditable account of the authority's activities, which provides evidence of the business, actions, decisions and resulting policies formed by the Board.

Records represent a vital asset, which support the daily functions of the Board and protect the interests and rights of staff, and members of the public, who have dealings with us.

The Board uses three main types of records management systems:

- Manual Filing Systems (where it is necessary to keep paper and other physical records)
- IT applications and databases that process records for specific functions (i.e. Valuation for the purposes of Non-Domestic Rating and Council Tax and associated systems and Electoral Registration)
- Storage of electronic documents on shared drives; home drives etc.

All records management systems are subject to the records management policy, procedures, guidelines and elements of the RMP.

Metadata determining an audit trail is created for all electronic records and is readily accessed from some screens or by liaison with the IT section which carries out daily checks.

Evidence:

Records Management Policy (including statement from Assessor)

Information Technology – Security Incident & Weakness Policy

### **Future Development**

There is no planned development. However the policy is subject to annual review to ensure its suitability.

#### **Element 4: Business Classification**

***A business classification scheme describes what business activities the authority undertakes– whether alone or in partnership***

The Board maintains a Records and Disposal Arrangements schedule in accordance with the Freedom of Information (Scotland) Act 2002. This details the function; activities and transactions and forms the basis of our Business Classification Scheme.

The classification scheme is a functional model which groups related business activities and transactions which are part of the overall functions of the Board.

The business classification scheme is structured in three tiers:

Level 1: functions

Level 2: activities

Level 3: transactions

The functions, activities and transactions are detailed in the Records Retention and Disposal Arrangements Schedule.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

#### **Future Development**

The Business Classification Scheme, together with the Retention Guidelines & Disposal Arrangements and Records Retention and Disposal Arrangements Schedule, will be considered for review by the internal Governance Working Group and formally reviewed annually.

## **Element 5: Retention Schedules**

***A retention schedule is a list of records for which pre-determined disposal dates have been established***

The Records Management Policy outlines the need to detail the retention periods and subsequent disposition actions for all types of record through a retention schedule. The Records Retention and Disposal Arrangements Schedule is as an essential part of our overall Records Management Plan, ensuring that records are kept for no longer than is absolutely necessary and disposed of as appropriate.

A Records Retention and Disposal Arrangements Schedule was developed in accordance with the Freedom of Information (Scotland) Act 2002 and forms the structure for managing records within the Board.

The purpose of a Records Retention and Disposal Arrangements Schedule is to provide consistent instructions on records retention and disposal for all staff who deal with records. The Schedule underpins our Records Management programme.

The Records Retention and Disposal Arrangements Schedule establishes the types of records we need to keep, how long records are required and what is to be done with them at the end of that period.

The Retention Schedule and Disposal Arrangements Schedule covers all records, regardless of medium or format, which are created or received during the course of business.

The Schedule is considered for review at each Governance Working Group meeting and formally reviewed annually.

The difficulty in managing files on the shared drive is recognised. As part of a longer term project, work has commenced to improve the structure of the shared drive.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Screen Shots of Internal Shared Drive - Clients ([\\TVJB](#)) (Y:) drive

### **Future Development**

Rules need to be set out for the inclusion of electronic files within the structure of the shared drive and their subsequent destruction, retention or transfer to the archivist. Given current commitments and the business need to use some of the material on the shared drive in preparation for the 2017 Revaluation. This work is due for completion by 1 April 2017.

## **Element 6: Destruction Arrangements**

***It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented***

Guidance for staff has been produced on destruction arrangements for the Board's records which have reached the end of their retention period and have been identified as suitable for destruction in accordance with the Records Retention and Disposal Arrangements Schedule.

The destruction arrangements have been developed in line with the Board's Records Management Policy. Unless there are any special instructions or unique circumstances, records generally will be destroyed at the end of their retention period. Retaining any record past the mandatory retention period should be on an exception-only basis, weighing a record's potential usefulness against cost and any space limitations.

In respect of confidential paper waste, Shred-it Limited provides each of our divisional offices with an on-site shredding facility. Confidential paper waste is deposited and retained in a secure console pending disposal. Any extraordinary confidential paper waste is held in a secure location within sacks provided by Shred-it Limited for on-site shredding when Shred-it Limited next attends at each divisional office.

All paper and digital media and IT equipment is disposed of in accordance with the "Procedure for Disposal of Media". USB drives, hard-disks, DVDs and CDs shall be physically destroyed. External contractors are used for secure media disposal on a regular basis on renewal of such equipment and the following procedures are to be adopted:

- An appropriate contract must be signed by the contractor and Tayside Valuation Joint Board prior to the commencement of disposal.
- A certificate shall be returned by the contractor containing precise details of the media destroyed and the method by which the media were destroyed.

If the media are to be destroyed off the Board's premises, an appropriately secure form of transport must be used. The determination of the appropriateness of the form of transport includes consideration of the following:

- Security of the vehicle used whilst making subsequent collections from other companies prior to reaching the place of destruction.
- As agreed with contractors, media will not be left overnight parked in any vehicle.
- Secure storage of the media having reached the place of destruction and prior to actual destruction.
- All containers (sacks, bins etc.) must be secured prior to leaving the Board's premises.

Whilst awaiting destruction storage of the equipment affords a level of security no less than that when the media was in operational use. If system hardware is to be re-used, then all data and software or machine-readable media will be erased and made unrecoverable prior to reuse. If the media is to be destroyed off the Board premises then it will be ensured that suitable secure arrangements are in place in relation to transport and possible overnight storage.

All data and software on Tayside Valuation Joint Board information system hardware or machine-readable media will be erased and made unrecoverable prior to reuse within Tayside Valuation Joint Board.

All data and software on Tayside Valuation Joint Board information system hardware or machine readable media will be erased and made unrecoverable prior to release to a third party for disposal, service or repair.

A policy is in place regarding the management, including deletion of electronic record and their retention. These records are deleted in accordance with this policy and the time limits detailed in the Records Retention and Disposal Arrangements Schedule.

