

Report

Report to:	Executive Committee
Date of Meeting:	1 March 2023
Report by:	Executive Director (Finance and Corporate Resources)

Subject:	Retention and Disposal Policy
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1. Purpose of Report

1.1. The purpose of the report is to:-

- ◆ seek approval for the updated Retention and Disposal Policy
- ◆ advise the Executive Committee on the communication arrangements for the Policy

2. Recommendation(s)

2.1. The Committee is asked to approve the following recommendation(s):-

- (1) that the Retention and Disposal Policy, attached at Appendix 1, be approved; and
- (2) that the plans for communication of the Policy set out in section 4.4 of the report be noted.

3. Background

- 3.1. South Lanarkshire Council is responsible for managing the records it creates, receives, and uses. Part of the management of these records involves making decisions regarding the retention and disposal of the records. This Policy sets out the framework on how this should be approached.
- 3.2. The Public Records (Scotland) Act 2011 was implemented in January 2013. This Act requires public bodies to set out arrangements for the management of their records and to prepare a Records Management Plan for submission to the Keeper of the Records.
- 3.3. This Policy will assist South Lanarkshire Council in meeting its obligations under the Act and will enable employees to make appropriate arrangements for the retention and disposal of the records under their care.

4. What Does the Policy Cover?

4.1. Record Retention

- 4.1.1. Records in South Lanarkshire Council should all be covered in a retention schedule developed for each business function. A record retention schedule sets out the periods by which the Council's business records should be retained to meet legislative, administrative and operational requirements and to maintain a corporate memory.
- 4.1.2. The Council already has retention schedules in place which are reviewed regularly. The policy formalises the process and explains the benefits of this and why it is necessary.

4.2. Record Retention Periods

In the development of record retention schedules, a detailed audit and survey is carried out for the area of business being considered. Retention periods will be determined for each record set, setting out how long the record should be retained. This will differ depending on the type of record. For example, financial records are normally retained for six years after record closure. On the other hand, a Social Work adoption file is kept for 100 years. Education Records are kept for 25 years after a pupil leaves school and Legal files are retained for 6 years after closure of the file.

4.3. Record Disposal

The disposal outcome of a record can be one of the following choices:-

- ◆ Review – consider whether a record should be retained for historical archival purposes or destroyed
- ◆ Destroy – the record has reached the end of its life and no longer has any business value, nor does it have any value as an historical archive and can be destroyed.
- ◆ Transfer to archive – the record has been identified as having long term value as a historical archive for future generations

The disposal outcome will be determined in consultation with the Service which owns the record series in question and will be documented on the agreed retention schedule. The Policy explains what arrangements Resources require to put into place in order that records are disposed of in the appropriate manner.

4.4. Communication

- 4.4.1. The Retention and Disposal Policy will be circulated to employees by means of a personnel circular and management bulletin. The Policy will be made available for download from the intranet.
- 4.4.2. Resources will be asked to cascade the revised policy through Resource management teams and team meetings bringing it to the attention of employees.
- 4.4.3. The Policy will join a suite of information governance related policies being developed by the Information Governance Board.

5. Employee Implications

- 5.1. There are no employee implications.

6. Financial Implications

- 6.1. There are no financial implications.

7. Climate Change, Sustainability and Environmental Implications

- 7.1. There are no implications for climate change, sustainability or the environment in terms of the information contained in this report.

8. Other Implications

- 8.1. The Public Records (Scotland) Act 2011 places statutory duties on the Council as a Scottish public authority to submit a Records Management Plan and to undertake a programme of improvement to satisfy the provisions of the legislation. The Retention and Disposal Policy meets the requirements of the legislation.

9. Equality Impact Assessment and Consultation Arrangements

- 9.1. The Policy has been assessed in terms of an Equalities Impact Assessment.

9.2. The Retention and Disposal Policy has been reviewed in consultation with the Information Governance Board and Council Resources.

Paul Manning
Executive Director (Finance and Corporate Resources)

13 February 2023

Link(s) to Council Values/Priorities/Outcomes

- ◆ Accountable, effective, efficient, and transparent
- ◆ Fair, open, and sustainable

Previous References

- ◆ Executive Committee 15 September 2015

List of Background Papers

- ◆ Retention and Disposal Policy v1

Contact for Further Information

If you would like to inspect the background papers or want further information, please contact:-

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