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SCOTTISH POLICE SERVICES AUTHORITY

Records Management Policy and Standing Operating Procedure

April 2010

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Records Management Policy and Procedure Version Control

Version	Change / Update / Reason	Date Amended	Authorisation
V0.1	First Version – Adapted from SCDEA Records Management Policy and Standard Operating Procedures	06/11/07	For review by Compliance Manager
V0.2	Added 'aims to' s.61 and changed offsite storage	20/11/07	Michael Dippie, Compliance Manager
V0.3	Addition of Diversity, Health and Safety, Communication and Monitoring and Review	20/02/08	Michael Dippie, Compliance Manager
V0.4	Addition to 4.4 SCDEA retention schedule and 6 associated policies and documents	10/04//08	Michael Dippie, Compliance Manager
V1.0	Final version for publication	10/04/08	Michael Dippie, Compliance Manager
V2.0	Annual review no changes	18/06/09	Michael Dippie, Compliance Manager
V3.0	Change to title, addition of Standing Operating Procedure	26/10/09	Michael Dippie, Compliance Manager
V4.0	Annual review	27/04/10	Head of Legal and Compliance.

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SPSA RECORDS MANAGEMENT POLICY

The Scottish Police Services Authority (SPSA) will ensure all its records are accurate, reliable, secure and managed and disposed of appropriately to meet all of its statutory, regulatory, operational, administrative and accountability requirements.

The management of SPSA records aims to meet the requirement of s.61 Code of Practice on Records Management as part of the Freedom of Information (Scotland) Act 2002.

The policy applies to all SPSA records in all formats received, created and maintained by SPSA staff in the course of their work.

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1 Scope

The Scottish Police Services Authority (SPSA) creates, receives, and maintains records in support of its operational activities and its own administration. These records need to be maintained and disposed of according to specific rules to ensure SPSA's records are reliable, secure, and will meet statutory, regulatory, administrative, and accountability requirements.

This policy will provide for the effective management of the records of the SPSA and aims to meet the requirements of the S.61 Code of Practice on Records Management as part of the Freedom of Information (Scotland) Act 2002.

This policy applies to all records in all formats received, created, and maintained by all staff in SPSA in the course of their work and provides a mandate for the management of records and information management functions.

Definitions

Record:	Information created, received, and maintained as evidence and information by an organisation or person in pursuance of legal obligations or in the transaction of business (ISO 15489).
Vital Records:	Records without which SPSA could not continue to function.
Records Management:	The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records (ISO 15489).
Classification:	The categorisation of SPSA's records (electronic and paper) into hierarchical classes of activities.
Retention Schedule:	Actions for the management, and dates for destruction of the records in a particular class determined on the basis of administrative, legal, fiscal, and audit needs.
Disposition:	The final action on a series of records e.g. destroy or permanent preservation.

2 Objectives

As all SPSA staff are involved in the creation, receipt, management and disposition of SPSA records, it is important that everyone is aware of their records management responsibilities and the importance of records management. Systematic records management is fundamental to the operation of the organisation and this policy will ensure responsibilities are allocated in relation to the information staff produce and handle.

SPSA must meet statutory and regulatory requirements in the management of its operational and administrative information. Consistent application of records management practices will ensure SPSA's records are accurate, reliable, complete, secure, and managed and disposed of appropriately. This policy will also ensure that all members of staff understand what their responsibilities are in relation to the information they produce and handle.

3 Policy Authorisation and Review

This policy will be approved by the Corporate Services Compliance Manager and will be reviewed annually or as appropriate.

4 Records Management Requirements

SPSA will manage its records effectively and efficiently to support all of its business activities in line with SPSA strategy and to meet statutory and regulatory requirements.

SPSA will provide records management support to all units/staff, provide training and ensure all staff understand their responsibilities.

Records management will form part of the wider information management and security programme.

4.1 Records Creation

Records will be created in a manner appropriate to SPSA activity and according to SPSA's procedures.

4.2 Records Management

Records will be stored and managed in line with the SPSA classification scheme in order that SPSA records are accessible and protected appropriately. Records should not be moved without authorisation. Records should be stored in shared directories or SPSA systems relevant to the activity to which the record(s) pertain and kept with the other records relating to that activity. This will be detailed in SPSA classification scheme. SPSA records should not be kept in personal drives.

4.3 Records Storage

Records not required for frequent access (semi-active records) should be brought to the attention of the Records Manager for the potential to store off-site. Only records with no security classification or a classification of **PROTECT** or **RESTRICTED** should be sent off site. If there are storage requirements for records classified as **CONFIDENTIAL** or above, storage arrangements should be made with the SPSA Records Manager.

4.4 Records Disposition

Records will be disposed of according to SPSA's retention schedule. Records should not be destroyed earlier than the time stipulated in the retention schedule. Records should not be retained longer than the time stipulated in the retention schedule without notifying the Records Manager. Before any records are destroyed, staff must ensure there are no outstanding enquiries for information contained in the records.

The SCDEA has a separate retention schedule which covers operational and intelligence guidance specific to the agency.

5 Allocation of Responsibilities

5.1 Heads of Department

Responsibility for ensuring compliance with the policy lies with the management of the Scottish Police Services Authority.

5.2 SPSA Staff

Individuals who create, receive, manage, and dispose of records have responsibilities outlined in this policy. They must ensure that the records are accurate, organised and disposed of according to SPSA's classification and retention schedule, and follow SPSA records management guidelines.

5.3 Records Manager

Responsibility for coordinating records management and promoting compliance with the policy and developing procedures and providing guidance to all staff lies with the SPSA Records Manager. This will include periodic reviews and audits of the records management programme in SPSA.

6 Associated Policies and Documents

- SPSA Naming Conventions
- SPSA Classification and Retention Schedule
- SPSA Information Security Policy
- SPSA GPMS Policy
- SCDEA Classification and Retention Schedule

7 Diversity

There is no adverse impact on any group in terms of race, religion, gender, sexuality, disability or age in relation to this procedure. The application of the Records Management policy and procedure will be monitored to ensure compliance with the organisation's Equality and Diversity Strategy, including Race Equality.

8 Health & Safety

There are no specific additional issues in relation to health and safety relating to this procedure.

9 Communication

This procedure is available to all SPSA staff via the intranet. The Executive Group are responsible for ensuring that staff are made aware of the procedure and their responsibilities arising from its operation.

10 Monitoring and Review

SPSA's Records Management policy and procedure will be reviewed annually by the Head of Legal and Compliance.

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