Evidence:

Retention Guidelines and Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Procedure for Disposal of Media

Government Security Classification, Handling and Disposal Policy

Email and Internet Guidelines

Guidance on the Management and Retention of Electronic Documents

Destruction of Confidential Waste Practice Note

Shred-It Certificate of Destruction & the Board's Record of Disposal

### **Future Development**

The internal Governance working group, in consultation with Information Technology staff, will determine solutions to the automatic destruction of records held electronically at the end of the retention period.

## **Element 7: Archiving and Transfer Arrangements**

***This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.***

The electoral register, valuation roll and valuation list are provided annually to the Archivist in each of Angus; Dundee City and Perth & Kinross Councils. However there may be corporate documents or data within files which are no longer required and which may be of interest to others into the longer term.

Guidance has been prepared for staff on Records Archiving and Transfer Arrangements.

The guidance outlines the process for transferring records which have reached the end of their life span, and which may be passed to the relevant local authority archive for long term preservation.

The archiving arrangements have been developed in line with the Records Management Policy and one of the policy's key objectives to make preservation arrangements for records of long-term worth. The Records Management Policy further outlines a commitment, which the process outlined in this document fulfils, to documenting the arrangements for destruction or archiving of records in accordance with the agreed retention schedule.

Agreements have been made with the respective local authority Archivists to enable transfer of those records identified for formal archiving.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Archiving Policy and Transfer Arrangements

Responses from Local Authority Archivists confirming arrangements

### **Future Development**

There is no planned development. However the Archiving Policy and Transfer Arrangements will be reviewed in consultation with the three relevant Archivists to ensure they remain suitable.

## **Element 8: Information Security**

***Information security is the process by which an authority protects its records and ensures they remain available It also maintains privacy where appropriate and provides for the integrity of the records***

The Board has produced an Information Technology Security Policy which summarises the security framework in place for records which fulfils the security commitments outlined in the Records Management Policy.

Securing information assets, and in particular records, will help to fulfil legislative responsibilities, safeguard the Board's reputation, ensure business continuity, optimise the management of risk and minimise the impact of security incidents.

As a key information asset, the security of all records will be managed in accordance with the Board's existing approved Information Security Policy and Standards.

Every individual with access to records is responsible for ensuring their protection.

Clerical staff have received information security awareness training and are reminded of the importance of security at intervals. Additionally all staff have been vetted to a basic level by Disclosure Scotland.

A clear desk policy is in place which requires clerical staff to clear desks of paper documents at the end of each day and all staff to store official - sensitive information securely overnight.

Procedures and processes are in place to deal with threats, risks and breaches of security.

Evidence:

Protecting Information, Level 1 'Standalone non SCORM Compliant'  
(<http://www.ocsia-nfa-elearning.org>)

Data Protection Policy

Information Technology - Access Control Policy

Information Technology - Security Policy

Information Technology – Electoral Registration Data Access and Building Security Policy

Information Technology – Protective Monitoring Policy

Information Technology – Security Incident & Weakness Policy

Information Technology – Security of IT Systems – Guidance to Staff  
Government Security Classification, Handling and Disposal Policy

### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

## **Element 9: Data Protection**

***An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998***

The Board relies on the information that it collects and holds to fulfil its aims, objectives, and obligations with reference to “performing its public functions”. Information relating directly to individuals (personal data) is an essential asset which must be properly managed in order to deliver efficient and effective services, ensure legal compliance, and to protect the Board’s reputation and image as a responsible organisation.

The Data Protection Act 1998 places obligations on organisations that use personal information and gives individuals certain rights. The Act states that those who record and use personal information must be open about how the information is used.

The Board fully endorses and adheres to the Principles of Data Protection as detailed in the Act and has an approved Data Protection Policy in place to ensure that all personal data processing, carried out on its behalf (either in-house, by contractors, by system suppliers or partner organisations) complies with data protection principles and key legislative requirements.

As a Data Controller, Tayside Valuation Joint Board is registered as such with the Information Commissioner’s Office (ICO). The Board’s Registration can be viewed on the ICO website, [www.ico.org.uk](http://www.ico.org.uk) . The Registration number is: **Z6821924**

Evidence:

Data Protection Policy

Information Technology – Security of IT Systems – Guidance to Staff

Information Technology – Security Policy

### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

## **Element 10: Business Continuity and Vital Records**

***A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority***

A Business Continuity Plan (BCP) is in place in the event of any disaster. Reference to records management arrangements, in particular vital records, is included in the plan. The internal Governance Working Group have identified vital records in the Retention and Disposal Arrangements schedule which are essential to the continuation of the service should there be a disaster.

An IT Disaster Recovery Plan (DRP) is currently in place for electronic records and the electoral registration service. Additionally there are ongoing arrangements to scan and retain essential property records digitally. New records are scanned for digital retention and scanning of existing records is in progress.

The internal Governance working group reviews BCP and DRP at each of its meetings and keeps such matters under review.

Evidence:

Governance Working Group Remit

Minute of Governance Working Group of 9 June 2015

Minute of Governance Working Group of 13 August 2015

Business Continuity Plan

IT Disaster Recovery Plan

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

### **Future Development**

There is no planned development but internal Governance working group will review the BCP and DRP at each of its meetings to ensure continuing suitability and arrange tests at least every three years of the DRP and formally review the BCP annually.

## **Element 11: Audit Trail**

***An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities***

At present, electronic systems within the authority are able to provide audit trails for electronic records. Simple logging out sheets are used for relevant paper property records in each Divisional Office.

In order to ensure it is easy for staff to find electronic files, guidance for staff on a file naming convention and version control is given in the Guidance on the Management and Retention of Electronic Documents.

Evidence:

Records Destruction Arrangements

Guidance on the Management and Retention of Electronic Documents

Archiving Policy and Transfer Arrangements

### **Future Development**

Guidance on the Management and Retention of Electronic Documents requires further consideration to give formal instruction to staff on destruction of emails and, in consultation with Information Technology staff, provide a policy statement on automatic archiving, retention and deletion of emails. The target date for completion of this exercise is 1 April 2017.

