Appendix 4

The Moray Council

Records & Information Management Policy

2013

Element 3 Records & Information Management Policy

Appendix 4

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The Moray Council – Records & Information Management Policy

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The Moray Council – Records & Information Management Policy

1.0 Introduction

Records and Information management describes the way the Council creates, organises, uses, shares and disposes of its information and ensures that the value of the information is recognised and exploited to the fullest extent.

The Records and Information Management Policy will ensure that the vision for standardisation, simplification and sharing will be achieved across the Council through appropriate use of technology and the management of information, records and archives within the systems, both electronic and paper.

The Records & Information Management Policy recognises the Councils statutory obligations to manage its information, records and archives under the Public Records Scotland Act [PRSA], the Records Management Plan required under the PRSA, the Scottish Ministers Code of Practice on Records Management under Section 61 of the Freedom of Information (Scotland) Act and the Data Protection Act and other access to information legislation.

Recorded information is a valuable and tangible asset - like people, equipment, money and buildings. Its value must be recognised and every effort taken to manage recorded information appropriately. Records Management should be recognised by senior management as a corporate function with effective organisational support. Policy and policy documents must be endorsed and supported by the Corporate Management Team.

Records Management is defined as the:-
'field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records[1]'.

Records are defined as:-
'information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business.'

The Records & Information Management Policy applies to all information received, created, used, saved, retained, retrieved, preserved or destroyed by the Council, including information so created by its partner organisations and third party contractors. It also applies to information preserved permanently in the Council archive.

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[1]   BS ISO 15489 – 2001 – records management

The policy applies to all information whether paper or electronic, including specialist ICT systems, emails, dvd, cctv, social networking and the council intranet and website.

Information created by or for the council remains the property of the Moray Council and is managed according to its records management practices.

2.0 Policy Statement

The Moray Council will manage its records in accordance with good Records Management practices, standards and guidance issued by government, The National Records of Scotland, the Information and Records Management Society, Archives and Records Association, the Scottish Council on Archives and British and International standards.

In following good practice the Council will ensure it complies with legislation including Freedom of Information (Scotland) Act, Data Protection Act, the Public Records (Scotland) Act and other access to information legislation.

The policy is underpinned by the Council's corporate objectives and its core values and also supports its governance obligations and modernisation programme. In particular the introduction of a corporate electronic document and records management system and the move away from paper to electronic records.

The Council will manage its records by:
- creating reliable, accurate, up to date information
- ensuring that personal, sensitive and confidential information is held securely according to legislation
- ensuring records are disposed of by destruction or archiving according to the Records Retention and Disposal Schedule
- records are fit for purpose and meet current and future administrative, regulatory and legislative needs and support the council in its day to day business and future aims
- ensuring business critical records are identified and preserved ensuring protection of vital information and ensuring business continuity
- identifying records to be permanently preserved in the council archives.
- records are kept which will provide evidence of business and cultural activities

Good records and information management will benefit the Council by:
- ensuring compliance with all relevant legislation
- allowing staff to adopt modern, efficient methods of working
- achieving standardisation in record keeping across the council
- supporting the streamlining of processes across the council
- allowing staff to work across different services
- saving once and sharing many times as appropriate
- supporting digitisation and workflow

- reducing the amount of storage space for paper records and server space for electronic records
- enabling staff to find information easily
- enabling staff to share information with confidence with appropriate security levels applied
- providing an audit trail to meet service users, business, regulatory and legal requirements
- duplication of records is avoided
- business continuity, future proofing and migration of records is done according to the best current available practices
- maintaining professional standards
- ensuring best practice in record keeping to protect our service users

3.0 Executive Summary

The Records & Information Management Policy must support the Council's overall business Policy and ensure that everyone understands and uses information effectively in their work.

The Records & Information Management Policy should be endorsed and promoted by managers who will support staff in its implementation and operation.

The Records & Information Management Policy will allow information to be exploited to the full through appropriate recording, sharing, dissemination and access.

The information created, used and retained by the Council will be reliable, accurate, up to date, usable and findable. It will also ensure that the integrity of the information is guaranteed.

Information will be seen as a vital, corporate asset and available across the Council to all staff, where appropriate, to enable them to do their work efficiently. This is especially important in the delivery of customer service by front line staff.

The policy supports the implementation of a corporate electronic document and records management system with a corporate file plan to support and facilitate the introduction of workflow, collaborative working and appropriate sharing of information.

The corporate management of information will remove barriers to joined-up working and allow the Council to improve services and service delivery.

The policy will also ensure that the Council manages its information in compliance with relevant legislation, including Freedom of Information (Scotland) Act, the Data Protection Act, Disclosure Scotland and the Public Records (Scotland) Act 2011. It will also ensure that the Council works to approved information and record keeping standards, particularly ISO 15489 on Records Management. It will also ensure that the Council complies with government policy.

