

A consultation paper about proposed supplementary guidance on proper arrangements for archiving public records issued by the Keeper of the Records of Scotland

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Chapter 1.

INTRODUCTION

1.1 National Records of Scotland contributes to the success of the Scottish Government's [Purpose](#) and in particular the outcome that "Our public services are high quality, continually improving, efficient and responsive to local people's needs". Public records are not just official bureaucracy. As well as underpinning all aspects of our national story, they record people's lives and decisions about their lives, information that can sometimes be very personal. Proper archiving involves the respect that we owe to the history of our country and its peoples.

1.2 With this in mind, I aim to facilitate the improved management of public records and the information they contain. Public authorities are required to prepare appropriate records management plans, outlining the proper arrangements in place to ensure the identification and preservation of vital records. To assist authorities with this task, I have issued a Model Records Management Plan consisting of 14 key elements, as well as statutory guidance to the Model Plan.

1.3 As part of a records management plan, all public authorities must make arrangements for records of "enduring value" to be transferred to an 'appropriate archive repository'. This falls within element 7 of the Model Plan and is deemed to be a compulsory element that all authorities must have in place. It is recognised, however, that there is scope for further definition about what this means, and how these arrangements should be achieved. I am therefore proposing to issue supplementary guidance defining the required standard for archives holding public records in Scotland.

1.4 The proposed supplementary guidance will allow public authorities to understand better their responsibility to ensure that they have in place proper arrangements for preserving and archiving their public records. It will outline the various mechanisms authorities should have in place in order for their plan to be agreed. The proposals cover public authorities named in the schedule to the Public Record (Scotland) Act 2011.

1.5 This consultation is intended to initiate debate and canvass comment from across public authorities and the wider public on this further clarification of an authority's obligations under Element 7 of the Model Plan. I warmly encourage you to take part in this process, to consider the details of the proposed supplementary guidance, and provide me with your views.

Tim Ellis
Keeper of the Records of Scotland
National Records of Scotland
18 December 2015

Chapter 2.

BACKGROUND

Policy

2.1 The Keeper of the Records of Scotland (“the Keeper”) aims to improve archive provision by issuing supplementary guidance on archiving records for public authorities listed under the Public Records (Scotland) Act 2011 (the “2011 Act”). The guidance (annexed at the end of this paper) is not prescriptive and does not aim to place additional burdens on authorities. Instead, it aims to assist public authorities and to enable improvement through best practice by identifying five key arrangements that public authorities should address when archiving their records.

Records, Archives and the Legislative background

2.2 In the past, local authorities were required to make proper arrangements for the preservation and management of their records in accordance with section 53(1) of the Local Government etc. (Scotland) Act 1994. Section 53 was repealed by the Public Records (Scotland) Act 2011 and provision was made for the archiving and destruction or other disposal of public records in section 1(2)(b)(iii) of this Act. This is the main legislation governing Scottish public records. The 2011 Act makes provision about the management of records by certain public authorities. All rights and responsibilities are vested in the Keeper. As a non-ministerial office holder in the Scottish Administration, the Keeper administers the NRS on behalf of Scottish Ministers. NRS is responsible for ensuring the preservation of the historical records illustrating the policies and actions of government and the judiciary in Scotland.

Proper Arrangements

2.3 The 2011 Act requires Scottish public authorities listed in the schedule to the Act to prepare and submit a records management plan to the Keeper for approval (section 1(1)(a)). This plan must demonstrate that authorities have in place “proper arrangements” for the management of their public records. To assist public authorities to create an appropriate records management plan which accords with these proper arrangements, the Keeper issued a ‘Model Records Management Plan’ (the Model Plan) in accordance with section 8 of the 2011 Act. He has also issued guidance in accordance with 1(4) of the Act, known as the ‘Guidance to the Form and Content of the Model Records Management Plan’ (Model Plan Guidance).¹ The Model Plan details 14 Elements that the Keeper would expect a Scottish public authority to consider when creating its record management plan.

