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

May 2016

Document Control

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Review History

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1	NEW PLAN INTRODUCED TO COMPLY WITH THE PUBLIC RECORDS (SCOTLAND) ACT 2011	OCTOBER 2015
2	PLAN UPDATED BY H OF VS IN RESPONSE TO KEEPER'S INTERIM REPORT	MAY 2016
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AVJB Records Management Plan

Covering Statement

This is the Records Management Plan for Ayrshire Valuation Joint Board which has been prepared in accordance with the requirements of the Public Records (Scotland) Act 2011.

Ayrshire Valuation Joint Board takes its responsibilities for records management very seriously.

AVJB carries out the valuation and registration functions of East Ayrshire, North Ayrshire and South Ayrshire Councils.

In order to carry out the valuation and registration functions, the Joint Board is required by law to appoint an Assessor who is an independent statutory official and who will also be a Chartered Surveyor. The Assessor has also been appointed by the three constituent councils as Electoral Registration Officer.

The Joint Board, through the office of the Assessor and Electoral Registration Officer and her staff, carry out three main functions:

1. To produce and maintain the Valuation Roll which sets out the rateable values of all *"lands and heritages"* (except where excluded by statute) for rating purposes.

2. To produce and maintain the Valuation List which sets out the banding of all dwellings for Council Tax.

3. To prepare and maintain the Register of Electors.

In order to assist us in meeting our three statutory functions we receive support services from South Ayrshire Council - services such as Human Resources, Legal, and ICT. In the course of receiving these support services we automatically adopt and/or are subject to their records management and information governance processes.

We are a small organisation in terms of staff numbers, resources and budget but nevertheless have an impact on all residents of Ayrshire as well as most, if not all, businesses based in Ayrshire.

In common with all Public Sector organisations we are aiming to show continual improvement with limited resources. As a consequence all areas of our service provision are under constant scrutiny and review where difficult decisions have to be made in an effort to meet stakeholder expectations with less resources.

Notwithstanding the above, we have begun a process of modernisation and transformational change. Part of this process involves a review of our current ICT facilities. We are looking at substantial changes to our Electoral Management System, Core Computer System and the possibility of the introducing an Electronic Document and Records Management System. We have also recently introduced an Intranet/SharePoint site which is facilitating a move away from records being stored on Shared and Personal Drives to a more open and accessible SharePoint site. We are therefore in the midst of a period of modernisation and transformational change and consideration of this Plan should be viewed in this context.

I can confirm that it is the stated aim of Ayrshire 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 all Board 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. This plan has been drafted in order to meet the requirements of the Act. It will be reviewed at regular intervals to ensure its effectiveness.

In preparing for the submission of this plan we have updated our existing records management Policies and Procedures as well as introducing new Policies and Procedures. We recognise that we have room for improvement and are therefore committed to continuing this process of change and improvement. Preparation of this plan has helped us to identify areas where actions can be taken to ensure improvement of our recordkeeping and information governance processes.

I commend this plan to the Keeper of the Records of Scotland

Helen D.M. McPhee
Assessor and Electoral Registration Officer

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1. Introduction

The Public Records (Scotland) Act 2011 ('the Act') came fully into force in January 2013. The Act requires Ayrshire Valuation Joint Board (AVJB) 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 AVJB on an annual basis.

A copy of the Act can be viewed online at:

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:

http://www.nrscotland.gov.uk/record-keeping/public-records-scotland-act-2011

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

AVJB'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.

AVJB'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**

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

The RMP is effective from 31st October 2015. It will be reviewed and updated, if required, on an annual basis thereafter.

3.   Elements of the Plan

Element 1: Senior Management Responsibility

Introduction	*Senior management responsibility is the single most important piece of evidence to be submitted as part of AVJB's Records Management Plan. It identifies a person at senior level who has overall strategic responsibility for records management.* *This is a mandatory element of the Public Records (Scotland) Act 2011.*
Statement of Compliance	The Senior Responsible Officer for Records Management within Ayrshire Valuation Joint Board is; Helen D. M. McPhee Assessor & Electoral Registration Officer Ayrshire Valuation Joint Board 9 Wellington Square Ayr KA7 1HL
Evidence of Compliance	➢ Item: 001: Statement from Assessor & Electoral Registration Officer ➢ Item 002: AVJB Records Management Policy ➢ Item 003: AVJB Procedure for Dealing with Records Management
Future Developments	There are no planned future developments in respect of Element 1. However, if the Senior Responsible Officer for records management changes our policies and procedures will be updated accordingly, in addition NRS will be advised.
Assessment and Review	This element will be reviewed if, and when, there are any changes in personnel.
Responsible Officer(s)	Helen D. M. McPhee, Assessor & Electoral Registration Officer