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The Council Retention and Disposal Schedule details how long records should be kept before being deleted, destroyed or archived. It ensures that the Council complies with Data Protection, Freedom of Information and other legal, audit, statutory and professional requirements concerning the length of time information should be kept. It also ensures that no information is held by the Council for longer than necessary.

The management of information ensures that the Council is accountable and that accurate and reliable information is produced during external and internal audits and inspections.

The policy will also ensure that information created is captured once but used many times to reduce duplication.

The policy will ensure that only valuable information is retained and that working papers, drafts, notes and temporary, short-lived, transient or ephemeral information is disposed of once it is no longer needed for day to day working.

The Policy will also ensure that the Council reduces its impact on the environment by introducing a corporate electronic document and records management system, scanning and workflow to reduce printing costs, paper, paper storage and associated costs.

4.0 Designing Better Services Vision

The Designing Better Services ideals of
Standardisation, Simplification and Sharing

can be achieved through:
- *The electronic sharing of information*
- *Having information held once, in one place*
- *Making information easier to find*
- *Reduce the requirement for paper storage and printing*
- *Where appropriate, to allow information to be shared between relevant staff.*
- *Where appropriate, workflow should be implemented in order to ensure that efficiencies can be gained using workflow to streamline processes.*

5.0 Roles & Responsibilities

5.1 Senior Management

To ensure the success of the Records & Information Management Policy it must be implemented, supported at a corporate level to ensure its ongoing usefulness to the Council and its staff.

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It is recommended that a senior officer with appropriate skills is identified to act as Senior Information Risk Owner whose role would be to co-ordinate information security for the Council.

5.2 Records Manager

The Records Manager will be responsible for the management of the information within the electronic and paper systems. The Records Manager will provide professional management, guidance and advice, support and training to fully exploit the information created and held by the Council ensuring appropriate security, access, legal compliance and good records management.

The Records Manager will be a professionally qualified records manager and a member of the Information and Records Management Society and the Archive and Records Association. This ensures compliance with the Public Records (Scotland) Act.

Advice and guidance on the management of recorded information, whether paper or electronic, is the remit of the Records Manager. The responsibilities of the post include:
- developing and implementing a corporate Records Management and Archive Policy
- advising the Council of statutory responsibilities in relation to Records Management including storage and disposal of records
- developing systems for managing manual and electronic records across the council
- supporting and facilitating new ways of working
- advice and training for staff, including data protection and freedom of information
- documentation including policy, Policy, records management plan, guidance and training
- ensuring efficient and effective liaison with all council departments in implementing policies, giving advice and guidance on retention, security, version control, classification, taxonomy, metadata, legislation, access, system design and implementation, migration, testing, training and archives for electronic and paper records.

The post of Records Manager is a corporate post and will report to senior management as appropriate.

5.3 All Staff

Council staff, with the support of the Records Manager, will implement the Records Management Policy and Policy, guidance documents and the Record Retention Schedules and manage their records according to these documents. Training in records management will be devised by the Records Manager.

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Staff will be identified to act as information advocates or 'champions' who will promote best practice in information, knowledge and records management. A Records Management Liaison group has been established to support this aim.

All staff are responsible for the accuracy, reliability, and security of the information they create, store, share and retrieve.

5.4 ICT

ICT will be responsible for the systems, the robustness, reliability, functionality, future proofing, migration and usability of electronic systems and support networks ensuring the security of the systems and their consistent availability and support and help. Training in systems will be provided by ICT in conjunction with the employee development unit.

6.0 Scope

The Records & Information Management Policy applies to all information created, used and stored by all Council staff at whatever location, including home working and remote working.

This policy applies whether services are delivered in-house, through partnership arrangements or contracted out. The responsibility for records management lies with the service or service provider, who is ultimately accountable to the Council for demonstrating that records management aligns with the Council's requirements in this area under the Public Records Scotland Act, Freedom of Information (Scotland) Act and Data Protection Act. Staff will be supported by the Records Manager using guidance, policies and procedures.

Information currently created and stored by the Council includes:-
- electronic documents and records, including large scale plans and maps, case and client records, pupil records, personnel records, financial records etc
- paper records which require to be kept under the Retention and Disposal Schedule (e.g. adoption and fostering client files 100 year retention)
- Paper records which need to be kept for legal, business, client, quality assurance or evidential purposes
- Vital records needed for business continuity
- Scanned records
- Microfilm and microfiche copies of records
- Email
- databases
- webpages
- internet/intranet
- moving images – podcasts, video, dvd, cctv etc

- information held remotely e.g. pen or memory sticks, blackberries, mobile phones, external hard drives, laptops, remote working devices, c:drives, hard drives and cds.
- information held at all Council locations and offices and some associated partners e.g. NHS, Police
- information as knowledge gained by staff in doing their work

From 2013, under the Public Records (Scotland) Act, council policy on records management will also apply to the records of those external bodies who provide services to the council.