## **Element 12: Competency Framework for Records Management Staff**

***A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance***

The Records Management Policy includes objectives to improve staff understanding and knowledge of records management with information and make appropriate training available.

All staff within the Board have completed mandatory online training in Information Security Awareness and Data Protection.

Currently there is no approved framework in place which details competencies required by staff with responsibility for the records management function to effectively support business, meet corporate goals, implement best practice, ensure the organisation is accountable and comply with legislation, particularly requirements of the Public Records (Scotland) Act 2011. In the absence of suitable training relative to the size of the organisation and the nature of the records held, the individual named at Element 2 has attended National Records of Scotland events and an “RMP” Masterclass arranged by IGScotland.

Evidence:

Records Management Policy (including statement from Assessor)

Protecting Information, Level 1 ‘Standalone non SCORM Compliant’  
(<http://www.ocsia-nfa-elearning.org>)

Governance Working Group Remit

### **Future Development**

Further training opportunities for the person responsible for operational control of records management will be identified as required.

### Element 13: Assessment and Review

***Regular assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper***

The Records Management Plan, Information Management Strategy and Records Management Policy will be subject to the Board's governance, monitoring and review process. The RMP will be formally reviewed on an annual basis.

Governance over the RMP is set out in the table below.

<b>Group</b>	<b>Governance/Scrutiny Role</b>
Governance Working Group	Developing and implementing policies and procedures relating to the plan and monitoring/reporting progress  Reviewing and implementing policies, procedures and standards. Monitoring projects relating to this plan  Scrutinise and review the plan and supporting strategies, policies and progress
Policy and Strategy Management Group	Approval of the plan and associated strategies and policies

At present arrangements are in place to monitor, self-audit and report on performance on an ongoing basis the continued development and improvement of records management practice through the Governance Working Group. It has been agreed at the Policy and Strategy Management Group on 25 August 2015 that the Internal Auditor appointed in 2016 will measure our records management procedures against regulatory compliance.

Evidence:

Records Management Policy (including statement from Assessor)

Governance Working Group Remit

Minute of Policy and Strategy Management Group of 25 August 2015

### **Future Development**

It is anticipated that assessment & review by the Board's internal auditor will identify improvements to the RMP. These shall be considered and accepted where appropriate by the internal Governance working group.

#### **Element 14: Shared Information**

***Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records***

In limited circumstances the Board's information is shared with a third party. Alternatively the Board will receive confidential information from partner organisations. Appropriate agreements are entered into to ensure confidentiality of the information.

Evidence:

Information Technology - Security Policy

Minute of Agreement between Combining Assessors

Minute of Agreement between Angus Council and Tayside Valuation Joint Board (Electoral Services)

Minute of Agreement between Perth & Kinross Council and Tayside Valuation Joint Board (Electoral Services)

User Agreement between Angus Council and Tayside Valuation Joint Board (Electoral Management System)

User Agreement between Perth & Kinross Council and Tayside Valuation Joint Board (Electoral Management System)

#### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

#### **4. Contractors**

It should be noted that prospective tenderers should be aware that, as a Scottish Public Authority, the Council is bound by the provisions of the Public Contracts (Scotland) Regulations 2012.

In terms of the Public Records (Scotland) Act 2011 all public records managed by the Authority must be managed in accordance with the Records Management Plan (RMP), which has been approved by the Keeper of the Records of Scotland.

The RMP, and the guidance issued by the Keeper, indicate that certain records created by the successful tenderer(s) appointed under this tendering exercise are themselves likely to be considered as “public records” under section 3(1) of the Public Records (Scotland) Act 2011. The Council is accordingly obliged to take steps to ensure that these records will be managed properly during their operational lifetime, and that appropriate steps will be taken to ensure they are retained for a suitable period after they cease being operational (which may include identifying records for transfer to permanent archive).

## **5. List of Supporting Evidence**

### **Element 1**

- Records Management Policy (including statement from Assessor)

### **Element 2**

- Records Management Policy (including statement from Assessor)
- Job Description - Depute Assessor

### **Element 3**

- Records Management Policy (including statement from Assessor)
- Information Technology – Security Incident & Weakness Policy

### **Element 4**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule

### **Element 5**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Screen Shots of Internal Shared Drive - Clients (\\TVJB) (Y:) drive

### **Element 6**

- Retention Guidelines and Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Procedure for Disposal of Media
- Government Security Classification, Handling and Disposal Policy
- Email and Internet Guidelines
- Guidance on the Management and Retention of Electronic Documents
- Destruction of Confidential Waste Practice Note
- Shred-It Certificate of Destruction & the Board's Record of Disposal

### **Element 7**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Archiving Policy and Transfer Arrangements
- Responses from Local Authority Archivists confirming arrangements

### **Element 8**

- Protecting Information, Level 1 'Standalone non SCORM Compliant' (<http://www.ocsia-nfa-elearning.org>)
- Data Protection Policy
- Information Technology - Access Control Policy
- Information Technology - Security Policy
- Information Technology – Electoral Registration Data Access and Building Security Policy
- Information Technology – Protective Monitoring Policy
- Information Technology – Security Incident & Weakness Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Government Security Classification, Handling and Disposal Policy

### **Element 9**

- Data Protection Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Information Technology - Security Policy

### **Element 10**

- Governance Working Group Remit
- Minute of Governance Working Group of 9 June 2015
- Minute of Governance Working Group of 13 August 2015
- Business Continuity Plan
- IT Disaster Recovery Plan
- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule

### **Element 11**

- Records Retention and Disposal Arrangements Schedule
- Guidance on the Management and Retention of Electronic Documents
- Archiving Policy and Transfer Arrangements

### **Element 12**

- Records Management Policy (including statement from Assessor)
- Protecting Information, Level 1 'Standalone non SCORM Compliant' (<http://www.ocsia-nfa-elearning.org>)
- Governance Working Group Remit