2.4 The Keeper accepts that the proper arrangements in place for one authority’s archive may differ from those of another and for that reason, he is permitted to make different determinations for different authorities under section 4(9) of the 2011 Act. When deciding whether proper arrangements are in place for individual authorities, the Keeper will have regard to this guidance, the Model Plan

¹ <http://www.nrscotland.gov.uk/record-keeping/public-records-scotland-act-2011/resources>

and the Model Plan Guidance, the nature of the authority, its public records and any representations made by that authority.²

2.5 Section 1(2)(b)(iii) of the 2011 Act requires that an authority's record management plan includes particular provision about the archiving and destruction or other disposal of public records. To achieve this, Element 7 of the Model Plan Guidance specifies that authorities listed under the Schedule to the 2011 Act must make arrangements for records of "enduring value" to be transferred to an 'appropriate archive repository' specifying the timing of transfers and other terms and conditions. This proposed supplementary guidance aims to help authorities understand what the Keeper regards as 'an appropriate archive repository' by laying down the proper arrangements that must be considered when identifying an appropriate archive for their records.

2.6 The Keeper is committed to helping public authorities comply with the 2011 Act, and this guidance is designed to assist authorities in putting measures in place. Authorities should note that under section 9(4) of the 2011 Act, they must have regard to any guidance issued by the Keeper.

2.7 This supplementary guidance should be read in conjunction with other legislation relating to information and records and the supporting guidance – in particular, the Data Protection Act 1998, the Freedom of Information (Scotland) Act 2002 ('FOISA'), the Code of Practice on Records Management under section 61 of that Act, and the Environmental Information (Scotland) Regulations 2004 ('EIRs'). It is not intended to replace either such guidance or an authority's obligations under these Acts.

² Section 4(5) PRSA 2011

Chapter 3.

THE PROPOSED SUPPLEMENTARY GUIDANCE

Defining ‘proper arrangements’ that should be in place

3.1 This supplementary guidance sets out five broad arrangements that an authority should consider when identifying an appropriate archive for their records, as required under Element 7 of the Model Plan. These arrangements are:

- the constitution, finance and staffing of an archive
- security arrangements
- storage arrangements
- arrangements for collection care
- public access arrangements

3.2 The supplementary guidance addresses each of these arrangements, setting out the standards the Keeper would expect an archive to reach in order to be considered an appropriate archive repository.

Application

3.3 This guidance will apply to all Scottish public authorities listed in the schedule to the 2011 Act. In practice, most bodies currently pass their archives to the NRS and therefore currently satisfy the proper arrangements guidance. Such authorities are unlikely to need to take further action regarding their archive following the issuing of this supplementary guidance. In the main the supplementary guidance is intended to assist public authorities who use either their own or another repository. These authorities must ensure that their arrangements meet the standards set out in this guidance.

Defining an authority’s obligations

3.4 Section 1(2)(b)(iii) of the 2011 Act requires an authority’s records management plan to make provision for the archiving and destruction (or other disposal) of their records. This requirement is set out in Element 7 of the Keeper’s Model Plan. Before he will agree a plan, the Keeper must be satisfied that this provision is in place.

3.5 The Keeper recognises that there is no use in having a provision for the archiving of records in a repository that is not fit for purpose. The records that fall within the scope of Element 7, namely records of “enduring value” have been selected for preservation so that they can be made available to future generations. An archive that does not have the proper arrangements in place to ensure that records are preserved is putting this objective at risk. That is why the Keeper, under Element 7, requires an authority to ensure not only that transfer arrangements are in place, but that the repository is appropriate.

Enforcement

3.6 Self-assessment and the use of improvement plans are the preferred long-term mechanisms of enforcement for these archive provisions. These methods are already utilised by the Keeper when ensuring that a public authority has adopted and implemented its record management plan appropriately. As stated above, the Keeper must agree an authority's records management plan if it sets out proper arrangements for the management of the authority's public records, including making provision for the records to be transferred to an archive. However, if the Keeper is aware that the archive itself does not have proper arrangements in place to preserve records of enduring value, he will work with the authority to help improve the archive's standards and to create an improvement programme that the Keeper will review at a later date.

CONCLUSION

3.7 Although many public authority archives are fit for purpose, there are inevitably variations in standards and some archives may be found to be unsatisfactory. Such variations deny future generations access to important historical records, many of which safeguard the rights of communities and individuals. This supplementary guidance sets out the proper arrangements that an archive holding public records should have in place. If you would like to comment on the proposed guidance we would welcome your views.