7.0 Records & Information Management

7.1 Corporate Information

Information which is required to be kept for business, legal, client, audit or performance monitoring must be regarded as crucial to the council's business. It is important that information is created in a consistent manner. To this end there should be a consistency of approach to the look, layout, contact information including the use of generic email and contacts rather than personal contact details for those outside of the council. Generic templates will be held as a council resource for the use of staff. This will include procedures for policies, strategies, minutes, reports and agendas and include 'ownership' being assigned to staff responsible for the creation and continued accuracy of such records, including reviews of records, identification of records and version control. The 'owner' of these records will also ensure that they are retained appropriately according to the retention and disposal schedule or identified as archive if of permanent value to the council.

7.2 Confidential, Personal or Sensitive Information

Confidential, personal or sensitive information will be identified as such and will be kept, shared and disposed of securely and according to the Data Protection Act.

A Privacy Impact Assessment should be undertaken when new electronic systems capable of holding such information are introduced.

Confidential, personal or sensitive information will be kept according to the retention schedule.

Staff may be asked to sign a confidentiality agreement where appropriate

Staff should be given training or guidance to identify such material and to handle it appropriately i.e. security, access

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The Council may introduce security marking and tags such as confidential, personal, for the eyes of xxxx only, and may adopt the government security marking codes.

The Council may use a warning marker scheme to highlight information useful for staff when e.g. visiting customers and sharing information.

Confidential, personal or sensitive information will not be widely available but will have access permissions assigned to it.

If the information does need to be reproduced or copied redaction will be done to remove names, signatures, addresses, photographs and other information capable of identifying an individual.

The material will be held securely until destroyed. The Council has a confidential waste contract for the destruction of such paperwork and will ensure that electronically held information is also securely disposed of e.g. in hard disks.

The centralised scanning unit and mailroom will be enclosed, lockable and not in a public area.

Such information will not be shared without consent

Such information will not be available on the council internet.

7.3 Knowledge Management

The Policy also acknowledges the need to manage knowledge - to capture the information and expertise gained through experience of a job to ensure that such information is retained and exploited by the Council. This is especially important at times of staff cuts, at reorganisation and when staff retire.

Knowledge can be defined as tacit or explicit :

- Tacit knowledge is the accumulated knowledge and experience of individual staff, which can be difficult to share within the Council unless formal procedures are introduced to ensure such information is recorded and becomes part of the Council's records.

- Explicit knowledge can be recorded and stored and is easily shared among staff and clients. It is the information found in the Council's records.

Knowledge can be retained by the Council

- by recording and sharing such knowledge
- by identifying staff with experience and expertise

- creating a knowledge and skills bank
- through training
- connecting people to people – to ensure that skills and knowledge are shared
- succession planning when posts are vacant, at promotion or retirement
- connecting people to information – so that staff know where to find knowledge and information e.g. contact centre staff know which staff have specialist knowledge and which systems hold which information
- connecting people to systems – so that staff know how to access and retrieve useful information from systems holding information
- identifying posts which are statutory or need specialist training/professional qualifications before appointment
- establishing a skills register of staff

7.4 Document Management

Staff will manage current, active, draft and working documents according to good record management principles. Working documents will be created, drafted etc in the checked out area of the electronic document management system adopted by the council if appropriate and possible, or the shared drive if not. Care will be taken to title and version control records according to the council's naming conventions and file plan where possible. Care will be taken to assign correct access permission and security to documents.

Documents in a workflow system will be automatically transferred through the workflow process and staff will adhere to this system and not save additional copies. Documents will be kept in the electronic document management system adopted by the council and not saved into other systems, unless professionally required to do so.

Care will be taken over documents saved onto laptops, memory sticks, Netbooks, Smartphones and other mobile working devices and deleted once work has been complete and checked back into the EDRMS. Appropriate encryption and password protection will be applied. This will keep the council compliant with legislation especially the Data Protection Act.

Documents will be shared electronically as appropriate and will not be printed out. No paper documents will be filed unless e.g. a signed original record is required for legal purposes.

Personal working space will be allocated staff to create, draft and edit documents. Once the documents are ready for consultation they will be checked in and made available via the system to other staff as appropriate. To ensure that such sharing is easy staff will use the corporate file plan.

Drafts, working notes and previous versions will be deleted once finalised and only final and agreed versions of documents will be saved as a Record of work done and completed. Documents so saved will have retention periods added to them according to the council

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Retention and Disposal Schedule and managed according to records management principles.

Emails will be treated as documents and deleted once finalised unless the information they contain, or attachments, is required as a Record of work done. In this case the email will be saved in the EDRMS as a Record according to its subject and the appropriate retention period added. It will be saved according to the corporate file plan for the subject matter it relates to.

All documents and records are subject to the Freedom of Information (Scotland) Act.

7.5 Records Management

The Council Records Management Plan recognises the need to create records that are authentic, reliable, usable as defined in ISO 15489 and legally admissible according to BIP 0008. A records management plan required by the Public Records (Scotland) Act will be submitted for approval by the National Records of Scotland in 2013 and this plan should be fully supported and implemented by the council.