**Element 13**

- Records Management Policy (including statement from Assessor)
- Governance Working Group Remit
- Minute of Policy and Strategy management Group of 25 August 2015

**Element 14**

- Information Technology - Security Policy
- Minute of Agreement between Combining Assessors
- Minute of Agreement between Angus Council and TVJB (Electoral Services)
- Minute of Agreement between Perth & Kinross Council and TVJB (Electoral Services)
- User Agreement between Angus Council and TVJB (Electoral Management System)
- User Agreement between Perth & Kinross Council and TVJB (Electoral Management System)

*TAYSIDE VALUATION JOINT BOARD*



**RECORDS MANAGEMENT POLICY**

## Version Control

<b>Version</b>	<b>1.0</b>
<b>Author</b>	<b>D Allan</b>
<b>Summary of Changes</b>	Alter statement by Assessor & ERO; At 8.1 include Government Security, Classification, Handling and Disposal Policy and remove Protective marking policy and procedures; Alter 10.1
<b>Date of Approval</b>	<b>30 October 2015</b>
<b>Review Frequency</b>	<b>Annually</b>
<b>Next Review Date</b>	<b>30 October 2016</b>

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## **Statement by the Assessor & Electoral Registration Officer**

*It is the aim of Tayside Valuation Joint Board to achieve efficiency benefits through best practice applied to records management. This is intended to lead to improvements in the use of personnel and financial resources.*

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

- *Received or created is stored in the appropriate way and is easily retrievable*
- *Is retained, destroyed or preserved in accordance with the Board'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, (the Act) 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 annually to ensure its effectiveness.*

*Compliance with the Act lies with the Chair of the Governance Working Group. The working group will receive reports on compliance at each of its meetings on any relevant issues and develop any solutions necessary.*

Assessor & Electoral Registration Officer

Date 30 October 2015

***This statement provides evidence for  
Elements 1, 2 and 3 of the Board's  
Records Management Plan***

## **1.0 General**

- 1.1 The Assessor, on behalf of Tayside Valuation Joint Board (the Board), 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 Valuation List for the three constituent local authorities and the Electoral Registration function in Angus and Perth & Kinross local authority areas.
- 1.2 The Board recognises that the effective management of its records, regardless of format, is essential in order to support its 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.

## **2.0 Purpose and Scope**

- 2.1 The purpose of this policy is to demonstrate the importance of managing records effectively within the Board, 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 Board.
- 2.2 This policy relates to all divisions and sectors of the Board and all records created by its employees. It relates to the management of records as a 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 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 Board, which details the aims, objectives and priorities for the Board. Such aims require 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. The Board 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 Board's public records.

## **3.0 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 rules), 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 Effective records management enables the Board to provide a comprehensive and accurate account of its activities and transactions. This may be achieved through the management of effective metadata as well as the maintenance of audit trail data.

3.4 Additionally through effective records management the Board retains records that provide evidence of its functions, activities and transactions, for:

- **Operational Use**

Information which serves the purpose for which it was 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 Board's assets and rights (e.g. Asset Register).

- **Internal & External Accountability**

Information demonstrates transparency and accountability for all actions, provides evidence of legislative, regulatory and statutory compliance and demonstrates that all business is conducted in line with best practice (e.g. Policies and Procedures).

#### **4.0 Why is Records Management Important?**

4.1 Information and records are a valuable 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 Board
- 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

## **5.0 Policy Statement and Commitment**

5.1 It is the policy of the Board 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 the Board
- The review and consolidation of the retention and disposal schedule to provide clear guidance regarding the management of the Board'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 Board'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 Board remain accessible and that there are processes in place to monitor the integrity and usability of records
- The review of audit trail mechanisms, the potential of existing systems, and the gap which exists between current provision and best practice, in order to produce a clear strategy for improving the capture and management of key events in a record's lifecycle (e.g. creation, access, editing, destruction or preservation)
- The identification of records management as a distinct stream within the Board'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

## **6.0 Roles and Responsibilities**

6.1 All staff have a responsibility to manage records effectively, through the documentation of all decisions and actions made by the Board; 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 the Board is the Assessor who, with the support of the Depute Assessor and Chair of the Governance Working Group, will 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 in order to improve business efficiency and supporting records management through commitment and the provision of sufficient resources.
- 6.4 Assistant Assessors are responsible for offering advice and guidance regarding records management to all staff within their division; highlighting any records management issues or concerns to the Chair of the Governance Working Group 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 Chair of the Governance Working Group is responsible for ensuring that records management practices and procedures are established in line with all legal obligations and professional standards and issuing advice and guidance to Assistant Assessors where necessary.

## **7.0 Legislation**

- 7.1 The management of the Board'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
  - 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

## **8.0 Relationship to other Tayside Valuation Joint Board Policies**

- 8.1 This policy forms part of the Board's overall framework but is specifically related to the following policies and procedures:
  - Data Protection Policy
  - Retention Guidelines and Disposal Arrangements
  - Business Continuity Plan & Disaster Recovery Plan

- Information Technology – Electoral Registration Data Access and Building Security Policy
- Information Technology – Access Control Policy
- Information Technology – Security Policy
- Information Technology – Protective Monitoring Policy
- Information Technology – Security Incident & Weakness Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Information Technology – Procedure for Disposal of Media
- Government Security Classification, Handling and Disposal Policy

## **9.0 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 Board.

## **10.0 Monitoring & Review**

- 10.1 Compliance with this Policy and related standards and guidance will be monitored by the Chair of the Governance Working Group in consultation with Assistant Assessors and the Depute Assessor. Regular reports will be made at the Governance Working Group and Policy & Strategy Management Group 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.