Annex A: Responding to this Consultation

We are inviting responses to this consultation by 14 March 2016

Please respond to this consultation online at <https://consult.scotland.gov.uk/national-records-of-scotland/archiving-public-records>. You can save and return to your responses while the consultation is still open. Please ensure that consultation responses are submitted before the close date.

If you are unable to respond online, please complete the Respondent Information Form (see “Handling your Response” below) and send to:

David J Brown
National Records of Scotland
HM General Register House
2 Princes Street
Edinburgh
EH1 2YY

Or alternatively email:

Communications@nrscotland.gov.uk.

If you have any queries, again please contact David Brown.

This consultation, and all other Scottish Government consultation exercises, can be viewed online on the consultation web pages of the Scottish Government website at <https://consult.scotland.gov.uk/>.

The Scottish Government now has an email update system for consultations at <http://register.scotland.gov.uk/Subscribe/Step1>. This system allows stakeholder individuals and organisations to register and receive emails containing details of all new consultations (including web links). This is designed to allow stakeholders to keep up to date with all SG consultation activity, and, therefore, be alerted at the earliest opportunity to those of most interest. We would encourage you to register.

Handling your response

If you respond using Citizen Space, you will be automatically directed to the Respondent Information Form at the start of the questionnaire. This will let us know how you wish your response to be handled and, in particular, whether you are happy for your response to be made public.

If you are unable to respond via Citizen Space, please complete and return the **Respondent Information Form** attached to the end of this document (Annex C) as this will ensure that we treat your response appropriately. If you ask for your response not to be published, we will regard it as confidential, and we will treat it accordingly.

All respondents should be aware that the Scottish Government is subject to the provisions of the Freedom of Information (Scotland) Act 2002 and would therefore have to consider any request made to it under the Act for information relating to responses made to this consultation exercise.

Next steps in the process

Where respondents have given permission for their response to be made public, and after we have checked that they contain no potentially defamatory material, responses will be made available to the public at <http://consult.scotland.gov.uk>. If you use Citizen Space to respond, you will receive a copy of your response via email.

Following the closing date, all responses will be analysed and considered along with any other available evidence to help us finalise the proposed guidance.

Comments and complaints

If you have any comments about how this consultation exercise has been conducted, please send them to:

David J Brown
National Records of Scotland
HM General Register House
2 Princes Street
Edinburgh
EH1 2YY

Or alternatively email:

Communications@nrscotland.gov.uk.

Annex B: Consultation Questions

The questions relate to the proposals in Chapter 3 of the paper and the proposed guidance at Annex E.

Question 1: Do you agree that the proposed supplementary guidance is necessary?

Yes

No

Don't know

Please set out your reasons

Question 2: Will the proposed supplementary guidance assist your authority in archiving records?

Yes

No

Don't know

Please set out your reasons

Question 3: Do you agree with the five arrangements an authority should consider when identifying a system for archiving their records?

Yes

No

Don't know

Please set out your reasons

Question 4: Does the guidance provide a clear explanation of the standards public authorities are required to meet when archiving records?

Yes

No

Don't know

Please set out your reasons

Question 5: Do you think the guidance will have any unintended consequences for public authorities subject to the 2011 Act?

Yes

No

Don't know

Please set out your reasons

Question 6: Do you have any other comments on the proposed guidance?

Yes

No

Further Comments

Question 7: In relation to Equality Impact Assessment, please tell us about any potential impacts, either positive or negative, that you feel this guidance may have on any particular groups of people.

Annex C

RESPONDENT INFORMATION FORM

Please Note this form **must** be returned with your response to ensure that we handle your response appropriately

1. Name/Organisation

Title Mr Ms Mrs Miss Dr *Please tick as appropriate*

Surname

Forename

2. Postal Address

<input type="text"/>		
<input type="text"/>		
<input type="text"/>		
<input type="text"/>		
Postcode	Phone	Email

3. Permissions - I am responding as...

Individual	/	Group/Organisation
<input type="checkbox"/>		<input type="checkbox"/>
Please tick as appropriate		

(a) Do you agree to your response being made available to the public? (on the Scottish Government Consultation Hub)

Please tick as appropriate

Yes No

(c) Do you agree to your organisation's **details** and **response** being made available to the public? (on the Scottish Government Consultation Hub)

(b) If you answered yes, please select an option below.