Element 2: Operational Records Management Responsibility

Introduction	*Records Manager responsibility must identify the individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation.* *This is a mandatory element of the Public Records (Scotland) 2011.*
Statement of Compliance	The Board's Records Manager has responsibility on a day to day basis for Records Management within Ayrshire Valuation Joint Board and is; John McConville Head of Valuation Services and Assistant ERO Ayrshire Valuation Joint Board 9 Wellington Square Ayr KA7 1HL
Evidence of Compliance	➢ Item 004: Statement of Responsibility for Records Management ➢ Item 002: AVJB Records Management Policy ➢ Item 003: AVJB Procedure for Dealing with Records Management ➢ Item 005: Records Manager's Job Description/Profile
Future Developments	There are no planned future developments in respect of Element 2. However, if the Board's Records Manager changes our policies and procedures will be updated accordingly, in addition NRS will be advised.
Assessment and Review	This element will be reviewed if, and when, there are any changes in personnel.
Responsible Officer(s)	John McConville, Head of Valuation Services & Assistant ERO

Element 3: Records Management Policy Statement

Introduction	*Records Management policy statement must demonstrate the importance of managing records within the organisation and serve as a mandate for the activities of the Records manager. It is necessary in order to provide an overarching statement of the organisations priorities and intentions in relation to recordkeeping and deliver a supporting framework and mandate for the development and implementation of a RM culture.* *This is a mandatory element of the Public Records (Scotland) Act 2011.*
Statement of Compliance	Our Records Management Policy has been updated and revised to take into account the requirements of Public Records (Scotland) Act 2011. It is available on the Board's intranet/SharePoint site and is publicly available on the Board's website. The Board has recently introduced a Records Management – Information Sheet for Employees. This document will primarily be used by new members of staff as an introduction to Records Management and will be included in their Induction Packs. AVJB's commitment to establishing and maintaining effective records management is set out in the Records Management Policy and has been confirmed and emphasised in the Assessor and Electoral Registration Officers covering statement at the beginning of this Plan. In addition to an overarching Policy on Records Management, AVJB has also introduced a range of supporting Procedural Documents. These supporting documents are required to be read and acted upon in conjunction with the principal Records Management Policy. The accompanying Procedures area as follows; • Procedure for Dealing With Records Management • Procedure for Dealing With Vital Records • Procedure for Transferring Records • Procedure for the Disposal of Records • Procedure for Clearing Out Non-Domestic Files

	AVJB 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 AVJB 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.

AVJB 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 an Intranet/Sharepoint site, shared drives and personal drives

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

Metadata determining an audit trail is created for all electronic records and are readily accessible or by liaison with the IT section which carries out regular checks. |
| **Evidence of Compliance** | ➢ Item 006: Covering Statement from the Assessor & Electoral Registration Officer
➢ Item 002: AVJB Records Management Policy
➢ Item 002a: Screenshot from AVJB SharePoint site showing availability of Records Management Policy
➢ Item 002b: Screenshot from AVJB website site showing availability of Records Management Policy |

	➢ Item 003: AVJB Procedure for Dealing with Records Management ➢ Item 007: AVJB Procedure for Dealing With Vital Records ➢ Item 008: AVJB Procedure for Transferring Records ➢ Item 009: AVJB Procedure for the Disposal of Records ➢ Item 010: AVJB Records Retention and Disposal Schedule ➢ Item 011: AVJB Procedure for Clearing out Non-Domestic Files ➢ Item 012: AVJB ICT Acceptable Use Policy ➢ Item 013: Agenda and Minutes from AVJB Corporate Governance Forum Meeting of 1st September 2015 ➢ Item 052: AVJB Records Management – Information Sheet for Employees ➢ Item 053: Screenshot from SharePoint site confirming availability of Records Management – Information Sheet for Employees ➢ Item 050: In-House Training on Records Management
Future Developments	All Board Policies and Procedures (including those relating to Records Management) are under regular review in an effort to ensure that they reflect the Board's position in relation to recordkeeping. An in-house training course on records management has been developed by the Board's Records Manager. This is designed to give an introduction to records management, relevant legislation, responsibilities etc. It is a work in progress but will be finalised prior to roll out during the Summer of 2016.
Assessment and Review	This element will continue to be reviewed on a regular basis at Corporate Governance Forum and Management Team Meetings
Responsible Officer(s)	John McConville, Head of Valuation Services & Assistant ERO

Element 4: Business Classification

Introduction	*The Keeper expects an organisation to carry out a comprehensive assessment of its core business functions and activities, and represent these within a business classification scheme (BCS). It is expected that Element 4 should confirm that the organisation has developed or is in the process of developing a BCS.*

Statement of Compliance	In preparation for the submission of our Records Management Plan, AVJB has developed a Business Classification Scheme. Our Classification Scheme is based on the Local Government Business Classification which was developed by the Information and Records Management Society.
	
	 The LGCS structure is intended to support the business activities of an authority. The LGCS hierarchy is structured in three tiers:
	
	       Level 1: functions
	       Level 2: activities
	       Level 3: transactions
	
	 AVJB have expanded upon this to include further levels (levels 4-6) which reflect the specific activities and functions of AVJB and the records we create, maintain and eventually dispose. In brief, the additional levels are;
	
	       Level 4 : AVJB Internal Responsibility
	       Level 5 : AVJB Internal Activity
	       Level 6 : AVJB Internal Record Description
	
	 It is hoped that this Business Classification Scheme will assist in the near future the introduction of an Electronic Document Management System.
	