***TAYSIDE VALUATION JOINT BOARD***



**RECORDS MANAGEMENT PLAN**

Setting out proper arrangements for the management of records under the Public Records (Scotland) Act 2011

October 2015

## Version Control

<b>Version</b>	<b>1</b>
<b>Author</b>	<b>D Allan</b>
<b>Summary of Changes</b>	
<b>Date of Approval</b>	<b>30 October 2015</b>
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## 1. Introduction

The Public Records (Scotland) Act 2011 ('the Act') came fully into force in January 2013. The Act requires Tayside Valuation Joint Board (the Board) and other public authorities to prepare and implement a Records Management Plan (RMP). The RMP sets out proper arrangements for the management of records within the Board. The plan is to be agreed with the Keeper of the Records of Scotland ('the Keeper') and reviewed by the Board on an annual basis.

A copy of the Act can be viewed online at:  
[www.legislation.gov.uk/asp/2011/12/part/1/enacted](http://www.legislation.gov.uk/asp/2011/12/part/1/enacted)

More information about the Public Records (Scotland) Act 2011 can be found by visiting the National Records of Scotland website at:  
[www.nas.gov.uk/recordKeeping/publicRecordsActIntroduction.asp](http://www.nas.gov.uk/recordKeeping/publicRecordsActIntroduction.asp)

In line with the Act, all records created in the carrying out of the Board's functions (whether directly or by third parties) are public records. Part 1, section 3.1 of the Act states that:

*"public records", in relation to an authority, means—*

- (a) records created by or on behalf of the authority in carrying out its functions,*
- (b) records created by or on behalf of a contractor in carrying out the authority's functions,*
- (c) records created by any other person that have come into the possession of the authority or a contractor in carrying out the authority's functions."*

Establishing effective records management arrangements helps to deliver a number of business benefits. For example:

- efficient and systematic control of the creation, storage, retrieval, maintenance, use and disposal of records
- faster, more accurate and reliable access to records
- compliance with legislative and regulatory requirements

## **2. Records Management Plan**

The Board's RMP relates to records throughout their lifecycle, from creation and acquisition to archive and destruction. It encompasses all records across all our service areas.

The Board's RMP sets out the overarching framework based on the 14 elements of the Keeper's published Model RMP.

The 14 Elements are:

1. Senior Management responsibility
2. Records Manager responsibility
3. Records Management policy statement
4. Business classification
5. Retention schedules
6. Destruction arrangements
7. Archiving and transfer arrangements
8. Information security
9. Data Protection
10. Business continuity and vital records
11. Audit trail
12. Competency framework for records management staff
13. Assessment and review
14. Shared information

The Board has provided the Keeper with evidence of policies, procedures, guidance and operational activity on all elements of the RMP.

The RMP is effective from 1<sup>st</sup> November 2015. It will be reviewed and updated, if required, on an annual basis thereafter.

### 3. Elements of the Plan

#### Element 1: Senior Management Responsibility

***Identify a person at senior level who has overall strategic responsibility for records management***

Senior Management responsibility for records management within TVJB covered by the RMP lies with:

Assessor & Electoral Registration Officer for Angus and Perth & Kinross	Alastair Kirkwood Assessor & Electoral Registration Officer Tayside Valuation Joint Board Whitehall House 35 Yeaman Shore DUNDEE DD1 4BU
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Evidence:

Records Management Policy (including statement from Assessor)

#### **Future Development**

There is no planned development but review will be required if there is a change to the Senior Responsible Officer.

## Element 2: Operational Records Management Responsibility

***Identify an individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation***

The Depute Assessor has oversight of records management. However the Chair of the Governance Working Group is the individual answerable to senior management and has operational responsibility for records management within the Board covered by the RMP. The Chair of the Governance Working Group is:

Assistant Assessor for Angus	Donald Allan Assistant Assessor Tayside Valuation Joint Board Ravenswood New Road Forfar DD8 2ZA
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Evidence:

Records Management Policy (including statement from Assessor)

Job Description – Depute Assessor

### **Future Development**

There is no planned development but review will be required if there is a change to the Officer responsible for operational management of records.

### **Element 3: Records Management Policy Statement**

***A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stake-holders that managing records is important to the authority and serves as a mandate for the activities of the records manager***

The Records Management Policy has been revised to take into account the requirements of Public Records (Scotland) Act 2011. It is available on the Board's intranet and is publicly available on the Board's website.

The Board's commitment to establishing and maintaining effective records management is set out in the Records Management Policy which includes the signed statement below from the Assessor and Electoral Registration Officer.

*"It is the aim of Tayside Valuation Joint Board to achieve efficiency benefits through best practice applied to records management. This is intended to lead to improvements in the use of personnel and financial resources.*

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

- Received or created is stored in the appropriate way and is easily retrievable*
  
- Is retained, destroyed or preserved in accordance with the Board'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.*

*Compliance with the Act lies with the Chair of the Governance Working Group. The working group will receive reports on compliance at each of its meetings on any relevant issues and develop any solutions necessary."*

The Board also recognises the legal obligations to set out proper records management arrangements to ensure compliance with other legislation such as the Freedom of Information (Scotland) Act 2002, Data Protection Act 1998 and Local Government (Scotland) Act 1994.

The records of the Board constitute an auditable account of the authority's activities, which provides evidence of the business, actions, decisions and resulting policies formed by the Board.

Records represent a vital asset, which support the daily functions of the Board and protect the interests and rights of staff, and members of the public, who have dealings with us.

The Board uses three main types of records management systems:

- Manual Filing Systems (where it is necessary to keep paper and other physical records)
- IT applications and databases that process records for specific functions (i.e. Valuation for the purposes of Non-Domestic Rating and Council Tax and associated systems and Electoral Registration)
- Storage of electronic documents on shared drives; home drives etc.

All records management systems are subject to the records management policy, procedures, guidelines and elements of the RMP.

Metadata determining an audit trail is created for all electronic records and is readily accessed from some screens or by liaison with the IT section which carries out daily checks.

Evidence:

Records Management Policy (including statement from Assessor)

Information Technology – Security Incident & Weakness Policy

### **Future Development**

There is no planned development. However the policy is subject to annual review to ensure its suitability.

