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<b>Report To:</b>	<b>Policy &amp; Resources Committee</b>	<b>Date:</b>	<b>19<sup>th</sup> May 2015</b>
<b>Report By:</b>	<b>Corporate Director Inverclyde HSCP</b>	<b>Report No:</b>	<b>SW/09/2015/BM</b>
<b>Contact Officer:</b>	<b>Dean Robinson Information Governance Officer</b>	<b>Contact No:</b>	<b>01475 712136</b>
<b>Subject:</b>	<b>UPDATED POLICY FOR THE RETENTION AND DISPOSAL OF DOCUMENTS AND RECORDS PAPER AND ELECTRONIC</b>		

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## **1.0 PURPOSE**

- 1.1 The purpose of this report is to seek approval of the updated Policy for the Retention and Disposal of Documents and Records Paper and Electronic.

## **2.0 SUMMARY**

- 2.1 The Policy outlines the minimum retention periods for all records within the Council, and a tool to assist in determining whether a record should be archived or securely destroyed once the record is no longer in active use. The Policy serves as a retention and disposal guide for services i.e. what records they can legitimately be disposed of and instructions for transferring records to storage.
- 2.2 Since the last report to Committee in November 2012, the Policy has been updated to reflect any changes in legislation and suggested statutory retention periods in the schedules produced by the Scottish Council on Archives Records Retention Schedules (SCARRS) and national guidance in respect of social work services.
- 2.3 In preparation for submission of our Records Management Plan and duties under the Public Records (Scotland) Act, the Council will be implementing a work plan to reduce its volume of hard copy records and to have in place arrangements for archiving and transfer.

It is anticipated that this will bring considerable benefits for the Council including the streamlining of business processes and a reduction in both the staff time and physical space needed for managing records. The Information Governance Officer (IGO), through the Records Management Working Group, will be leading on the work plan.

## **3.0 RECOMMENDATIONS**

- 3.1 That the Committee
- a) Approve the updated Policy for the Retention and Disposal of Documents and Records Paper and Electronic.
  - b) Agree that the Corporate Director HSCP, through the Information Governance Steering Group, submit a further report on the progress of its implementation on an annual basis.

**Brian Moore**  
**Corporate Director**  
**IHSCP**

## **4.0 BACKGROUND**

- 4.1 Records Management seeks to efficiently and systematically control the creation, use maintenance and final disposition of the records which are routinely created as a result of an organisation's activities and transactions.

It is based on the principles of regular review and controlled retention or destruction with the general aim of ensuring cost-effective business processes, legal and regulatory compliance and corporate accountability.

- 4.2 The recently revised public records legislation, the Public Records (Scotland) Act 2011 improves the management and practice of record keeping and the information they contain. The legislation aims to improve accountability and transparency, strengthen governance and support the national outcome of better public services.
- 4.3 The Freedom of Information (Scotland) Act 2002 (FOISA) is aimed at increasing organisational openness and accountability and encouraging good corporate governance. The FOI(S)A gives the public extensive rights of access to all forms of recorded information held by public bodies and lays down stringent requirements for responding to such requests.

Good Records Management will help to ensure that:

- Only the right information is created in the first place
  - Information is kept as long as is necessary and no longer
  - Information can be located and retrieved in a timely and controlled manner
  - Information is secure
- 4.4 The controlled management of records is also vital for ensuring legal compliance in many other areas beyond the requirements of the FOISA. For example, the Data Protection Act 1998 states that personal data "shall not be kept for longer than is necessary for that purpose or those purposes" – a requirement which is all but impossible to meet if an organisation is unable to adequately manage the retention of the records that store such data.
- 4.5 The effective management of records ensures that sound decisions can be made based on full, accurate and up-to-date information, as well as ensuring that the rationale for and the impact of those decisions can be traced, scrutinised and justified as necessary.
- 4.6 An increasing emphasis is being placed on all organisations being able to demonstrate high standards of good corporate governance through the quality of the records they keep.
- 4.7 There is therefore a clear need for a more systematic and organised approach to Records Management to be adopted at Inverclyde Council.
- 4.8 The Council has recognised that records management is a priority for the Council and the updated Policy for the Retention and Disposal of Records Paper and Electronic has been prepared by the Information Governance Steering Group and is attached as an appendix to this report.

## **5.0 IMPLICATIONS**

### **Finance**

- 5.1 Directorates will contain any implementation costs within their own budgets.

### **Legal**

- 5.2 The Policy for the Retention and Disposal of Documents and Records Paper and Electronic will bring processes in line with regulatory and legislative requirements where applicable.

## Human Resources

- 5.3 The Policy itself does not have any personnel issues however its implementation may have.

## Equalities

- 5.4 None at this time, although recognition will be given to the wider and associate equalities agenda.

Has an Equality Impact Assessment been carried out?

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YES (see attached appendix)

NO - This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

## Repopulation

- 5.5 None.

## 6.0 CONSULTATIONS

- 6.1 Extensive consultation took place with relevant officers who form part of the Information Governance Steering Group.

## 7.0 LIST OF BACKGROUND PAPERS

- 7.1 Policy & Resources Committee Report 13<sup>th</sup> November 2012 - Draft Policy for the Retention and Disposal of Documents and Records.