	 The LGCS was developed by the Information & Records Management Society (IRMS). Details of which can be found on their website at www.irms.co.uk.
	
	 AVJB has also maintained a Records Retention and Disposal Schedule in accordance with the Freedom of Information (Scotland) Act 2002. This has been updated to reflect the newly introduced Business Classification Scheme.

	To assist in a uniform naming convention for all records the Board's SharePoint Guidance has been altered and updated. The revised version SharePoint – Development & Document Management is attached as additional evidence Item 0026a.
Evidence of Compliance	➢ Item 014: AVJB Business Classification Scheme ➢ Item 010: AVJB Records Retention & Disposal Schedule ➢ Item 013: Agenda and Minutes from Corporate Governance Forum of 1st September 2015 ➢ Item 026a: SharePoint – Development & Document Management Guidance
Future Developments	The roll out the Business Classification Scheme will require a careful and considered approach. It is anticipated that it will be undertaken in two phases over a period of at least two years. Phase 1 will ensure all records accord with Levels 4, 5, and 6 of the BCS and Phase 2 will ensure all records accord with Levels 1, 2 and 3 of the BCS. The introduction of an Electronic Document Management System is being investigated, however, due to budget constraints and other priorities will require to be put on hold until funding and pressures of work are more favourable.
Assessment and Review	Records Management, the Records Retention and Disposal Schedule and all Policies and Procedures are a standing item on the Corporate Governance Forum. If an Electronic Document Management System is introduced in the near future the Business Classification Scheme will be reviewed and the Keeper advised accordingly. The Keeper will also be kept advised of progress in the roll out the BCS.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 5: Retention Schedules

Introduction	*A retention schedule is a list of records for which pre-determined disposal dates have been established. Retention Schedules must demonstrate the existence of and adherence to corporate records retention procedures. These procedures must show that that the organisation routinely disposes of information, whether this is destruction or transfer to an archive for permanent preservation.*
Statement of Compliance	Our Records Management Policy and associated Procedures outline 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 Schedule is 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 Schedule was developed in accordance with the Freedom of Information (Scotland) Act 2002 and forms a pre-existing structure for managing records within AVJB.
	The purpose of a Records Retention and Disposal Schedule is to provide consistent instructions on records retention and disposal for all staff who deal with records. The Schedule will underpin our Records Management activities.
	The Records Retention and Disposal Schedule will help to establish the types of records we need to keep, how long records are required and what should be done with them at the end of that period.
	The Retention and Disposal Schedule is intended to cover 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 Corporate Governance Forum meeting and is formally reviewed on an annual basis.

Evidence of Compliance	➢ Item 010: AVJB Records Retention and Disposal Schedule ➢ Item 002: AVJB Records Management Policy ➢ Item 003: AVJB Procedure for Dealing with Records Management ➢ Item 013: Agenda and Minutes from Corporate Governance Forum meeting from 1st September 2015
Future Developments	The Records Retention and Disposal Schedule will continue to be applied to all AVJB records. In particular, as we transfer more records form our shared and personal drives to our intranet/SharePoint site the Schedule will be enforced even more rigorously.
Assessment and Review	The Schedule is considered for review at each Corporate Governance Forum meeting and is formally reviewed on an annual basis.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 6: Destruction Arrangements

Introduction	*Destruction arrangements should provide evidence of the arrangements that are in place for the secure destruction of confidential information. Clear destruction arrangements detailing the correct procedures to follow when destroying business information are necessary in order to minimise the risk of an information security incident and ensure that the organisation meets its obligations in relation to the effective management of its records, throughout their lifecycle.* *This is a mandatory element of the Public Records (Scotland) Act 2011.*
Statement of Compliance	Guidance has been produced on destruction arrangements for AVJB 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 Schedule. The destruction arrangements have been developed in line with AVJB's various Records Management Policies and Procedures. 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 our offices with an on-site shredding facility. Confidential paper waste is deposited and retained in secure consoles located throughout the office 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 location. All staff have a responsibility to ensure that electronic records are stored correctly and, at the appropriate time, are accurately and securely destroyed in accordance with the Board's Retention and Disposal Schedule. Help and advice is available via various relevant Policies and Procedures as well as the Boards Records Manager, ICT Officers and all Line Mangers.