#### **Element 4: Business Classification**

***A business classification scheme describes what business activities the authority undertakes– whether alone or in partnership***

The Board maintains a Records and Disposal Arrangements schedule in accordance with the Freedom of Information (Scotland) Act 2002. This details the function; activities and transactions and forms the basis of our Business Classification Scheme.

The classification scheme is a functional model which groups related business activities and transactions which are part of the overall functions of the Board.

The business classification scheme is structured in three tiers:

Level 1: functions

Level 2: activities

Level 3: transactions

The functions, activities and transactions are detailed in the Records Retention and Disposal Arrangements Schedule.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

#### **Future Development**

The Business Classification Scheme, together with the Retention Guidelines & Disposal Arrangements and Records Retention and Disposal Arrangements Schedule, will be considered for review by the internal Governance Working Group and formally reviewed annually.

## **Element 5: Retention Schedules**

***A retention schedule is a list of records for which pre-determined disposal dates have been established***

The Records Management Policy outlines the need to detail the retention periods and subsequent disposition actions for all types of record through a retention schedule. The Records Retention and Disposal Arrangements Schedule is as an essential part of our overall Records Management Plan, ensuring that records are kept for no longer than is absolutely necessary and disposed of as appropriate.

A Records Retention and Disposal Arrangements Schedule was developed in accordance with the Freedom of Information (Scotland) Act 2002 and forms the structure for managing records within the Board.

The purpose of a Records Retention and Disposal Arrangements Schedule is to provide consistent instructions on records retention and disposal for all staff who deal with records. The Schedule underpins our Records Management programme.

The Records Retention and Disposal Arrangements Schedule establishes the types of records we need to keep, how long records are required and what is to be done with them at the end of that period.

The Retention Schedule and Disposal Arrangements Schedule covers all records, regardless of medium or format, which are created or received during the course of business.

The Schedule is considered for review at each Governance Working Group meeting and formally reviewed annually.

The difficulty in managing files on the shared drive is recognised. As part of a longer term project, work has commenced to improve the structure of the shared drive.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Screen Shots of Internal Shared Drive - Clients ([\\TVJB](#)) (Y:) drive

### **Future Development**

Rules need to be set out for the inclusion of electronic files within the structure of the shared drive and their subsequent destruction, retention or transfer to the archivist. Given current commitments and the business need to use some of the material on the shared drive in preparation for the 2017 Revaluation. This work is due for completion by 1 April 2017.

## **Element 6: Destruction Arrangements**

***It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented***

Guidance for staff has been produced on destruction arrangements for the Board's records which have reached the end of their retention period and have been identified as suitable for destruction in accordance with the Records Retention and Disposal Arrangements Schedule.

The destruction arrangements have been developed in line with the Board's Records Management Policy. Unless there are any special instructions or unique circumstances, records generally will be destroyed at the end of their retention period. Retaining any record past the mandatory retention period should be on an exception-only basis, weighing a record's potential usefulness against cost and any space limitations.

In respect of confidential paper waste, Shred-it Limited provides each of our divisional offices with an on-site shredding facility. Confidential paper waste is deposited and retained in a secure console pending disposal. Any extraordinary confidential paper waste is held in a secure location within sacks provided by Shred-it Limited for on-site shredding when Shred-it Limited next attends at each divisional office.

All paper and digital media and IT equipment is disposed of in accordance with the "Procedure for Disposal of Media". USB drives, hard-disks, DVDs and CDs shall be physically destroyed. External contractors are used for secure media disposal on a regular basis on renewal of such equipment and the following procedures are to be adopted:

- An appropriate contract must be signed by the contractor and Tayside Valuation Joint Board prior to the commencement of disposal.
- A certificate shall be returned by the contractor containing precise details of the media destroyed and the method by which the media were destroyed.

If the media are to be destroyed off the Board's premises, an appropriately secure form of transport must be used. The determination of the appropriateness of the form of transport includes consideration of the following:

- Security of the vehicle used whilst making subsequent collections from other companies prior to reaching the place of destruction.
- As agreed with contractors, media will not be left overnight parked in any vehicle.
- Secure storage of the media having reached the place of destruction and prior to actual destruction.
- All containers (sacks, bins etc.) must be secured prior to leaving the Board's premises.

Whilst awaiting destruction storage of the equipment affords a level of security no less than that when the media was in operational use. If system hardware is to be re-used, then all data and software or machine-readable media will be erased and made unrecoverable prior to reuse. If the media is to be destroyed off the Board premises then it will be ensured that suitable secure arrangements are in place in relation to transport and possible overnight storage.

All data and software on Tayside Valuation Joint Board information system hardware or machine-readable media will be erased and made unrecoverable prior to reuse within Tayside Valuation Joint Board.

All data and software on Tayside Valuation Joint Board information system hardware or machine readable media will be erased and made unrecoverable prior to release to a third party for disposal, service or repair.

A policy is in place regarding the management, including deletion of electronic record and their retention. These records are deleted in accordance with this policy and the time limits detailed in the Records Retention and Disposal Arrangements Schedule.

Evidence:

Retention Guidelines and Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Procedure for Disposal of Media

Government Security Classification, Handling and Disposal Policy

Email and Internet Guidelines

Guidance on the Management and Retention of Electronic Documents

Destruction of Confidential Waste Practice Note

Shred-It Certificate of Destruction & the Board's Record of Disposal

### **Future Development**

The internal Governance working group, in consultation with Information Technology staff, will determine solutions to the automatic destruction of records held electronically at the end of the retention period.

## **Element 7: Archiving and Transfer Arrangements**

***This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.***

The electoral register, valuation roll and valuation list are provided annually to the Archivist in each of Angus; Dundee City and Perth & Kinross Councils. However there may be corporate documents or data within files which are no longer required and which may be of interest to others into the longer term.

Guidance has been prepared for staff on Records Archiving and Transfer Arrangements.

The guidance outlines the process for transferring records which have reached the end of their life span, and which may be passed to the relevant local authority archive for long term preservation.