Please tick ONE of the following boxes

Yes, make my response and name all available

or

Yes, make my response

Available without my name (anonymously)

Please tick as appropriate

Yes, publish my response and details

No, do not publish my response

(d) We will share your response internally with other Scottish Government policy teams who may be addressing the issues you discuss. They may wish to contact you again in the future, but we require your permission to do so. Are you content for Scottish Government to contact you again in relation to this consultation exercise?

Please tick as appropriate Yes No

Annex D: The Scottish Government Consultation Process

Consultation is an essential part the policy making process. It gives us the opportunity to get your opinion and expertise on a proposed area of work.

You can find all our consultations online: <http://consult.scotland.gov.uk>. Each consultation details the issues under consideration, as well as a way for you to give us your views, either online, by email or by post.

Consultations may involve seeking views in a number of different ways, such as public meetings, focus groups, or other online methods such as Dialogue (<http://ideas.scotland.gov.uk>)

After a consultation is closed we publish all responses where we have been given permission to do so.

Responses will be analysed and used as part of the decision making process, along with a range of other available information and evidence. We will publish a report of this analysis for every consultation. Depending on the nature of the consultation exercise the responses received may:

- indicate the need for policy development or review
- inform the development of a particular policy
- help decisions to be made between alternative policy proposals
- be used to finalise legislation before it is implemented

While details of particular circumstances described in a response to a consultation exercise may usefully inform the policy process, consultation exercises cannot address individual concerns and comments, which should be directed to the relevant public body.



SUPPLEMENTARY GUIDANCE ON PROPER ARRANGEMENTS FOR ARCHIVING PUBLIC RECORDS

National Records of Scotland

Supplementary Guidance on Proper Arrangements for Archiving an Authority's Public Records - **Guidance**

To assist public authorities to meet their obligations under Element 7 of the Keeper's Model Records Management Plan

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

This guidance should be consulted by authorities when archiving records, as required under Element 7 of the Keeper's Model Plan

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Introduction

Section 1(2)(b)(iii) of the Public Records (Scotland) Act 2011 (the “2011 Act”) requires that an authority’s record management plan includes particular provision about the archiving and destruction or other disposal of public records. To achieve this, Element 7 of the Keeper of the Records of Scotland’s (‘the Keeper’) Model Records Management Plan and Guidance to the Model Record Management Plan,³ specifies that authorities listed under the Schedule to the 2011 Act must make arrangements for records of “enduring value” to be transferred to an ‘appropriate archive repository’ specifying the timing of transfers and other terms and conditions. This document aims to help authorities understand what the Keeper regards as ‘an appropriate archive repository’ by laying down the proper arrangements that must be considered when identifying an appropriate archive for their records. These arrangements are:

- the constitution, finance and staffing of an archive
- security arrangements
- storage arrangements
- arrangements for collection care
- public access arrangements

The Keeper accepts that the proper arrangements in place for one authority’s archive may differ from those of another and for that reason, he is permitted to make different determinations for different authorities under section 4(9) of the 2011 Act. When deciding whether proper arrangements are in place for individual authorities, the Keeper will have regard to this guidance, the Model Records and the Model Records Guidance, the nature of the authority, its public records and any representations made by that authority.⁴

Authorities should note that this guidance is issued by the Keeper under section 9 of the 2011 Act, which states that authorities must have regard to any guidance issued by the Keeper under that section.⁵

This guidance should be read in conjunction with other legislation relating to information and records and the supporting guidance – in particular, the Data Protection Act 1998, the Freedom of Information (Scotland) Act 2002 (‘FOISA’), the Code of Practice on Records

³ <http://www.nrscotland.gov.uk/record-keeping/public-records-scotland-act-2011/resources>

⁴ Section 4(5) PRSA 2011

⁵ Section 9(4) PRSA 2011

Management under section 61 of that Act, and the Environmental Information (Scotland) Regulations 2004 ('EIRs'). It is not intended to replace either such guidance or an authority's obligations under these Acts.

The Keeper has issued this guidance following a public consultation with interested parties. This guidance is not prescriptive, but is designed to be used in part, or adopted wholesale, as the Keeper considers appropriate for the needs of an authority.