	All paper and digital media and IT equipment is disposed of in accordance with the "Procedure for the Disposal of Records". In the case of backup tapes; USB drives; hard-disks; DVDs and CDs the media 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: • 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 AVJB premises, an appropriately secure form of transport must be used. The determination of the appropriateness of the form of transport shall include consideration of the following: • Security of the vehicle used whilst making subsequent collections from other organisations prior to reaching the place of destruction. In an effort to meet its obligations under the 2011 Act, AVJB has recently introduced a Disposals Register. A high level summary of all records disposed of will be recorded in the Disposals Register. Backups of the Board's Unix Box, Application Servers and Network Storage systems are taken at regular intervals. The Unix Box is backed up every night and the tape stored off site. Our Application Servers are backed up every night and retained for one week, in addition this data is transferred to tape once per week, once per month and once per year. A snapshot of our Network Storage systems is taken 6 nights per week as well as one taken every 8 weeks. In addition this data is transferred to tape once per month and once per year.
Evidence of Compliance	➢ Item 010: AVJB Records Retention and Disposal Schedule ➢ Item 002: AVJB Records Management Policy ➢ Item 003: AVJB Procedure for Dealing With Records Management ➢ Item 009: Procedure for the Disposal of Records

	➢ Item 015: AVJB Records Management Disposal Register ➢ Item 012: AVJB ICT Acceptable Use Policy ➢ Item 017: Certificate from CCL (North)Ltd ➢ Item 018: Certificate from Shred-It Ltd ➢ Item 049: E-mail exchange confirming electronic back up arrangements
Future Developments	Appropriate Company Certificates and Registrations from our external disposal contractors will be obtained and added to our intranet/SharePoint site. A review of back up procedures for our Unix Box is underway. Back up to our Network Storage systems is being investigated. We will endeavor to advise the Keeper of the outcome of our investigations.
Assessment and Review	The application and benefits derived from the introduction of a Disposals Register will be monitored and reviewed in October 2016.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 7: Archiving and Transfer Arrangements

Introduction	*Archiving and transfer arrangements should detail the processes in place within an organisation to ensure that records of long term historical value are identified and deposited with an appropriate archive repository. Arrangements for the transfer of material of enduring value to an archive should be clearly defined and made available to all staff in order to ensure that the records are transferred at their earliest opportunity and the corporate memory of the organisation is fully and accurately preserved.* *This is a mandatory element of the Public Records (Scotland) Act 2011*
Statement of Compliance	In conjunction with its Records Management Policy and Records Management Procedure, AVJB has developed a 'Procedure for Transferring Records'. This guidance outlines the process for transferring records which have reached the end of their life span, and which may be passed primarily to Ayrshire Archives but also any other public body, archive, person or organisation for long term preservation. It is intended that archiving arrangements are undertaken in line with the Records Management Policy and associated Procedures with the key objective of having 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 Records Retention and Disposal Schedule.
Evidence of Compliance	➢Item 008: AVJB Procedure for Transferring Records ➢Item 010: AVJB Records Retention and Disposal Schedule ➢Item 002: AVJB Records Management Policy ➢Item 003: AVJB Procedure for Dealing With Records Management ➢Item 009: AVJB Procedure for the Disposal of Records ➢Item 009a: Draft Memo of Understanding between AVJB and Ayrshire Archives

Future Developments	As a fairly new procedure, the effectiveness of the Procedure for Transferring Records requires to be carefully cascaded and monitored. At present we have no formal written agreement with Ayrshire Archives for the transferal of records. We will aim to put in place a memorandum of agreement between ourselves and Ayrshire Archives.
Assessment and Review	The Procedure for Transferring Records will be reviewed on a regular basis and formally reviewed by the Head of Valuation Services in October 2016. We aim to introduce a memorandum of agreement between ourselves and Ayrshire Archives for the transferal of records. We aim to do that prior to October 2016. As an interim measure a copy of the draft Memorandum of Understanding between AVJB and Ayrshire Archives which is currently being adjusted is attached as evidence Item 009a.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

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.

Introduction	*Information security makes provisions for the proper level of security of its records. It 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. Information security is essential in order to protect an organisation's information and information systems from unauthorised access, use, disclosure, disruption, modification or destruction.*
	This is a mandatory element of the Public Records (Scotland) Act 2011.
Statement of Compliance	AVJB has adopted South Ayrshire Council's Information Technology Security Policies which summarises the security framework in place for records which fulfils the security commitments outlined in our Records Management Policy and associated Procedural documents.
	ICT facilities are provided by South Ayrshire Council through our support services arrangement. Whenever a member of staff logs on to a computer they must read, understand and accept not only AVJB's ICT Acceptable use (which is also South Ayrshire Council's Policy) they must accept all other South Ayrshire ICT related procedures and guidelines.
	Securing information assets, and in particular records, will help to fulfil legislative responsibilities, safeguard AVJB'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 AVJB's existing approved Information Security Policy and Standards.
	Every individual with access to records is responsible for ensuring their protection.

