6   I.T.
6.4   Records Management Policy

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Revision date	Previous revision date	Summary of Changes	Changes marked
June 2010	n/a	First formal issue	

Approvals   *This document requires the following approvals:*

Title	Date of Meeting	Version
National Park Authority	9 April 2010	V 1.0
Corporate Management Team	24 March 2010	V 1.0
Staff Management Forum	23 June 2010	V 1.0

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Related Policies   *All other policies in section 6 of Signpost, specifically:*

Data protection policy
Data Protection - use of photographs
Data Protection – HR Records

6	I.T. 6.4 Records Management Policy

This section covers:

- Introduction
- Scope
- Identification of roles and responsibilities
- Record creation and record keeping
- Record maintenance
- Record retention and disposal
- Access
- Performance measurement
- Principle of digital creation and storage
- Review of policy
- Appendix 1 – Standards and legislation
- Appendix 2 – Record retention and disposal

Introduction

Brecon Beacons National Park Authority recognises that its records are an important public asset, and are a key resource to effective operation and to accountability. Like any asset, they require careful management and this policy sets out the Authority's responsibilities and activities in regard to the management of its records. It provides the framework for specific departmental and service guidance and detailed operating procedures.

Scope

This policy applies to all members and employees of the Authority including contractors, volunteers and any other agent acting on the Authority's behalf.

This policy aims to ensure that records are managed effectively throughout the organisation in accordance with professional principles and specified legislation and guidelines (see appendix 1). It applies to all the records of The Authority.

A *record* is any recorded information regardless of medium (including paper, microform, electronic, audio-visual and record copies of publications), which is created, collected, processed, used, stored and/or disposed of by National Park Authority, as well as those acting as its agents in the course of a Brecon Beacons National Park Authority activity.

This policy will be made publicly available under the Authorities Publications Scheme.

Policy Statement

The aim of the policy is to define a framework for managing the National Park Authority's records to ensure that the Authority:

- Creates and captures authentic and reliable records to demonstrate evidence, accountability and information about its decisions and activities
- Facilitates auditing and protects our legal and other rights
- Maintains records securely and preserves access to them
- Enables easy and comprehensive search and retrieval of records
- Disposes appropriately of records that are no longer required (see appendix 2)
- Protects vital records, which it needs to order to function effectively
- Maintains records to meet the authority's business needs
- Addresses the needs of the authority's stakeholders, including the public, employees and members
- Conforms to any legal and statutory requirements relating to record-keeping
- Complies with government directives

Identification of roles and responsibilities

The National Park Authority has approved this framework for managing and overseeing duties in relation to records management as set out in this policy. It has been reviewed and agreed by the Staff Management Forum with appropriate consultation.

Corporate Management Team	will provide and ensure compliance with Data Protection and Freedom of Information in respect of all records management practices.
Heads of Department	are responsible for the management of their records in accordance with this policy, establishing suitable protocols, procedures and systems, ensuring that all staff are aware of record keeping issues, and will ensure that staff with specific responsibilities for records management will have these clearly defined in their job descriptions.
All employees	will be responsible for creating and maintaining records in relation to their work that are authentic, reliable and in accordance with established protocols and procedures.
	Since all Brecon Beacons National Park Authority employees are involved in creating, maintaining and using records it is vital that everyone understands their record management responsibilities as set out in this policy. Heads of Service will ensure that staff responsible for managing records are appropriately trained or experienced and that all staff understand the need for records management.
Training	Training will be delivered to ensure that all staff are aware of

their obligations around Data Protection, Freedom of Information and Records Management.

Records Creation and Record Keeping

All Sections

Each section must have in place a record keeping system (paper or electronic) that documents its activities and provides for quick and easy retrieval of information. It must also take into account the legal and regulatory environment specific to their area of work. This system will include:

- Records arranged and indexed in such a way that they can be retrieved quickly and efficiently.
- Records are linked with the Authority's Freedom of Information Publication Scheme.
- Procedures and guidelines for referencing, titling, indexing and version control and security marking.
- Procedures for keeping the system updated.
- The ability to cross reference electronic and paper records.
- Documentation of this system and guidelines on how to use it.