This guidance will be reviewed and re-issued to take account of differing circumstances, including any changes in legislation and professional standards and methodology.

The Keeper is committed to helping public authorities comply with the Act. If, having consulted this guidance, an authority is still unsure of what is required they should contact the National Records of Scotland (NRS).

Evidence

As stated under Element 7 of the Keeper's Model Records Management Plan, authorities must submit evidence that proper arrangements are in place for the transfer of their records to an appropriate archive repository.

'Such evidence might include memoranda of understanding between an authority and an archive repository, an internal schedule of preservation or an explanation of how automated systems archive electronic records and details of how metadata transfers with those records.'

When submitting their RMP, an authority must state that it has arrangements in place to transfer its records of enduring value to an appropriate archive in accordance with the principles outlined in this guidance. If the Keeper considers that an authority's plan does not meet this requirement, he may request further evidence that proper arrangements are in place. If the evidence submitted by an authority suggests that it does not have proper archiving arrangements in place, the Keeper will work with the authority to improve these. Only when an authority fails to show commitment to improving their archive arrangements will the Keeper deem the authority to have failed in its statutory duty under the Act and consider issuing an "action notice" under section 7 of the 2011 Act.

General Guidance

Authorities should have regard to the guidance provided below when identifying or establishing an appropriate archive repository for their records.

National Records of Scotland

The NRS Conservation Services Branch can advise on all aspects of collection care.

Link: <http://www.nrscotland.gov.uk/record-keeping/conservation>

The National Archives – Archive Service Accreditation

Archive Service Accreditation is the new UK wide standard for archives service which has been developed through a process of co-creation and consultation with the archives sector and its stakeholders. The standard defines good practice and agreed standards, thereby encouraging and supporting development. It is aimed at organisations that hold publicly accessible archive collections, whatever their constitution, and covers both private and public sector archives.

Link: <http://www.nationalarchives.gov.uk/archives-sector/archive-service-accreditation.htm>:

ARMS

Archives and Records Management Services (ARMS) provide a framework which aims to encourage self-improvement with regard to archive management.

Link: <http://www.scottisharchives.org.uk/projects/toolsstandards/arms/what>

Scottish Council on Archives

Along with NRS, The Scottish Council on Archives provides leadership for the archives and records management profession in Scotland. Their website contains variety of useful tools and guidance for records managers and archivists.

Link: <http://www.scottisharchives.org.uk/projects>

Constitution, Finance and Staffing

Constitution

A public authority's records are transferred to an archive in recognition of their enduring value and need to be kept for permanent preservation. It is therefore important that an authority's archive has clear objectives in place regarding standards of care and the services it will provide, including public access.

Some authorities may wish to operate a joint archiving service, engage in an agency agreement with another authority or opt to administer their archive service via a public trust. The Keeper will agree to these arrangements as long as the public authority is satisfied that the archive meets the principles set out in this guidance. The specialised needs of archive accommodation and the archive service as a whole must be observed by the authority.

Finance

Authorities who run their own service should ensure that funding is made available. When joint, trust or agency arrangements are in place an appropriate financial contribution should be made. Some of an authority's budget should be available for conservation purposes.

Staffing

In terms of the transfer and archiving of records, archivists provide expertise in selecting, appraising, cataloguing and interpreting records and making them or information about them available. They can also assist a public authority to meet its obligations under the Data Protection Act 1998, Freedom of Information (Scotland) Act 2002 and the Environmental Information (Scotland) Regulations 2004.

An appropriate archive will be properly staffed to manage the records in its care and carry out any services it offers. The number of staff an archive employs must be appropriate to the operational need. Authorities providing public access to their records should ensure that their archive has appropriately qualified staff.

Security

Accommodation should be secure, meet health and safety requirements and provide protection against damage and loss. This is in accordance with section 1(2)(b)(ii) of the 2011 Act, which provides that any RMP should make specific provision for how the security of the information will be maintained.

An appropriate archive should have an information security policy that is available to all staff involved in the archiving of records. The policy should put in place measures to ensure records are secure and retain their integrity. Server protection should be in place for the physical security of electronic documents.

Theft prevention measures should also be in operation. Measures should include a tracking and ordering system to monitor the location of records and a vetting process when employing new staff or volunteers.