	All staff receive 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. All staff have access to on-line training in Information Security which is provided by South Ayrshire Council. All staff are encouraged to use this on-line facility whenever possible A clear desk policy is in place within our Clerical Sections which requires staff to clear their desks of paper documents at the end of each day and to store confidential information securely overnight. AVJB has two Risk Registers in place, one to deal specifically with our Electoral Registration functions and one to deal with all other functions. Both Risk Registers are reviewed on a monthly basis at the Corporate Governance Meeting and the Management Team meeting. In addition the Risk Registers are reported at our Board Meetings on a six monthly basis. Careful monitoring and reporting of our Risk Registers should enhance information security and allow senior managers to adequately plan and provide sufficient information governance procedures. All staff have access to our Data Protection Policy, Freedom Of information Policies and Procedures, ICT Acceptable Use Policy and South Ayrshire Council associated policies and procedures either via our SharePoint site, South Ayrshire Councils intranet site or website.
Evidence of Compliance	➢ Item 012: AVJB ICT Acceptable Use Policy ➢ Item 019: AVJB Data Protection Policy ➢ Item 020: AVJB Data Protection Staff Information Sheet (new colleagues) ➢ Item 002: AVJB Records Management Policy ➢ Item 003: AVJB Procedure for Dealing With Records Management ➢ Item 022: AVJB Risk Registers ➢ Item 031: Computer Log-In Agreement ➢ Item 032: SAC- Guidelines for Managing Usernames and Passwords ➢ Item 033: SAC - ICT Patch Management Procedure ➢ Item 034: SAC - Information Security Policy ➢ Item 035: SAC -Standard for Controlling the use of Removable Media within South Ayrshire Council

	- Item 036: SAC – Email Encryption System - Item 037: SAC - Exchanging Sensitive Information by Post - Item 038; SAC - PSN Acceptable Use Statement - Item 039: SAC- Encrypting Microsoft Office Files - Item 040 :SAC – Information Security Incident Management Procedure - Item 041: SAC – Data Sharing Checklist - Item 042: SAC – Procedures for Sharing Personal Data - Item 043: SAC – Guidelines for Sharing Personal Data - Item 044: SAC – Protecting Exchanges of Electronic Information - Item 044a: Screenshot from SharePoint of Data Protection and ICT Acceptable Use Policies - Item 044c: Screenshot from AVJB website of Data Protection Policy - Item 054: Screenshot of On-Line training in Information Security provided by South Ayrshire Council
Future Developments	We will formalise adoption of all of South Ayrshire Council Policies, Procedures and Guidelines in connection with ICT information governance. Formal adoption will be notified to all staff. A new 'core system' and Electoral Management System is currently being considered. As part of the procurement process for these planned substantial changes we will ensure that Information Security is a key element of the procurement process. In the meantime if South Ayrshire Council amend any of their procedures with respect to Information Security we will adopt those procedures. Consideration will be given to making the on-line training on Information Security that is available through South Ayrshire Council compulsory.
Assessment and Review	All Policies, Procedures and the Risk Registers will be reviewed on a monthly basis at our Corporate Governance Forum and further reported and discussed at our Management Team Meetings. The Risk Register will continue to be presented to our Board on a six monthly basis.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 9: Data Protection

Introduction	*The Keeper expects an organisation to provide evidence of compliance with data protection responsibilities for the management of personal data. An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.*
Statement of Compliance	AVJB 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. AVJB 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. Compulsory training in DPA procedures has been introduced and must be completed by all staff prior to 29th July 2016. This online training is provided by South Ayrshire Council. A screenshot is included as Item 0051. As a Data Controller, AVJB 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 . The Registration number is: **Z6982129**
Evidence of Compliance	➢ Item 019: AVJB Data Protection Policy ➢ Item 020: AVJB Data Protection Staff Information Sheet (new colleagues) ➢ Item 021: Extract from UK ICO website confirming AVJB's registration ➢ Item 013: Agenda and Minutes from Corporate Governance meeting of 1st September 2015

	➢ Item 044a: Screenshot from SharePoint of Data Protection and ICT Acceptable Use Policies ➢ Item 044b: e-mail from Records Manager confirming compulsory online training must be completed prior to 29th July 2016 ➢ Item 044c: Screenshot from AVJB website of Data Protection Policy ➢ Item 050: In-House Training on Records Management ➢ Item 051: Screenshot of online training in DPA by South Ayrshire Council.
Future Developments	Training will be provided to all staff in order to ensure that they are aware of their responsibilities in managing, processing and protecting personal data. Compulsory online training in Data Protection issues must be completed by all staff prior to 29th July 2016. In-house training in Records Management is being developed and will consider the interface with other legislation such as FOI, DPA etc. A sample of the online training under development is attached as additional evidence Item: 0050.
Assessment and Review	All Policies and Procedures are reviewed on a monthly basis at our Corporate Governance Forum and thereafter reported and discussed at our Management Team Meetings.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 10: Business Continuity and Vital Records