The archiving arrangements have been developed in line with the Records Management Policy and one of the policy's key objectives to make preservation arrangements for records of long-term worth. The Records Management Policy further outlines a commitment, which the process outlined in this document fulfils, to documenting the arrangements for destruction or archiving of records in accordance with the agreed retention schedule.

Agreements have been made with the respective local authority Archivists to enable transfer of those records identified for formal archiving.

Evidence:

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

Archiving Policy and Transfer Arrangements

Responses from Local Authority Archivists confirming arrangements

### **Future Development**

There is no planned development. However the Archiving Policy and Transfer Arrangements will be reviewed in consultation with the three relevant Archivists to ensure they remain suitable.

## **Element 8: Information Security**

***Information security is the process by which an authority protects its records and ensures they remain available It also maintains privacy where appropriate and provides for the integrity of the records***

The Board has produced an Information Technology Security Policy which summarises the security framework in place for records which fulfils the security commitments outlined in the Records Management Policy.

Securing information assets, and in particular records, will help to fulfil legislative responsibilities, safeguard the Board's reputation, ensure business continuity, optimise the management of risk and minimise the impact of security incidents.

As a key information asset, the security of all records will be managed in accordance with the Board's existing approved Information Security Policy and Standards.

Every individual with access to records is responsible for ensuring their protection.

Clerical staff have received information security awareness training and are reminded of the importance of security at intervals. Additionally all staff have been vetted to a basic level by Disclosure Scotland.

A clear desk policy is in place which requires clerical staff to clear desks of paper documents at the end of each day and all staff to store official - sensitive information securely overnight.

Procedures and processes are in place to deal with threats, risks and breaches of security.

Evidence:

Protecting Information, Level 1 'Standalone non SCORM Compliant'  
(<http://www.ocsia-nfa-elearning.org>)

Data Protection Policy

Information Technology - Access Control Policy

Information Technology - Security Policy

Information Technology – Electoral Registration Data Access and Building Security Policy

Information Technology – Protective Monitoring Policy

Information Technology – Security Incident & Weakness Policy

Information Technology – Security of IT Systems – Guidance to Staff  
Government Security Classification, Handling and Disposal Policy

### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

## **Element 9: Data Protection**

***An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998***

The Board relies on the information that it collects and holds to fulfil its aims, objectives, and obligations with reference to “performing its public functions”. Information relating directly to individuals (personal data) is an essential asset which must be properly managed in order to deliver efficient and effective services, ensure legal compliance, and to protect the Board’s reputation and image as a responsible organisation.

The Data Protection Act 1998 places obligations on organisations that use personal information and gives individuals certain rights. The Act states that those who record and use personal information must be open about how the information is used.

The Board fully endorses and adheres to the Principles of Data Protection as detailed in the Act and has an approved Data Protection Policy in place to ensure that all personal data processing, carried out on its behalf (either in-house, by contractors, by system suppliers or partner organisations) complies with data protection principles and key legislative requirements.

As a Data Controller, Tayside Valuation Joint Board is registered as such with the Information Commissioner’s Office (ICO). The Board’s Registration can be viewed on the ICO website, [www.ico.org.uk](http://www.ico.org.uk) . The Registration number is: **Z6821924**

Evidence:

Data Protection Policy

Information Technology – Security of IT Systems – Guidance to Staff

Information Technology – Security Policy

### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

## **Element 10: Business Continuity and Vital Records**

***A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority***

A Business Continuity Plan (BCP) is in place in the event of any disaster. Reference to records management arrangements, in particular vital records, is included in the plan. The internal Governance Working Group have identified vital records in the Retention and Disposal Arrangements schedule which are essential to the continuation of the service should there be a disaster.

An IT Disaster Recovery Plan (DRP) is currently in place for electronic records and the electoral registration service. Additionally there are ongoing arrangements to scan and retain essential property records digitally. New records are scanned for digital retention and scanning of existing records is in progress.

The internal Governance working group reviews BCP and DRP at each of its meetings and keeps such matters under review.

Evidence:

Governance Working Group Remit

Minute of Governance Working Group of 9 June 2015

Minute of Governance Working Group of 13 August 2015

Business Continuity Plan

IT Disaster Recovery Plan

Retention Guidelines & Disposal Arrangements

Records Retention and Disposal Arrangements Schedule

### **Future Development**

There is no planned development but internal Governance working group will review the BCP and DRP at each of its meetings to ensure continuing suitability and arrange tests at least every three years of the DRP and formally review the BCP annually.

## **Element 11: Audit Trail**

***An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities***

At present, electronic systems within the authority are able to provide audit trails for electronic records. Simple logging out sheets are used for relevant paper property records in each Divisional Office.

In order to ensure it is easy for staff to find electronic files, guidance for staff on a file naming convention and version control is given in the Guidance on the Management and Retention of Electronic Documents.

Evidence:

Records Destruction Arrangements

Guidance on the Management and Retention of Electronic Documents

Archiving Policy and Transfer Arrangements

### **Future Development**

Guidance on the Management and Retention of Electronic Documents requires further consideration to give formal instruction to staff on destruction of emails and, in consultation with Information Technology staff, provide a policy statement on automatic archiving, retention and deletion of emails. The target date for completion of this exercise is 1 April 2017.

## **Element 12: Competency Framework for Records Management Staff**

***A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance***

The Records Management Policy includes objectives to improve staff understanding and knowledge of records management with information and make appropriate training available.

All staff within the Board have completed mandatory online training in Information Security Awareness and Data Protection.

Currently there is no approved framework in place which details competencies required by staff with responsibility for the records management function to effectively support business, meet corporate goals, implement best practice, ensure the organisation is accountable and comply with legislation, particularly requirements of the Public Records (Scotland) Act 2011. In the absence of suitable training relative to the size of the organisation and the nature of the records held, the individual named at Element 2 has attended National Records of Scotland events and an “RMP” Masterclass arranged by IGScotland.