As part of its risk management strategy, a public authority should have an incident control plan in place, with access to appropriate equipment and materials to enable it to cope with the risks associated with man-made or natural disasters. Practical training and exercises in disaster prevention will help to minimise these risks.

Storage

Proper accommodation for archives is fundamental to ensure that irreplaceable records selected for permanent preservation are not put at risk. Section 1(2)(b)(i) of the 2011 Act provides that any RMP should make specific provision for the procedures to be followed in managing the authority's public records, which will include how these are stored and organised.

Accommodation and storage should be based on industry best practice standards. In particular they should aim to meet the recommendations of PD 5454, 'Recommendations for the Storage and Exhibition of Archival Documents' (2012). All archive accommodation should offer adequate protection against flood, fire, dust, chemicals, vermin, insects and excessive variations in temperature and humidity.

An archive repository should have enough space to accommodate regular accessions of records on an annual basis. The adoption of a disposal schedule as part of an authority's RMP will help to indicate the likely rate of accruals.

Archive accommodation should include suitable shelving and records should be properly packaged in order to avoid damage. Separate storage should also be provided for records in specialised formats such as electronic records and film.

Electronic Records

As stated under Section 13 (1) of the 2011 Act, "'record" means anything in which information is recorded in any form'. It therefore follows that electronic records are as much a part of records management as paper records. Due to the nature of electronic records, the authority must establish appropriate arrangements for these records to ensure they remain secure and accessible. Specific guidance on arrangements for electronic records can be found on the NRS website.

Link: <http://www.nrscotland.gov.uk/record-keeping/electronic-records-management>

Collection Care

Collection care is necessary to safeguard records against loss and damage and ensure they are available to future generations. This also falls within the scope of section 1(2)(b)(i) of the 2011 Act regarding the management of public records. It encompasses the cleaning, preservation, maintenance, handling, environmental monitoring and control and conservation of records.

An appropriate archive should have a preservation plan in place to monitor the physical condition of records in its care. Access to a conservation service either directly or through an external supplier should be available to ensure the physical care of documents.

Training should be given to archive staff in the proper handling of records and should be supported by safe and secure transport arrangements whenever records are in transit.

Guidance Specific to Conservation:

- The National Records of Scotland

The NRS do not undertake private conservation work, however, they can advise on all aspects of collection care. Information on private conservation services can be found at the Conservation Register website.

- The Conservation Register

The Conservation Register is an online source for finding approved professionally qualified conservator-restorers. Run by the registered charity, the Institute of Conservation (Icon) for the benefit of the public, the Conservation Register provides up-to-date information on who to go to for advice and expertise on the repair, restoration and care of valuable records.

Link: <http://www.conservationregister.com>

Public Access

As part of an authority's archiving duties under the Act, records selected for permanent preservation should be made available for public use at a convenient time and in the presence of appropriately qualified staff. To fulfil this responsibility, records should be transferred to an archive which has public access facilities, except in circumstances where alternative arrangements have been agreed by the Keeper as part of their RMP.

It is the Keeper's view that a public authority archive should:

- advertise the presence of the archive service on the authority's website with information about its services and holdings
- allow public access at convenient hours, where records can be inspected under the supervision of appropriately qualified staff in secure conditions, complying with the Equality Act 2010
- have a published policy on access to archived records which includes a statement detailing any access restrictions
- maintain an accessions register and produce catalogues and indexes to enable researchers to consult its collections
- provide equipment for viewing any records held in specialised formats
- have facilities to make copies of records in different formats available to researchers

Authorities are encouraged to develop outreach and education policies, to contribute to heritage activities within their communities, to advertise their holdings to non-users and to enable archives to be developed for educational use.

Authorities are reminded that they have a legal duty to provide public access to information that they hold under Freedom of Information (Scotland) Act 2002, the Environmental Information (Scotland) Regulations 2004 and the Data Protection Act 1998.

Specific to local authorities is section 54 (1) of the Local Government etc. (Scotland) Act 1994 which authorises local authorities to do anything which appears to them to be appropriate for the purpose of enabling proper use to be made of their records including:

- make records available for inspection/consultation under supervision
- provide copies of records
- prepare finding-aids for records
- exhibit and publish records

Appendix 1

Glossary of terms used in this document

Authority/Public Authority – For the purpose of the Public Records (Scotland) Act 2011, a body that appears in the schedule to the Act: <http://www.legislation.gov.uk/asp/2011/12/schedule/enacted>.