A suite of guidance and information on Records Management has been produced and will continue to be developed. The Records Management Liaison group has been established to identify champions in departments who will promote good practice and continuous improvement.

Records must be stored according to the corporate file plan and consistent file naming conventions will be followed to ensure information is well organised and is findable, searchable and usable.

It is also crucial that version control is used to ensure that information is published or 'declared' as the final record to ensure that staff know which information has been agreed and approved and which is in draft or an earlier version. This will ensure that information is unalterable, accurate, authentic, up to date and reliable. It will increase staff confidence in the quality of the information they refer to.

All records should not be kept permanently – it is important that all records have retention and disposal dates. This ensures that no record is kept for longer than necessary and only valuable, useful records become archives and are retained permanently. Some records do have long retention periods and must be stored securely and access to them tracked, whether held electronically or in paper. Some records will have a permanent retention and these will become part of the council archive.

All records, including emails, may be subject to requests for information under Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998. It is, therefore, important to apply the Retention and Disposal Schedule to reduce the number of records created and stored by the Council which could be subject to FOI(S)A; managing records

according to Retention & Disposal Schedule is deemed to be "normal processing" under the Data Protection Act 1998 and Freedom of Information (Scotland) Act 2002.

Access to information must also be controlled to comply with Data Protection legislation and to reassure staff and customers that information will not be subject to theft or inappropriate use.

It is also important that the Council identifies vital records ensuring protection of vital information and ensuring business continuity.

The ARMS improvement framework, developed by the Scottish Council on Archives, could be used as a self evaluation tool for records management and archives.

The introduction, implementation, development and on-going corporate support for an electronic document and records management system (EDRMS) is key to the success of the Records & Information Management Policy.

The information created and held within the EDRMS must be actively and consistently managed to ensure maximum benefits are obtained by the Council for its investment.

This will involve controlling how the information is created and held by:-

- Using a corporate classification scheme and file plan. The Moray Business Classification Scheme will be based on the esd toolkits including the Local Government Classification Scheme.
- The Council retention and disposal schedule will be applied to all information (electronic or paper) held in the system to ensure no record is held for longer than necessary
- Staff will be identified who will manage the information within the system for their department or section.
- Conventions will be introduced to ensure consistency in filing information e.g. through use of metadata and naming conventions
- Information will be carefully controlled through the correct use of versions and declaration or publication of information as records to guarantee authenticity, reliability and to ensure that only up to date information is used.
- Email will be recognised as a corporate information asset and the valuable, useful, accurate information contained in them will be filed with the Council records to capture and support business decisions.

All systems used by the Council should support one another – integration with existing systems being core to the access and sharing of information to allow staff to perform their jobs without spending time searching different systems for the right information.

The system must support the new workflow initiatives and business processes identified by the Designing Better Services team and will support remote and home working. The network will be sufficient to ensure consistent delivery of information at the right time, to

the right people and the right places in an efficient and timely manner.

Information stored in a well organised system will be easily found, retrieved, which will achieve the aim of improving efficiency in service delivery by staff for customers. It will also keep the Council compliant with legislation.

Information will also be readily available for external auditors and inspectors. Information will be held in appropriate formats and to appropriate standards to meet legal admissibility requirements.

7.6 Archives

The Council will recognise that certain important records should be retained as a permanent record of work done e.g. minutes and reports and also for legal, historical, cultural and research purposes, with a view to the possible future exploitation of such information e.g. for ancestral tourism.

The Policy recognises the need for long term storage of such records in both physical and electronic format. Many of the current systems used by the Council do not have retention or disposal capabilities nor can they archive information. In this way the Council keeps more information than it may need and does not recognise the value of the information it keeps

The Moray Council recognises that, under the Public Records (Scotland) Act and The Scottish Ministers Code of Practice on Records Management under Section 61 of the Freedom of Information (Scotland) Act, it has a statutory obligation to provide proper arrangements for the care, preservation and management of all records created by the Council. It covers all formats, as well as those records inherited from its predecessor authorities and those collections placed in its care for permanent preservation. The Public Records (Scotland) Act 2011 supersedes the Local Government Act 1994 in regard to the management of records and archives and strengthens the requirements for the management of current and historical collections of records.

It is important that the council recognises the importance of these archives, manages them as a corporate resource preserving the corporate memory.

8.0 Security of Information

Information which is personal or sensitive must be identified under the Data Protection Act and will be securely stored at all times.

Permissions to access and share such information will be established and controlled. An EDRMS will make this easier to achieve as permissions can be set for individual users or groups of users.

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It is also important in a paperless environment that ICT systems, networks and equipment are robust, reliable and capable of providing 24 hour 7 day a week service across a wide network.

The ICT network must be secure and prevent unauthorised access to information or the transition of information in an insecure manner.