Record Maintenance

All Sections

The record keeping system must be maintained so that the records are properly stored and protected, and can easily be located and retrieved.
This will include:

- Ensuring that adequate storage accommodation is provided for the records.
- Monitoring the movement and location of records so that they can be easily retrieved and provide an audit trail.
- Controlling access to the information.
- Identifying vital records and applying the appropriate protection, including a business recovery plan.
- Ensuring non-current records are transferred in a controlled manner to a designated records centre rather than stored in offices.

Record Retention and Disposal

All Sections

With increasing public access to our records, it is important that disposal of records happens as part of a managed process and is adequately documented. Therefore, Heads of Service must have in place clearly defined arrangements for the appraisal and selection of records for disposal, and for documenting this work.

The system should ensure that:

- The appropriate records are reviewed and disposed of each year in accordance with the Retention Guidelines for Local Authorities produced by the Records

Management Society of Great Britain, specific service requirements and Brecon Beacons National Park Authority procedures for destroying confidential material and magnetic media.

- Documentation of the disposal/transfer of records is completed and retained.
- An intended disposal/review date must be captured when creating electronic records.
- Records subject to a Freedom of Information request are not destroyed. (It is a criminal offence to conceal or destroy information if this is done with the intention of preventing disclosure under either FOI or EIR. The offence is set out in Section 77 of FOIA and regulation 19 of EIR. Individual employees can be guilty of this offence as well as the Authority.)

In order to support this work a centralised secure document disposal service is available through the Corporate Services Officer. This should only be used for confidential items.

Access

All sections

The Brecon Beacons National Park Authority will ensure that decisions regarding access to the records are documented so that they are consistent, and can be explained and referred to. Heads of Service must ensure that:

- All staff are aware of the arrangements for allowing access to certain types of information.
- Procedures are in place to document decisions concerning access.

Performance Measurement

All sections

Appropriate work targets and measures will be agreed in Performance Management Reviews.

Performance indicators will include:

- Response time in providing information from the records or retrieving the records themselves.
- Selective audit of departmental records.
- User satisfaction percentages.

Principle of Digital Creation and Storage

All sections

The Brecon Beacons National Park Authority recognises that digital record keeping is more sustainable and secure and that digital media offer the benefits of easier storage, indexing, search and retrieval.   In this light the Authority has adopted a principle whereby wherever possible records should be created and stored in digital form. Furthermore existing paper records that are required to be retained for a period of at least 2 years should be digitised and then destroyed whenever possible.

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Review of Policy

This policy will be reviewed annually.

Appendix 1: Standards and Legislation

Archive and Record-Keeping legislation [1]

- Local Government (Records) Act 1962
- Local Government Act 1972
- Local Government (Access to Information) Act 1985
- Freedom of Information Act 2000
- Lord Chancellor's Code of Practice on The Management of Records Under Section 46 of the Freedom of Information Act 2000. November 2002, Revised and reissued July 2009

Records Management Standards and guidelines British Standards (BSI)

- BS 4783 Storage, transportation and maintenance of media for use in data processing and information storage
- BS 7799 Code of practice for information security management
- BS ISO 15489 Information and Documentation - Records Management
- BSI DISC PD 0008 Code of practice for legal admissibility and evidential weight of information stored on electronic document management systems
- BSI DISC PD0010 Principles of good practice for information management
- BSI DISC PD0012 Guide to the practical implications of the Data Protection Act 1998
- Public Record Office advice and guidance for the management of public records
- Retention Guidelines for Local Authorities (2003:1) by the Local Government Group of the Records Management Society Great Britain

[1] There will be other record-keeping legislation specific to certain areas of work, which should also be taken into account. Much of the Local Government legislation does not specifically apply to National Park Authorities but should be taken as a guide to good practice in relevant service areas.

Appendix 2: Record Retention and Disposal

Type of Information	Retention Action
Committee Meetings Agenda, Minutes, Reports, Register of Delegation to Special Committees	Permanent
Partnership, Agency, Liaison and Other External Meetings Agenda, Minutes, Reports, Consultation Documents	If BBNPA owns the record: Permanent If BBNPA does not own the record: Destroy 7 years after last action
Corporate Planning and Reporting Corporate Plans, Strategy Plans, Business Plans, Annual Reports	Permanent
Management Team Minutes	Permanent
Section Heads Minutes	Permanent
Departmental Minutes	Destroy 7 years from last action
Statutory Returns	Destroy 10 years from closure
Records Relating to Policy Implementation and Development	Permanent
Enquiries and Complaints Complaints Register (Summary of complaints)	Permanent
Full Complaint File including Ombudsman Decisions	Permanent
Quality and Performance Management The process of monitoring for Best Value Reviews, Internal Audits, Spending Reviews	Destroy 7 years after last action
Final Reports	Permanent