This schedule can be amended under the terms of section 2 (2) of the Act.

Collections care - Range of activities intended to safeguard a collection. These activities can include organizational policies, security, storage, cleaning, maintenance, handling, scientific investigation, environmental monitoring and control, exhibitions and loans, conservation, provision of surrogates and emergency planning.

Conservation - Interventive techniques applied to a physical item to achieve chemical and physical stabilisation for the purpose of extending the useful life of items to ensure their continued availability.

Data Protection – Issues around the Data Protection Act 1998, the main purpose of which is the protection of private information about living people and to confirm that an individual has the right to know what information is held about them. N.B. The Data Protection Act does not give members of the public the right to access the actual records held by a public authority.

Document – Information or data fixed in some medium, which may or may not be considered in whole or in part an official record.

Freedom of Information – Issues around the Freedom of Information (Scotland) Act 2002 – known as FOI(S)A – this Act introduced a statutory right of access to all types of recorded information of any age held by Scottish public authorities, subject to certain conditions and exemptions. The Act is promoted and enforced by a fully independent Scottish Information Commissioner.

Guidance to the Model Records Management Plan – Guidance issued by the Keeper of the Records of Scotland (the Keeper) to assist public authorities to create a records management plan that is sufficiently robust to receive the agreement of the Keeper.

Keeper of the Records of Scotland - NRS is headed by the Keeper of the Records of Scotland, who is responsible to the Scottish Ministers for the management of NRS. The separate office of Keeper of the Records of Scotland was created in 1949, although its antecedents date back to the 13th century.

Management of Records – For the purposes of the Public Records (Scotland) Act 2011, management of records includes the keeping, storage, securing, archiving, preservation, destruction or other disposal of an authority's records as defined in section 13 (1) of the Act.

Model Records Management Plan – Document produced by the Keeper of the Records of Scotland that shows the elements he considers should be addressed in the records management plans of all public authorities.

National Records of Scotland – Performs the registration and statistical functions of the Registrar General for Scotland, including responsibility for demographic statistics and census, and the archival functions of the Keeper of the Records of Scotland including maintaining the archives as one of Scotland's five National Collections, and providing a leadership role for Scottish archive and record professionals

Permanent Preservation – The principle that some material created by an authority will be of enduring value and will be preserved beyond its business use.

Public Records – For the purpose of this document, this refers only to records that are subject to the Public Records (Scotland) Acts 1937 and 2011.

Public Records (Scotland) Act 2011 - <http://www.legislation.gov.uk/asp/2011/12/contents/enacted>

Record – Information created, received, and maintained in any form as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business.

Records Management - The practice of formally managing records within a system (electronic and/or paper) including classifying, capturing, storing and disposal.

Records Management Plan – A formal statement by which an organisation explains the procedures it has in place to ensure the proper management of its records. A public authority, if it appears in the schedule to the Public Records (Scotland) Act 2011, will be required to have its records management plan agreed by the Keeper of the Records of Scotland.

Retrieval/Tracking – The mechanism by which an organisation notes record movement.

Storage – The housing of a collection of records whether or not on display or publicly accessible, if designated, to be temporarily or permanently retained.

Appendix 2

Examples of formal archive standards

PD 5454, Recommendations for the Storage and Exhibition of Archival Documents (2012: ISBN 13: 9780580716003) [Management Library & Information Services](#)

'Archive Service Accreditation', the new UK wide quality standard which defines good practice and agreed standards for archives: <http://www.nationalarchives.gov.uk/archives/standards-framework.htm>

PAS 197:2009, Code of practice for cultural collections management (ISBN 9780 613524)

PAS198:2012, Specification for managing environmental conditions for cultural collections (ISBN 978 0 580 71315 6)

Standards and requirements for electronic records management: <http://www.nrscotland.gov.uk/record-keeping/electronic-records-management>



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EH1 3DG

ISBN: 978-1-78544-911-6 (web only)

Published by The Scottish Government, December 2015

Produced for The Scottish Government by APS Group Scotland, 21 Tennant Street, Edinburgh EH6 5NA
PPDAS61909 (12/15)

W W W . G O V . S C O T