Information will be disposed of according to the Retention and Disposal Schedule which will ensure that it is not kept for longer than necessary in breach of the Data Protection Act.

Personal and confidential information should be shared and distributed by email with caution. It might be required to use the .gsx (secure government network) email system for certain classes of information.

Personal and confidential information should not be held on memory or pen sticks, remote working devices or laptops which are un-encrypted.

The Council Corporate ICT Security Policy gives full details of how to keep computer systems secure.

It may be that in certain instances the Council will adopt the Government Protective Marking Scheme, which classifies records according to the sensitivity of the information they contain.

Information which is crucial to the business continuity of the Council will be identified and its safety and security ensured.

Information, whether electronic or paper will be stored to avoid loss from environmental disaster or poor conditions. Electronic systems will be backed-up to ensure both business continuity and to avoid loss or corruption of information.

Information will be stored in such a way that once published or a final version agreed the information cannot be altered, re-edited or tampered with.

Personal information will not be made available via the internet unless previously advised and agreed or in line with legislation.

Systems which manage information must be capable of redacting personal and confidential information to prevent it being inappropriately shared or allows the possibility of identity theft.

Confidential and personal information will also be destroyed appropriately and a record signed by senior staff agreeing to its destruction kept. Confidential and personal information on paper must be destroyed using the corporate contract for the destruction of confidential waste; other non-confidential paper may be recycled.

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Confidential information held on electronic systems must be deleted completely and any hard discs or backup tapes must also be destroyed appropriately.

It is anticipated that the Council will identify a senior member of staff to act as Senior Information Risk Owner (SIRO).

Staff will need to have ready access to information to allow them to perform their work efficiently wherever they are located – at any time, any place or anywhere. Managers will need to be able to control and monitor the processes to ensure the work is being done efficiently, correctly and to the satisfaction of the Council's clients and customers.

Customers will have access to the same, up to date information from staff at a variety of access points as suits their needs and requests. Customers will not have to contact different departments or staff to satisfy their requests. Customers will also be able to access information for themselves via the internet and many queries may be submitted using e-forms online.

To ensure that information is readily available it will need to be captured, indexed and filed in a consistent, organised corporate filing system. This will be achieved with the introduction of a corporate electronic document and records management system with consistent metadata attached to information, a corporate file plan and file naming convention which will make saving, filing, retrieving and sharing of information consistent, streamlined and efficient across the Council.

The information will be organised by function rather than department to allow ease of use and to prevent re-ordering of information in response to departmental or local government re-organisation.

9.0 Scanning

In future the printing and storing of paper records will be restricted to information required for legal or audit purposes. Information created and stored electronically should not be printed. All other paper will be scanned to the British Standard 0008 (BS 10008) (the standard for legal admissibility) and held electronically. The paper originals will be destroyed as agreed once quality control checks have been performed and in agreement with the service and customer services.

It is not proposed to back scan large volumes of paper records e.g. those created and held by social work as case files with long retention periods, as this would be too costly and time consuming.

Some information held in paper records will therefore need to be stored by the Council securely and with controlled and monitored access and retrieval. Such paper records will diminish over time as they reach their disposal dates from the retention and disposal schedule. In the future more records will be created and stored electronically. Some paper

records will be retained permanently in the Council's archives for future consultation and use by the public, but again, the number of such manuscript archives will reduce as more records are created and held electronically in the first place.

Scanning will be centralised with some scanning done in the access points. It will use staff expertise and experience to index documents either at the point of scanning or within departments to ensure the efficient use of scanned documents for the workflows and for filing within the electronic document and records management system. It is acknowledged that in future the amount of paper and white mail received by the Council will diminish as more information is available electronically.

The Council will be prepared to adopt new technology to improve the management of its information.

10.0 Risk Management and Business Continuity

The Records & Information Management Policy identifies the major risks associated with the management of information, especially when the Policy relies on electronic or distributed systems. Assessment of these risks facilitates identification of measures to be taken to manage the risk and prevent any problems leading to major disruption to operations.

Loss of systems and records could be a significant. For many services the storage of, and access to, essential data is vital for continuation of service delivery. Introduction of a council-wide system, accessible from many locations, with standard classifications that improve location of records, should enhance resilience. Identification of essential data for critical functions will ensure they receive appropriate back-up arrangements to try to ensure their availability for business continuity purposes.

