



Tay Road Bridge

# GUIDANCE FOR INFORMATION, RECORDS MANAGEMENT AND PRESERVATION OF ARCHIVAL RECORDS

Prepared by:	A Hutchison
Reviewed by:	I Smail

Document Reference:	<b>TRB 23 – rev 1</b>
Approved for Issue:	<b>A Hutchison</b>
Date: 16/12/21	Bridge Manager

## **GUIDANCE ON INFORMATION, RECORDS MANAGEMENT AND PRESERVATION OF ARCHIVAL RECORDS**

### **1.0 PURPOSE**

The Tay Road Bridge Joint Board recognises that, under Sections 53 and 54 of the Local Government (Scotland) Act 1994, and under Section 61(6) of the Freedom of Information (Scotland) Act 2002, it has a statutory obligation to ensure that proper arrangements are made for the preservation and management of all records, in all formats, created by the TRBJB.

The Boards Officer's believe that effective records management will bring substantial benefits to the Board, which will result in greater business efficiency and considerable improvements in the use of information as well as financial, human and other resources within the organisation.

The purpose of this document is to outline guidance for the TRBJB's Management on records management and preservation. Guidance has been sought from Dundee City Council City Archivist in the preparation of this document.

### **1.1 AIMS AND OBJECTIVES**

The key aims and objectives of the information, records management and preservation guidance procedure is as follows:-

- to develop and encourage a culture which acknowledges the value and benefits of effective records management within the Board
- to ensure that an effective framework exists within the TRBJB to support, implement and monitor the TRBJB's procedure on records management
- to ensure that sufficient resources and facilities are available within the TRBJB to support the TRBJB's stated procedure relating to effective records management and preservation
- to ensure that all records of historical, cultural or educational significance are identified and preserved under the management of the Dundee City Council City Archivist.

### **1.2. DEFINITIONS**

Before outlining guidance to assist with effective records management and preservation within the Board, it is appropriate to provide a brief definition of the various categories of records held within the TRBJB:-

- **Current Records** - these are used regularly and frequently in the day to day work of the TRBJB, and generally will be referred to and used at least once a month.
- **Semi Current Records** - these are required for work of the TRBJB, and generally will be referred to at least twice a year but no more frequently than once a month.
- **Non Current Records** - these are no longer required for the work of the TRBJB.
- **Archival Records** - these are identified by the City Archivist as having a long-term historical, cultural or educational significance.

### **1.3 RESPONSIBILITIES FOR RECORDS MANAGEMENT**

The Bridge Manager will have responsibility for:

- ensuring that there is an effective filing system for all records.
- co-ordinating and updating surveys of records and information held by the TRBJB.
- ensuring that comprehensive records retention schedules are established and maintained.
- liaising with the Dundee City Archivist on the identification and transfer of records with long- term historical, cultural or educational significance.
- ensuring that records are stored in a cost effective and adequate storage area with appropriate security.

### **1.4 STORAGE OF SEMI CURRENT AND NON CURRENT RECORDS**

The TRBJB will adopt the storage facilities within the Dundee Abutment and main administration Office. These facilities are covered by CCTV security and always kept locked with keys available and controlled by the TRBJB's Administration Officer.

Electronic information will be stored on the T:Drive Management File, with restricted access for the Administration Team only. This Drive is fully operated and supported by Dundee City Council (DCC) IT Division under a Service Level Agreement and is secured via DCC protocols for secure access and storage back up.

## **2.0 RECORDS MANAGEMENT PROCEDURE**

There are some ground rules that will ease the management of the life of any records. If the beginning, middle and end of a record's life is organised, then information retrieval is made easier.

- Files, whether paper or electronic, will be accurately described. This will be the responsibility of the Bridge Manager or Administration Officer.
- Reference systems must be clear, understandable, kept up-to-date and regularly maintained. The Bridge Manager and Administration Officer will review all electronic and paper files 6 monthly and remove trivia and duplicates whilst ensuring that legal commitments and administrative needs are covered. This will be recorded as complete at the Management Meetings. The Bridge Manager will notify the City Archivist at this stage to ascertain whether records are of historical, cultural or educational significance for preservation under the management of DCC Archives.
- If boxes of papers are stored in remote sites or common storage areas then all files will be stored in standard boxes and referenced back to a database held with the T:Drive Management file.
- A disposal date or new review date will be assigned by the Bridge Manager or Administration Officer.
- The Bridge Manager will arrange for the paper file to be boxed and stored, or, if electronic, stored in a format that will be retrievable in the future.

## **3.0 RETENTION SCHEDULES**

All records, paper or electronic, have a life cycle.

There are several key areas of record keeping that the Bridge Manager and Administration Officer will consider:-

Legal - ensuring all relevant legal requirements are kept.