Introduction	*A Business Continuity and Vital Records Plan ensures that key records and systems are protected and made available as soon as possible in the event of, and following, an emergency. The plan should identify the measures in place to prepare for, respond to and recover from such an emergency.*
Statement of Compliance	A Business Continuity Plan (BCP) is in place in the event of any disaster. Our Business Continuity Plan is held on South Ayrshire Council's database of Business Continuity Plans. In line with all Services of South Ayrshire Council our Business Continuity Plan requires to be reviewed and updated at least every six months. The latest version of our Business Continuity Plan was recently updated and approved at a recent Board Meeting. Significant changes to the Business Continuity Plan will be reported to our Board at least annually. The Business Continuity Plan is also reviewed on a monthly basis at our Corporate Governance Forum and Management Team Meetings together with our Records Retention and Disposal Schedule, Procedure for Dealing with Vital Records and our Risk Registers. All of these documents are essential to the continuation of the service should there be a disaster. Once reviewed suitable arrangements will be put in place to ensure access to such records in an emergency. An IT Disaster Recovery Plan (DRP) is currently in place for electronic records and the electoral registration service. Additionally it is our aim to introduce an Electronic Document Management System which will assist in the retention of essential property records in a digital format. We have a Procedure for Dealing with Vital Records. In conjunction with this Procedure we have just recently introduced a 'Vital Records Schedule', this will hopefully assist in identifying all vital records, their form, where they are stored and the reasons why they are deemed to be vital records

Evidence of Compliance	➢ Item 023: AVJB Business Continuity Plan ➢ Item 007: Procedure for Dealing with Vital Records ➢ Item 024: Vital Records Schedule ➢ Item 022: AVJB Risk Registers ➢ Item 010: AVJB Records Retention and Disposal Schedule
Future Developments	Continue with the implementation of the Vital Records Schedule and the review of our Risk Registers, Business Continuity Plan and Policies & Procedures. Possible future developments will be dependent on the introduction of a new Electronic Document Management System, a 'new core system' and a new Electoral Management System.
Assessment and Review	Business Continuity Plan to be regularly reviewed at Corporate Governance and Management Team Meetings and by our Board in September 2016.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 11: Audit Trail

Introduction	*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.*
Statement of Compliance	At present, electronic systems within AVJB are able to provide audit trails for electronic records. Our recently introduced Business Classification Procedure will assist in developing a standard and consistent file naming convention and version control procedure. We are currently mid-way through an exercise whereby most, if not all, electronic documents will be stored on our Intranet/SharePoint site. As part of this exercise all Shared Drives will be removed and replaced by our Intranet/SharePoint site. This will include a review of Personal Drives and an audit undertaken of those Personal Drives. We are also looking in to the upgrading/replacement of most of our ICT systems including our Core System and Electoral Management System. Any replacement/upgrades will, of course incorporate appropriate and relevant audit procedures. Existing systems have audit trail functions, an example from our Electoral Management System is shown in evidence Item 0048: Screenshot From EMS confirming Audit Functions. Audit trails for paper records are less obvious. We currently have circa 15,000 paper files for non-domestic properties and 185,000 paper files for domestic properties. Whilst we are progressively moving towards the more frequent use of information held in an electronic format we are nevertheless still very reliant on paper records. We have considered introducing a simple logging out sheet for our paper files but given the number of files involved and the frequency with which they are removed and replaced this could prove time consuming and costly. However, this issue will be reviewed again particularly in light of our desire to rapidly move towards an Electronic Document Management System and where possible a paperless office.

	A working group has been set up to review the further development and use of our Intranet/SharePoint site. A screen shot of our SharePoint site is included in the supporting evidence as well as an indication of the remit of the Working Group currently looking in to the development of our SharePoint site.
Evidence of Compliance	➢Item 025; Screen Shot of SharePoint Site ➢Item 026: SharePoint Process Guidance ➢Item 026a: SharePoint – Development & Document Management Guidance ➢Item 027: E-mail confirming SharePoint Working Group Remit ➢Item 013: Agenda and Minutes from Corporate Governance Forum of 1st September 2015 ➢Item 047: File Removal Record Card ➢Item 048: Screenshot from EMS system confirming Audit Functions.
Future Developments	Investigations in to the feasibility of introducing an Electronic Document Management System will continue. We also are heavily committed to developing our intranet/SharePoint site. We are at a critical stage in the development of this site. Any recommendations from the Working Group looking into this will be given careful consideration. The Guidance Note 'SharePoint – Development & Document Management' has been updated and amended to offer advice on saving documents, naming conventions and retaining documents has been updated as of April 2016 (see evidence 0026a) The need for a simple logging sheet for the removal of paper files is recognised and will be investigated further. A simple 'File Removal Record Card' has now been developed (May 2016) and will be trialed during the period November 2016 to April 2017 (see evidence item 0047)
Assessment and Review	We will continue to pursue the upgrade/replacement of most of our ICT systems. Our SharePoint site is crucial to this modernisation process and will therefore be monitored closely. A simple logging sheet for the removal of our paper files will be trialed as above and reported to the Management Team and the Keeper.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 12: Competency Framework for Records Management Staff

Introduction	*Core competencies and key knowledge and skills required by staff with responsibilities for records management should be clearly defined and made available within organisations so as to ensure that staff understand their roles and responsibilities, can offer expert advice and guidance, and can remain proactive in their management of recordkeeping issues and procedures.*
Statement of Compliance	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. However the Assessor & ERO is committed to providing training to staff engaged in records management duties. AVJB is a very small organisation with limited resources, nevertheless, where cost effective training can be sourced it will be offered to those actively engaged in records management

All staff have access to South Ayrshire Council's online training packages of which Information Security Awareness Is just one valuable resource.