Risk	Detail	Preventative Measures
ICT infrastructure or application is not able to maintain service	The computer system goes down and remains down	Back-up and network back up Disaster plan. Adequate ICT support
	Interruption to service due to software failure	Back-up and robust procurement System support and training Adequate ICT support
Insufficient resources to implement the project	Lack of staff to see projects through	Robust procurement, project management, scope, clear aims and objectives
	Lack of funding	Corporate support for project. Accurate cost forecasts. Adequate budget identified

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	Lack of equipment, hardware and software to support staff, especially if remote and home working. Licensing and support too expensive	Robust procurement and project costing
Document Management application is not adopted consistently across all services	Lack of corporate or senior support	Communication, training, demonstration, cost savings, increased efficiency, management tools performance monitoring, control of information, useful information readily available
	Lack of buy-in from staff – entrenched in current work practice	Communication, training, support (on-going), involvement, contribute to change Change management
	Inappropriate speed of implementation	Clear project plan, clear and achievable aims, the right staff to do the job
	Corporate file plan/classification scheme goes out of control. Staff won't use it and add own categories	Control over system. Power administrators who control system. Monitoring, already configured to avoid choice. Communication of benefits, training and on-going support. Involvement in roll out
Security of data is not addressed adequately	Lack of robust and secure network – centre and outworking	Network is tested for robustness and connectivity in advance of change and new ways of working
	Security breaches	Tight control of information within electronic systems. Security permissions can be set. Breaches can be monitored and reported
Document Management procedures not adhered to	Information stays in system beyond its usefulness and in breach of legislation	Retention and disposal schedules must be applied and controlled
	Information out of date, inaccurate, low value, useless	Version control and published or declared records. Staff have confidence in using the information and in its value
	Information cannot be found. Information not	Robust specification. Robust procurement procedures. System chosen capable of full

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	structured into classification scheme/file plan. System does not support hierarchical file plan. Metadata not adequate.	EDRM. Training and support
Sustainability of a Council wide system is not built into protocols	Workflow not supported	Ensure systems support workflow. Business processes identified. Training and support. Managerial control and support
	No succession planning	Staff training, recording of knowledge, staff skills register, plan ahead

11.0 Digital Preservation - Future proofing of information/Migration of information across systems.

It is important that all information, whatever its format is available, authentic, reliable, readable, searchable and usable in the future. Consideration should therefore be given to future migration of information between computer systems, long term storage and security of such information and the likely degradation of information held electronically or in paper format to ensure that the integrity and usability of the information is maintained. The council must have an Access to Information and a Migration plan to prevent loss of information.

12.0 Training

Core competencies must be developed so that staff understand how to create, name, file, use, share, search and retrieve information from Council systems. This will include training in ICT skills such as using office packages, corporate systems and email as appropriate.

Staff must also be trained in the management of information within systems and to appreciate its value, the importance of using council wide procedures on filing, naming, version control and the application of retention and disposal procedures.

It is also appropriate that experienced staff share their knowledge and experience with other staff to ensure succession planning and continuity of service.   Much of this can be achieved by encouraging a culture of sharing and collaborative working; the recording or capture of information and through induction and training programmes run by the Council. Project work and collaborative working will also ensure full use of information created and held by the Council.

A corporate communication Policy will also ensure that key messages are effectively communicated to staff in an appropriate and consistent way.

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13.0 Benefits of Records & Information Management

13.1 Cost Savings

- reduce costs of storage of paper and electronic records
- reduce time taken to create, file and find information
- reduction of duplication
- staff are able to work in different areas – less need for specialisms
- cross department and collaborative working
- staff will be upskilled and able to multi task across the council
- support corporate administrative function
- efficiency in use of ICT systems
- reduction in the number of ICT systems supported
- less paper and associated printer and consumables costs
- less office storage space – records held electronically
- reduction in records and documentation held
- smaller office space necessary
- remote and home working – access to information remotely to allow work to be carried out
- efficiency savings – time, staff, storage, office space, equipment and consumables

13.2 The Council

- information will be seen as a corporate asset
- information will be organised by Council functions rather than by department to prevent silo working and resistance to sharing and access where appropriate
- staff are confident that they have access to and are using the correct version of a record
- staff are confident in the use, retrieval and delivery of information to customers and colleagues
- enable information to be shared as appropriate both internally and externally
- promotes collaborative working across the Council
- support research and development across the Council
- support continuity and consistency in practices across the Council
- reduce the risks of loss of information
- enable the Council to modernise in line with Government initiatives
- fulfil the vision of DBS
- cost savings in terms of staff time, storage, efficiency and reduction of paper use
- environmentally friendly information creation and storage
- promotion of sharing information using as few resources as possible e.g. no copies printed off e-documents
- knowledgeable, well trained and informed staff confident in their ability to do their job
- staff confident about how to do their jobs and not afraid to share, innovate, change
- staff do not need to reinvent the wheel every time a new member of staff joins

- clear workflows in operation to allow staff to multitask as necessary. Avoids overload of work and promotes collaboration and sharing of tasks
- staff are well trained and supported in the use of the systems and how to create, file, name, search, retrieve and share information

13.3 Customers/Users/Clients

- service users will be able to access their information if appropriate under Data Protection
- service user information will be retained according to the retention schedule
- customers will benefit from a variety of information on different topics being available via one contact point for Council services
- achieve improved service delivery and efficiency in the provision of information about Council services
- achieve improved service delivery and efficiency in the provision of work from Council services
- Council accountable to customers
- Information readily available
- Knowledgeable staff inspire confidence in Council services
- Immediate delivery of services
- Immediate access to service
- Client information is preserved as appropriate for future consultation.