Financial - following a constant practice

Personnel - following a constant practice

Professional - relating to technical and professional work

In order to ensure compliance with good practise and legislation, the Bridge Manager and Administration Officer will follow the published guidelines from SCARRS: Scottish Council on Archives Records Retention Schedules. This documentation provides a route map on how best to achieve efficient and compliant records management.

Additionally, common sense will be applied to the administrative needs of the TRBJB.

Full records of disposal will be kept on the T:Drive management file. NOTE: The TRBJB has Service Level Agreements with Dundee City Council (DCC) regarding

Corporate Services, Information Technology, Engineering, Communication Management and records held by these departments are subject to DCC's policies and procedures.

As a guide, the TRBJB typically holds the following information, recorded against the **SCARRS 2015 Records Retention Schedule Reference** and statutory or business needs determined **Retention Periods** before destruction via deletion from the server or in the case of paper copies, shredding and burning via recognised and registered shredding companies. A Certificate of Destruction will be obtained and held on file on the T:Drive Management permanently:

**Table 1 : Information Typically held at the Tay Road Bridge**

Information	SCARRS RRS	Retention Periods Years
Invoices	12.004.005 Finance	6 + 1 = 7
Personnel Records:		
• Address and Telephone Numbers	15.007.002 HR	6 on Termination of Contract
• Bank Account Details	15.007.002 HR	6 on Termination of Contract
• Health Surveillance Absence	15.001.001 HR	3 + 1 = 4
• Medical Assessments	15.001.001 HR	6 on Termination of Employment
• Job Application Information	15.006.002 HR	0.5 after recruitment finalised
• Training Records	13.001 H & S	6 on Termination of Employment
• Accident Statistics	13.003.001 H & S	3 – Permanent for Anonymous Statistics
• Counselling	15 HR	6 on Termination of Contract
• Discipline	15.001.001 HR	Variable - check
• Grievances	15.001.001 HR	6 on Termination of Contract
• Staff recognition	15.007.003 HR	6 on Termination of Contract
• Performance Appraisal	15.004.001 HR	5
• Equality Monitoring	15.003.008 HR	Permanent
• Terms and Conditions	15.007.004 HR	6 on Termination of Contract
Structural Information on Bridge & Property	25 TI	Permanent
Survey Information on Bridge & Property	25 TI	Permanent
Contract Management Files	22.001.006 Proc.	5
Supplier Lists	22.001.005 Proc.	When S/S
Supplier Rejections from date of rejection	22.001.003	3
Supplier acceptance Letters from approval	22.001.003	3
Operational Data:		
• Bridge Closure Statistics	25 TI	Permanent
• No. of Vehicle Breakdowns	25 TI	Permanent
• Wind Speed/Direction Records	25 TI	Permanent
Internal Audit Information		
Asbestos Records	13.003.011 H & S	Permanent
Risk Assessments/ Method Statements Personal	15.005.004	6 on Termination of Contract
FOISA Personal Data	17.001.005	3

Please note that the above is not exhaustive, and at all times the latest SCARRS Guidance must be reviewed prior to destruction.

### ***Key Questions before disposing of the record!***

- What are the financial and legal requirements for keeping this record?
- Should another agency or organisation have this before it is destroyed?
- Would a successor authority require this information after a reorganisation?
- Would it be interesting to Dundonians as a historical document in a hundred years' time and might the City Archivist think it should be kept as a permanent record.

### **4.0 ARRANGEMENTS FOR ARCHIVAL PRESERVATION**

The City Archivist, who is required to be registered with the Society of Archivists, will manage TRBJB archival records that are identified by the City Archivist as having a long-term historical, cultural or educational significance. The City Archivist will be located at the City Archives, 1 Shore Terrace, Dundee, and will be responsible for all matters relating to the archival records of long-term historical, cultural or educational significance to The Tay Road Bridge Joint Board. The City Archivist will also provide professional advice to the TRBJB on the preservation and management of records (including conservation and storage).

The City Archivist's responsibilities in terms of this procedure will include:-

- providing advice to the TRBJB's on the appraisal, scheduling and transfer of records to the City Archive;
- identifying TRBJB records of historical, cultural, or educational significance and checking all records before destruction is authorised; and
- providing advice on adequate storage facilities for current and semi-current records.

### **5.0 PUBLIC ACCESS**

Public access to the archival records will be provided free of charge through the City Archive, supervised by Archives Staff.

Free public access to copies of current TRBJB and Board minutes in terms of the Freedom of Information (Scotland) Act 2002, will be provided within the offices of the Committee Services Section at 21 City Square, Dundee. Access can also be obtained through the TRBJB's Internet website. Agenda and reports relative to these minutes will be available at the Committee Services Section at the appropriate production fee, and it will be possible to provide photocopies of these documents at

the appropriate reprographic rate. Public access to records will be in accordance with current local government legislation.