Training on the Public Records (Scotland) Act 2011 will be rolled out to all staff over the next 12 months by the Head of Valuation Services and Assistant ERO.

The Head of Valuation Services and Assistant ERO has undertaken several pieces of training in the lead up to preparing this plan, including the following ;

• Attendance at a conference organised by MacKay Hannah *"The Public Records Scotland Act: Strengthening Records Management – complying with the new law"*, Tuesday 27th September 2011, Carlton Hotel, Edinburgh.

• Attendance at a Governance Committee Meeting of the Scottish Assessors' Association on 20th August 2013, where members of the NRS Implementation Team gave a talk on the Public Records (Scotland) Act 2011. |

	• Attendance at a PR(S)A Surgery, organised by NRS at County Buildings, Ayr, 17th September 2013. • Attendance at a conference organised by the Scottish Council on Archives, "Getting our Act Together – Implementation of the Public Records (Scotland) Act 2011". Glasgow City Halls, 3rd December 2013. The Head of Valuation Services and Assistant ERO is a professional Chartered Surveyor and as a member of the Royal Institution of Chartered Surveyors is well used to undertaking training in order to maintain a certain level of competency. In order to maintain his membership of the RICS he is required to undertake a minimum of 20 hours Continual Professional Development per annum. Training and the expansion of his knowledge and competency in the field of records management is not anticipated as being a problem in the future. As Freedom of Information Officer, Data Protection Officer and now Records Manger, the Head of Valuation Services and Assistant ERO also has the benefit of constantly expanding his knowledge and competency in these inter-related fields.
Evidence of Compliance	➢ Item 002: AVJB Records Management Policy ➢ Item 028: AVJB Corporate Governance Forum Remit ➢ Item 029: Screen Shot of South Ayrshire Online Training Facility
Future Developments	We will consider making it mandatory for all staff to undertake the online training on Information Security provided by South Ayrshire Council. The Head of Valuation Services and Assistant ERO will deliver training on the Public Records (Scotland) Act 2011, to all staff. We will develop a PR(S)A 2011, Staff Information Sheet which will be included in all Staff Induction Packs.
Assessment and Review	This element will be regularly reviewed and reported to both the Corporate Governance Forum and the Management Team Meeting.

Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 13: Assessment and Review

Introduction	*Records Management practices in place within an organisation must remain fit for purpose. Procedures should be closely monitored, assessed and reviewed with a view to ensuring ongoing compliance and commitment to best practice recordkeeping. 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.*
Statement of Compliance	The Records Management Plan, Records Management Policies and Procedures and the Records Retention and Disposal Schedule will be subject to the Board's governance, monitoring and review process. The RMP will, if approved, be reported to the Board and will thereafter be reviewed on an annual basis. The Corporate Governance Team and Management Team have Records Management as a standing item on the Agendas for their monthly meetings. The relative governance responsibilities for each meeting is detailed below; **Corporate Governance Forum** 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. Scrutiny and review of the plan and supporting strategies, policies and progress, led by the Head of Valuation Services and Assistant ERO. **Management Team** 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 Corporate Governance Team and the Management Team. In future the Archives and Records Management Services (ARMS) Quality Improvement Framework QI 1-3 may provide the basis for improvement in AVJB records management policies and practices.

Evidence of Compliance	➢ Item 013: Agenda and Minutes from Corporate Governance Meeting of 1st September 2015 ➢ Item 030: Background information on the ARMS Quality Improvement Framework Q1 1-3
Future Developments	Consider the introduction of ARMS Quality Improvement Framework Q1 1 -3.
Assessment and Review	This element will be regularly reviewed and reported to both the Corporate Governance Forum and the Management Team Meeting.
Responsible Officer(s)	John McConville, Head of Valuation Services and Assistant ERO

Element 14: Shared Information

Introduction	*Procedures for the efficient sharing of information both within an organisation and with external partners are essential for ensuring information security and recordkeeping compliance. Protocols should include guidance as to what information can be shared, who should retain the data, what levels of security are to be applied, who should have access, and what the disposal arrangements are.*
Statement of Compliance	In limited circumstances, AVJB information is shared with a third party. Alternatively AVJB will receive confidential information from partner organisations. In each case appropriate agreements are entered into to ensure confidentiality of the information
Evidence of Compliance	- Item 045: Minute of Agreement between Combining Assessors - Item 046: Data Sharing Agreement between South Ayrshire Council and AVJB (Electoral Management System) - Item 012: AVJB ICT Acceptable Use Policy - Item 019: AVJB Data Protection Policy - Item 020: AVJB Data Protection Staff Information Sheet (new colleagues) - Item 002: AVJB Records Management Policy - Item 003: AVJB Procedure for Dealing With Records Management - Item 022: AVJB Risk Registers - Item 031: Computer Log-In Agreement - Item 034: SAC - Information Security Policy - Item 036: SAC – Email Encryption System - Item 037: SAC - Exchanging Sensitive Information by Post - Item 038; SAC - PSN Acceptable Use Statement - Item 040 :SAC – Information Security Incident Management Procedure - Item 041: SAC – Data Sharing Checklist - Item 042: SAC – Procedures for Sharing Personal Data - Item 043: SAC – Guidelines for Sharing Personal Data - Item 044: SAC – Protecting Exchanges of Electronic Information