13.4 Value of the Information

- information is accurate, up to date and relevant
- information may be readily exploited
- only useful records are kept
- meaningless information is not kept
- drafts, working notes etc are indentified and not held as formal records
- email messages are recognised as Council records and saved as records with appropriate retention and disposal criteria attached
- supports decision making
- Information to support audits, inspections and performance indicators readily available

13.5 Organising the Information

- information is formally captured at the point of creation where possible to allow workflow to be implemented, records to be saved appropriately and loss of information to be minimised
- more information will be held in one place (EDRMS)

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- information is captured once and that one record accessed many times by staff with appropriate permission
- enables information to be found quickly and easily
- Retention and disposal schedules are applied to all records thus reducing the volume of records held and stored by the Council
- reduces duplication
- information is archived where necessary in a well managed and well documented way
- Reduce the time spent filing and retrieving documents/records
- Improve the ease of access to data and information, while remaining secure
- Information stored in one standard filing system which will allow information to be shared and searched more easily

13.6 Legal Compliance

- Reduces the amount of records which need to be searched for under Freedom of Information (Scotland) act enquiries
- information will be held securely
- information will not be held for longer than is necessary
- information management will ensure compliance with legal and statutory requirements
- providing an audit trail to meet business, regulatory and legal requirements Valuable and critical information is identified and protected
- Security and access to information is monitored and controlled
- Electronic records will be scanned to ensure legal admissibility according to BS 10008 (2008) and BIP 0008 (2008)

13.7 Electronic Records

- Scanning to legal admissible standards reduces the need to keep paperwork
- scanning allows documents to be classified and to enter the workflow systems identified for efficient working and sharing of work
- staff will have ready access to information through workflow and FAQs
- staff able to multi task, collaborate and share as appropriate
- management of flow of work to avoid overload or delay
- improved management and performance monitoring

13.8 ICT System

- Fewer systems to support
- Server space may be easily monitored and use reviewed. Reduction of server space and ICT equipment if information managed well
- Well trained staff who understand the benefits of electronic systems and how to use them

Appendix 4

14.0 Key Performance Indicators

The Records & Information Management Policy will also allow the Council to monitor and extract information on key performance indicators to demonstrate the benefits of a corporate policy. These will change over time as the Council becomes more proficient in its management of its information resources and as new ways of working are adopted and implemented.

At present key performance indicators for the adoption of the Policy will include:-

Cost savings	Reduction in purchase of paper, printer consumables and equipment. Review of printer provision across the Council. Need to compare with current situation
	Reduction in purchase of office equipment for storage of paper records e.g. filing cabinets, bankers boxes, filing boxes, plan chests etc Need to compare with current situation
	Reduction in office space – less storage for paper records. Also to support home and remote working
Efficiency	Implementation of workflow. Adoption of workflow across many Council functions. Set targets for workflows being introduced.
	Staff multi-tasking and collaborative working. Reduction in staff. Fewer better skilled staff
Use of Information	Increase in scanning.
	Reduction of white mail
	Increased use of contact centres by public
	Increased storage of information (data storage) electronically
	Reduction in time to answer enquiries. Statistics show that enquiries are being answered within recognised time scales set by the Council and access to information legislation
	More enquiries dealt with at one point. Fewer referrals to staff. Improved service delivery
	Adoption of retention and disposal procedures
	No information lost
	Reduction in time taken to search and retrieve information
	Reduction in duplication
	Increase in emails saved as records
	Reduction of emails held in email system

Appendix 4

	(Outlook)
	No security breaches
	Adoption of corporate file plan by all departments
Training	Training programme developed and trainers identified
	Training programme delivered to key staff in line with DBS programme
	Training programme delivered to all staff

15.0 Conclusion

The Records & Information Management Policy identifies how the Council will benefit from being able to exploit the information created by staff to improve efficiencies, support new ways of working, including collaboration and workflow, and ensure that customers are guaranteed good quality advice and information when in contact with the Council. Staff will be knowledgeable, confident and skilled in information handling and searching. This will ensure and encourage good future working practices based on the stated aims of the Council under Designing Better Services for standardisation, simplification and sharing.