Evidence:

Records Management Policy (including statement from Assessor)

Protecting Information, Level 1 ‘Standalone non SCORM Compliant’  
(<http://www.ocsia-nfa-elearning.org>)

Governance Working Group Remit

### **Future Development**

Further training opportunities for the person responsible for operational control of records management will be identified as required.

### Element 13: Assessment and Review

***Regular assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper***

The Records Management Plan, Information Management Strategy and Records Management Policy will be subject to the Board's governance, monitoring and review process. The RMP will be formally reviewed on an annual basis.

Governance over the RMP is set out in the table below.

<b>Group</b>	<b>Governance/Scrutiny Role</b>
Governance Working Group	Developing and implementing policies and procedures relating to the plan and monitoring/reporting progress  Reviewing and implementing policies, procedures and standards. Monitoring projects relating to this plan  Scrutinise and review the plan and supporting strategies, policies and progress
Policy and Strategy Management Group	Approval of the plan and associated strategies and policies

At present arrangements are in place to monitor, self-audit and report on performance on an ongoing basis the continued development and improvement of records management practice through the Governance Working Group. It has been agreed at the Policy and Strategy Management Group on 25 August 2015 that the Internal Auditor appointed in 2016 will measure our records management procedures against regulatory compliance.

Evidence:

Records Management Policy (including statement from Assessor)

Governance Working Group Remit

Minute of Policy and Strategy Management Group of 25 August 2015

### **Future Development**

It is anticipated that assessment & review by the Board's internal auditor will identify improvements to the RMP. These shall be considered and accepted where appropriate by the internal Governance working group.

#### **Element 14: Shared Information**

***Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records***

In limited circumstances the Board's information is shared with a third party. Alternatively the Board will receive confidential information from partner organisations. Appropriate agreements are entered into to ensure confidentiality of the information.

Evidence:

Information Technology - Security Policy

Minute of Agreement between Combining Assessors

Minute of Agreement between Angus Council and Tayside Valuation Joint Board (Electoral Services)

Minute of Agreement between Perth & Kinross Council and Tayside Valuation Joint Board (Electoral Services)

User Agreement between Angus Council and Tayside Valuation Joint Board (Electoral Management System)

User Agreement between Perth & Kinross Council and Tayside Valuation Joint Board (Electoral Management System)

#### **Future Development**

There is no planned development but the evidence will be regularly reviewed to ensure continuing suitability.

#### **4. Contractors**

It should be noted that prospective tenderers should be aware that, as a Scottish Public Authority, the Council is bound by the provisions of the Public Contracts (Scotland) Regulations 2012.

In terms of the Public Records (Scotland) Act 2011 all public records managed by the Authority must be managed in accordance with the Records Management Plan (RMP), which has been approved by the Keeper of the Records of Scotland.

The RMP, and the guidance issued by the Keeper, indicate that certain records created by the successful tenderer(s) appointed under this tendering exercise are themselves likely to be considered as “public records” under section 3(1) of the Public Records (Scotland) Act 2011. The Council is accordingly obliged to take steps to ensure that these records will be managed properly during their operational lifetime, and that appropriate steps will be taken to ensure they are retained for a suitable period after they cease being operational (which may include identifying records for transfer to permanent archive).

## **5. List of Supporting Evidence**

### **Element 1**

- Records Management Policy (including statement from Assessor)

### **Element 2**

- Records Management Policy (including statement from Assessor)
- Job Description - Depute Assessor

### **Element 3**

- Records Management Policy (including statement from Assessor)
- Information Technology – Security Incident & Weakness Policy

### **Element 4**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule

### **Element 5**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Screen Shots of Internal Shared Drive - Clients (\\TVJB) (Y:) drive

### **Element 6**

- Retention Guidelines and Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Procedure for Disposal of Media
- Government Security Classification, Handling and Disposal Policy
- Email and Internet Guidelines
- Guidance on the Management and Retention of Electronic Documents
- Destruction of Confidential Waste Practice Note
- Shred-It Certificate of Destruction & the Board's Record of Disposal

### **Element 7**

- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule
- Archiving Policy and Transfer Arrangements
- Responses from Local Authority Archivists confirming arrangements

### **Element 8**

- Protecting Information, Level 1 'Standalone non SCORM Compliant' (<http://www.ocsia-nfa-elearning.org>)
- Data Protection Policy
- Information Technology - Access Control Policy
- Information Technology - Security Policy
- Information Technology – Electoral Registration Data Access and Building Security Policy
- Information Technology – Protective Monitoring Policy
- Information Technology – Security Incident & Weakness Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Government Security Classification, Handling and Disposal Policy

### **Element 9**

- Data Protection Policy
- Information Technology – Security of IT Systems – Guidance to Staff
- Information Technology - Security Policy

### **Element 10**

- Governance Working Group Remit
- Minute of Governance Working Group of 9 June 2015
- Minute of Governance Working Group of 13 August 2015
- Business Continuity Plan
- IT Disaster Recovery Plan
- Retention Guidelines & Disposal Arrangements
- Records Retention and Disposal Arrangements Schedule

### **Element 11**

- Records Retention and Disposal Arrangements Schedule
- Guidance on the Management and Retention of Electronic Documents
- Archiving Policy and Transfer Arrangements

### **Element 12**

- Records Management Policy (including statement from Assessor)
- Protecting Information, Level 1 'Standalone non SCORM Compliant' (<http://www.ocsia-nfa-elearning.org>)
- Governance Working Group Remit

**Element 13**

- Records Management Policy (including statement from Assessor)
- Governance Working Group Remit
- Minute of Policy and Strategy management Group of 25 August 2015

**Element 14**

- Information Technology - Security Policy
- Minute of Agreement between Combining Assessors
- Minute of Agreement between Angus Council and TVJB (Electoral Services)
- Minute of Agreement between Perth & Kinross Council and TVJB (Electoral Services)
- User Agreement between Angus Council and TVJB (Electoral Management System)
- User Agreement between Perth & Kinross Council and TVJB (Electoral Management System)