Future Developments	AVJB will review all existing Information Sharing Protocols with a view to ensuring that they are relevant and fit for purpose.
Assessment and Review	As and when new Information Sharing Protocols are entered into they will be reviewed in accordance with Element 14.
Responsible Officer(s)	John McConville, Head of Valuation Services and assistant ERO

4. List of Supporting Evidence

Ref.	Details	Element(s)	Remarks
001	Statement of Responsibility from Assessor & ERO	1	
002	Records Management Policy	1, 2, 3, 5, 6, 7, 8, 12, 14	
002a	Screenshot of Sharepoint showing Record Management Policies	3	
002b	Screenshot from AVJB website showing RM Policy	3	
003	Records Management Procedure for Dealing with Records Management	1, 2, 3, 5, 6, 7, 8, 14	
004	Statement of Responsibility for Records Management	2	Amended
005	Record Manager's Job Description/Profile	2	
006	Covering Statement from the Assessor & ERO	3	
007	Records Management Procedure for Dealing with Vital Records	3, 10	
008	Records Management Procedure for Transferring Records	3, 7	
009	Records Management Procedure for Disposal of Records	3, 6, 7	
009a	Draft memo of Understanding AVJB and Ayrshire Archives	7	
010	Records Management Records Retention and Disposal Schedule	3, 4, 5, 6, 7, 10	
011	Procedure for Clearing out Non-Domestic Filing	3	
012	Information Security and ICT Acceptable Use Policies	3, 6, 8, 14	
013	Corporate Governance Forum Meeting Agenda and Minutes (01/09/15)	3, 4, 5, 9, 11, 13	
014	Records Management Business Classification Scheme	4	
015	Records Management Disposal Register	6	
016	No Document		
017	Certificate from CCL (North) Ltd.	6	
018	Certificate from Shred-It Ltd.	6	
019	Data Protection Policy	8, 9, 14	
020	Data Protection Staff Info Sheet (new colleagues)	8, 9, 14	
021	Extract from UK ICO confirming AVJB Registration		
022	Risk Registers	8, 10, 14	
023	Business Continuity Plan	10	
024	Vital Records Schedule	10	
025	Screenshot of Sharepoint Site	11	
026	Sharepoint Process Guidance	11	
026a	Sharepoint Development and Document Management	4, 11	
027	Email confirming Sharepoint Working Group Remit	11	

Ref.	Details	Element(s)	Remarks
028	Corporate Governance Forum & Management Team Remit	12	
029	Screen Shot of South Ayrshire Online Training Facility	12	
030	ARMS Quality Improvement Framework Q1 1-3	13	
031	Computer Log-In Agreement	8, 14	
032	SAC Guidelines for Managing Usernames and Passwords	8	
033	SAC – ICT Patch Management Procedure	8	
034	SAC – Information Security Policy	8, 14	
035	SAC – Standard for Controlling the use of Removable Media within South Ayrshire Council	8	
036	SAC – Email Encryption System	8, 14	
037	SAC – Exchanging Sensitive Information by Post	8, 14	
038	SAC – PSN Acceptable Use Statement	8, 14	
039	SAC – Encrypting Microsoft Office Files	8	
040	SAC – Information Security Incident Management Procedure	8, 14	
041	SAC – Data Sharing Checklist	8, 14	
042	SAC – Procedures for Sharing Personal Data	8, 14	
043	SAC – Guidelines for Sharing Personal Data	8, 14	
044	SAC – Protecting Electronic Exchanges of Information	8, 14	
044a	Screenshot from Sharepoint ICT Policies	8, 9	
044b	Email from RM to all Staff re. DPA Training	9	
044c	Screenshot from AVJB website showing Data Protection	8, 9	
045	Minute of Agreement Combining Assessors	14	
046	Data Sharing Agreement Between AVJB and SAC (Electoral Services)	14	
047	File Removal Record Card	11	
048	Screenshot from EMS System confirming Audit Functions	11	
049	Email exchange confirming Electronic Backup arrangements	6	
050	In-House Training on Records Management	3, 9	
051	Screenshot On Line Training on Data Protection	9	
052	Records Management Information Sheet for Employees	3	
053	Screenshot of Sharepoint showing Records Management Information Sheet for Employees	3	
054	Screenshot on Line Training on Information Security	8	