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Appendix 4

Appendix I

Records Management Guidance

Records & Information Management Policy

Records Management Plan

Records Management Reference Handbook

Retention and Disposal schedule

Records Management Guidance
- Records Management best practice
- Managing electronic records
- Confidential Waste Disposal – identification and destruction
- Email management (emails as records)
- Scanning and electronic records management Under BIP 0008
- Appraisal of records
- Information Security
- Business classification

Records Management – Corporate Records Store
- Deposit of records
- Retrieval of records
- Destruction of records

Publication Scheme (under Freedom of Information (Scotland) Act)

Archives Guidance
- Catalogue of local heritage holdings and council archives (paper for transfer to Adlib system)
- Collection Management (Adlib)
- Index to local studies material and archives (Libindx)
  - Handling
  - Collecting
  - Cataloguing
  - Disaster Planning
  - Location lists
  - Accessioning

Access to Information Legislation - guidance
- Data Protection Act 1998
- Freedom of Information (Scotland) Act 2002
- Environmental Information (Scotland) Regulations
- Re-Use of Public Sector Information
- Pupils Educational Records
- Disclosure Scotland

Records Management Liaison Group
- Membership

Appendix 4

Appendix II - Standards

Records Management

BS ISO 15489-1:2001 Information and Documentation. Records
Management. General

BS ISO 15489-2:2001 Information and documentation – Records Management Part 2 Guidelines

BIP 0025:2002/2003 – Effective Records Management (3 parts)

Code of Practice on Records Management under the Freedom of Information (Scotland) Act 2002 November 2003 Section 61(6)

ISO 9000 – 2005 (ISO 9004:2000) Quality Management Systems

BS 10008:2008 Evidential weight and legal admissibility of electronic information. Specification
Published : November 2008

BIP 0008-1:2008 Evidential Weight and Legal Admissibility of Information Stored Electronically. Code of Practice for the Implementation of BS 10008

BIP 0008-2:2008 Evidential Weight and Legal Admissibility of Information Transferred Electronically. Code of Practice for the Implementation of BS 10008

BIP 0008-3:2008 Evidential Weight and Legal Admissibility of Linking Electronic Identity to Documents. Code of Practice for the Implementation of BS 10008

BIP 0009:2008 Evidential Weight and Legal Admissibility of Electronic Information. Compliance Workbook for Use with BS 10008

PD 0016:2001 Document Scanning – guide to practical implementation

BS ISO 12653 – electronic imaging – Test target for the black and white scanning of office documents

BS/ISO 27000:2009 Information technology. Security techniques. Information security management systems. Overview and vocabulary

BS/ISO/IEC 27001:2005 Information security management. Specification with guidance for use

BS7799-3 Guidelines for Information Security Risk Management

Other reference documents

Cabinet Office - Data Handling Procedures in Government: Final Report
June 2008

Data Handling in Government – Scottish Government June 2008

BS8470:2006 – Secure Destruction of confidential material – code of practice

BS 5454:2000 Recommendations for the storage and exhibition of archival documents

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Appendix 4

Government Initiatives and Legislation

The Modernising Government programme

Public Records (Scotland) Act 2011

Freedom of Information (Scotland) Act 2002

Scottish Ministers' Code of Practice on the Discharge of Functions by Public Authorities under the Freedom of Information (Scotland) Act 2002 6 September 2004 [Scottish Ministers' Code of Practice on the discharge of functions by public authorities under the Freedom of Information (Scotland) Act 2002. This code was laid before the Scottish Parliament on 6th September 2004, pursuant to Section 60 (5) of the Freedom of Information (Scotland) Act 2002 - Code of practice as to functions under the act.]

Code of Practice on Records Management under the Freedom of Information (Scotland) Act 2002, November 2003 [Scottish Ministers' Code of Practice on Records Management laid before the Scottish Parliament on 10th November 2003 pursuant to Section 61(6) of the Freedom of Information (Scotland) Act 2002.] [currently under review]

Scottish Statutory Instrument 2004 no 376 The Freedom of Information (Fees for Disclosure under Section 13) (Scotland) Regulations 2004 [Section 13 of FOI(S)A is 'Fees for disclosure in certain circumstances']

Scottish Statutory Instrument 2004 no 467 The Freedom of Information (Fees for Required Disclosure) (Scotland) Regulations 2004

Data Protection Act 1998

Statutory Instrument 2000 No. 191 - The Data Protection (Subject Access) (Fees and Miscellaneous Provisions) Regulations 2000 applies to UK

Statutory Instrument 2004 No. 3244 - The Freedom of Information and Data Protection (Appropriate Limit and Fees) Regulations 2004 (remember FOISA applies to this see instruments 376 & 467 BUT the DPA part of this applies to Scotland)

Statutory Instrument 2000 No 188 – The Data Protection (Notification and Notification Fees) Regulations 2000

Disclosure Scotland under Part V of the Police Act 1997 ("the 1997 Act"), for the purposes of assessing applicants' suitability for positions of trust.

The Pupils Educational Records (Scotland) Regulations 2003 Scottish Statutory Instrument 2003 no 581

Environmental Information (Scotland) Regulations 2004

The Re-Use of Public Sector Information Regulations 2005

Copyright, Designs and Patents Act 1988 (c. 48)

Copyright and Related Regulations 2003 (amendments to the Copyright, Designs and Patents Act)

Human Rights Act 1998

The Computer Misuse Act 1990 (c.18)

The Public Interest Disclosure Act 1998

Disposal of Records (Scotland) Amendment Regulations 2003