Media Relations	
Press Cuttings, Media Reports	7 years
Marketing: The process of developing and promotion of the Authority's campaigns and events	7 years
Legal and Contracts	
Litigation (case files etc)	Destroy 7 years after last action Major Litigation – review after 15 years
Agreements: Concordat between Organisations	Destroy 7 years after agreement expires
Contracts and Tendering: Opening Notice, Tender Envelope, Unsuccessful Tender Documents, Post Tender Negotiation Minutes	Destroy 1 year after start of contract
Tender Specification, Evaluation of Tender, Successful Tender Documents, Management and Amendment of Contract	Ordinary Contracts: Destroy 7 years after the terms of the contract have expired Contracts Under Seal: Destroy 15 years after the terms of the contract have expired
Service Level Agreements, Compliance and Performance Reports	Destroy 7 years after terms of contract expired
Tenancy Agreements	Ordinary Tenancy: Destroy 7 years after the terms of the contract have expired Tenancy Under Seal: Destroy 15 years after the terms of the contract have expired
Prosecution / Enforcement	Destroy 7 years from last action
Title Deeds, Leases, Easements, Section 106 Agreements	Permanent

Personnel Administration	
Employment Register (Permanent and Temporary Staff), Register of Personnel Files, Personal History Cards, Superannuation History Card, Salary Master Records	Permanent
All other Personnel Records	Destroy 7 years after termination
Occupational Health Records	If related to Objective 1 funding: 15 years Destroy 75 years after DOB
Recruitment: Advertisements, Applications, Referee Reports, Interview Reports, Unsuccessful Applicants	Destroy 1 year after recruitment has been finalised
Appointment of Statutory Officers	Permanent
Criminal Records Bureau documentation	6 months after CRB certificate issued
Recruitment of Statutory Officers: Advertisements, Applications, Referee Reports, Interview Reports, Unsuccessful Applicants	Destroy 2 years after date of appointment
Accounts and Audit Annual Corporate Financial Reporting	Permanent
Identification of the receipt, expenditure and write offs of public monies. Taxation Records, Employee Pay Records	Destroy 15 years after the end of the financial year.
Annual Budgets	Permanent
Rent Payments	Destroy 7 years after the end of the financial year.

Property and Land Management Management of the Acquisition and Disposal Process	Retain for life of property plus 15 years. Buildings and Estates of Special Interest
Maintenance Schedules and Management of Properties	Retain for life of property plus 15 years. Buildings and Estates of Special Interest
Insurance Insurance Policies, Claims Records, Renewal Records and Correspondence	Destroy 7 years after all obligations/entitlements are concluded
Health and Safety Accident Books, Risk Assessments	Can be destroyed 3 years after closure (retain permanently if required)
Planning Structure Plan, Local Plans etc.	Permanent
Consultation for Structure Plan: Consultation Documents, Inquiries and Objections, Public Inquiry Documents	15 years
Records of: Sites and Monuments, Ecological, Species, Historical Listed Buildings, Definitive Map	Permanent
Land Use Surveys, Mineral Register, Successful Waste Planning Applications, Successful Mineral Planning Applications	Permanent
Planning application determination files	Permanent
The process of approving building applications in relation to listed or significant buildings	Permanent
The process of approving building applications, for all other buildings	Permanent (local requirement, statutory recommendation is destroy 15 years after work

	completed)
The process of enforcing building or land regulations	Permanent (local requirement, statutory recommendation is Destroy 3 years after compliance with enforcement notice)
Conservation Initiatives and Projects	Destroy 15 years after end of initiative or project
Rights of Way Diversion and modification orders, maps, rights of way definitive map review papers	Permanent
Grants Grant Applications to and from Authority	Destroy 15 years after end of grant
Grant Scheme Information	Destroy once schemes have ended
Register of Successful Grants from Authority	Permanent
European Funding 5B Scheme, Objective 1 Projects etc. All documentation relating to above projects.	Retain until 2014. Destroy dates cannot be set after this date until official written confirmation given by funders.