Integrated Business Classification Scheme and Retention Schedule Quality Control Procedures

Name of Record	Integrated Business Classification Scheme and Retention Schedule Quality Control Procedures
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Version	Notes	Author	Date
0.1	First draft version	HJ	26/02/2021
0.2	Updated in response to CMG review	HJ	19/04/2021
0.3	Updated in response to CMG final review	HJ	21/04/2021
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Introduction

The integrated Business Classification Scheme and Records Retention Schedule (BCS and RRS) provides the primary framework for the organisation and life-cycle management of Council information and records. It is vital that it is subject to rigorous maintenance, review and change management controls to ensure that it remains fit for purpose. This document sets out the quality control procedures that must be followed to enable this.

The Senior Information and Improvement Officer is the owner of the BCS and RRS and is responsible for its control, maintenance and update in light of required changes, and for the communication of those changes to relevant Council officers.

Formal controlled versions

The following table lists the controlled versions of the integrated BCS and RRS. It must be kept up to date, with any new controlled versions and/or changes to the purpose or format of existing versions documented in this table.

Authority copy	Maintained in MS Excel format
User copy	Static version, published for user access in PDF format. The retention schedule includes a subset of the full set of columns in the authority copy for ease of use.
Information Asset Register (IAR) extract	Extract of data from the BCS and RRS used in underlying tables of the IAR to enable the tagging of Council information assets against the relevant BCS classification and records retention rule(s).

Document control, version history and audit trail

Summary changes to the BCS and RRS must be documented in the document control worksheet of the authority copy.

Specific changes made to BCS terms must be documented in:

- Column E - *BCS Edit history* of worksheet *4. BCS L1-L3*.

Specific changes made to individual record series must be documented in:

- Column L – *RRS Edit History* of worksheet *5. Full RRS*.

Existing record series are linked to the corresponding record series in the last published version of the RRS, prior to integration with the BCS, in:

- Column M *RRS 2.15 Ref No* of worksheet *5. Full RRS*.

Previous published versions of the Council's separate BCS and RRS have also been retained to maintain an audit trail and include both summary and detailed edit history. These are supplemented by a record documenting consultation and decision making behind the integration process.

Review and update procedures

Formal review

The integrated BCS and RRS will be subject to formal review at least once a year to ensure that:

- it remains fit for purpose and is updated to comply with any changes in legal, regulatory and business requirements

- to identify and address any existing gaps or errors

- to identify records series being received or generated by the Council but which are not listed and need to be added to the RRS

- to identify records series which are no longer received, generated or held by the Council and need to be removed from the RRS

The Senior Information and Improvement Officer will instruct Service managers designated as Information Asset Owners, or their delegated representative, on review requirements and is responsible for co-ordinating maintenance and updating processes.

Service managers will review the areas of the BCS and related retention and disposal rules for the records for which they are responsible.

The proposed revisions will be reviewed and approved by the Senior Information and Improvement Officer and follow a strict control process for updating the BCS and RRS to maintain the integrity of the full authority copy and related controlled versions.

<u>Occasional amendment</u>

Change requests may be received by users of the BCS and RRS out with formal review processes. Where the potential for an amendment is raised, the following process will be followed:

1. Query or proposed amendment is submitted via change request form to Senior Information and Improvement Officer (SIIO).

2. SIIO reviews, in consultation with relevant Service representatives where appropriate.

3. SIIO makes decision on whether to amend the BCS and RRS

4. SIIO amends BCS and RRS accordingly, in line with these QA control procedures

Reference numbering, naming conventions and order of entries

Each level term of the BCS and every record series row of the RRS must be in alphabetical order, have a reference number, and the reference number must be unique to each row and follow the reference number protocol. This is illustrated in the table below.

BCS/RRS level	Order of entries	Ref no	Worked example
L1 - Function	Alphabetical order	XX	06 CEMETERIES AND CREMATORIA
L2 - Activity	Alphabetical order	XX.XX	06.01 Burial identity and location

L3 - Transaction	Alphabetical order	XX.XX.XX	06.01.01 Bookings
L4 – BCSL3 + Record series	Alphabetical order	XX.XX.XX.XX	06.01.01.01 Bookings – Applications (for a cremation, interment or monument erection)

Reference number protocol change control

When new record series are added, a new number must be generated in the following format: XX.XX.XX.XXa. This approach ensures that the order of entries is maintained without the need for full renumbering of the relevant functional section.

Individual BCS level terms and/or individual record series items which are removed in the future should be scored through in the authority copy, but deleted in the other controlled versions.

Entry naming conventions

Entries should not include abbreviations unless these have been formally agreed and documented in a controlled *"Accepted abbreviations"* list

All entries should be in Sentence case i.e. capitalise first letter, lower case for rest.

BCS terms must not include commas.

Standardisation of RRS terms
New and revised retention schedule entries should use the following standard terms:

Trigger
- Defined point in business process
  - Superseded
  - Last action
  - Termination
  - Closure

- Calendar date
  - End of current year – this is default value and is end of calendar year
  - End of current financial year
  - End of current academic year
  - Date created

Disposal action
- Destroy
- Retain for business or historical value
- Review for business or historical value