![Renfrewshire Council logo]

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To: Audit, Risk and Scrutiny Board

On: 16 March 2020

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Report by: Director of Finance and Resources

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Heading: Records Management Plan Update

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1   Summary

1.1   Following our 2018 Public Records (Scotland) Act – Records Management Plan Progress Update Review ("PUR") completed in October 2018, the Council achieved Green status for 12 of the 14 elements assessed through the RMP. The Council has now received the draft response to our 2019 PUR. The feedback from the Assessment Team is positive with one of the two remaining amber elements being upgraded to green.

1.2   Progress continues to be made in the processing of the records held within the Corporate Records Store.

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2   Recommendations

It is recommended that the Board:

- Note the progress of the Council Records Management Plan, including the progressing of the Archiving element from amber to green

- Note the continued progress of the new Corporate Records Store

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3   Background

3.1   In March 2016 the Council submitted its original RMP in compliance with the Public Records (Scotland) Act 2011 to the Keeper of the Records of Scotland ("the Keeper") and conditional agreement from the Keeper was received on 16 August 2016. This meant that the Keeper had fully accepted 9 out of the 14 elements of the RMP with the remaining 5 elements being on an "Improvement Route" to be completed in a 5-year period.

3.2   Being on an "Improvement Route" meant that the RMP had self-identified gaps in the required elements that required further improvement. The elements requiring further work were:

           Element 4 - Business classification
           Element 6 - Destruction arrangements
           Element 7 - Archiving and transfer arrangements
           Element 11 - Audit trail
           Element 13 - Assessment and review

3.3   In May 2018 the Council's PUR was submitted. This submission included a new Records Disposal Policy and refreshed supporting guidance. Information was provided on the audit functionality of our key systems holding sensitive data. An updated Business classification Scheme ("BCS") was submitted along with how the Council intends to use it. There was also a confirmed commitment to align our Assessment and Review of the RMP in line with the annual PUR invites from the Keeper.

3.4   In October 2018 it was confirmed by the Keeper's Assessment Team that Audit Trail, Destruction Arrangements and Assessment & Review had been approved. The remaining two elements were:

           Element 4 - Business classification
           Element 7 - Archiving and transfer arrangements

3.5.   We received our next invitation in August 2019 to provide another PUR to the Keeper. Our PUR was submitted in November 2019 and received the draft response from the Keeper's Assessment Team on 10th February 2020.

3.6. The Assessment Team thanked the Council for the update regarding the improved facility for permanent record storage, adding there is clearly a move to tighten up the tracking and selection of records for permanent preservation in line with the availability of this new facility. The Archiving and Transfer Arrangements element has now been changed to approved and changed to green.

3.7. The remaining one amber element is:

Element 4 - Business classification

3.8. The Assessment Team advised that is was clear that the roll-out of the Business Classification Scheme (BC) to all areas of the Council is progressing well. They were also pleased that future IT tender requirements will include the need for Function Classification and Retention Period monitoring functionality.

3.9. The Assessment Team advised that adoption of SharePoint as the core records management system of the Council is bound to be incremental and take several years to bed-in properly. The Assessment Team reminded the Council that appropriate polces, governance and staff training will be crucial in making this major project a success. The Keeper would expect to see evidence of these aspects of the SharePoint implementation in any full resubmission. This element remains at Amber while this work is ongoing.

3.10. To ensure progress against the RMP, the Council will categorise all SharePoint sites to align with the Council's BCS. The classification(s) relevant to each site will be captured on the request form and held on a central SharePoint register.

3.11. Information within specific Council systems (applications) are by default categorised with the classification(s) relevant to the Service(s) which own the system. We will record Business Classifications against all system in the Council's application catalogue.

3.12. These tasks will be completed during 2020.

3.13. In the longer term, the Council will also investigate opportunities to exploit SharePoint as a Document Management System. This will include collaboration with other Local Authorities.

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4. Corporate Records Store

4.1. The transfer of all boxes of records from Renfrewshire House to the new store was completed in September 2019.

4.2.   Progress has been made in processing and logging the approximately 1400 boxes with over 900 boxes now processed and on the new database.

4.3.   Progress has also been made on conducting an audit of all archive materials centrally held. These items and records are also being logged on the newly developed SharePoint Tracking System. We anticipate having a full list of archival materials centrally held in the Corporate Records Store by the June 2020.

4.4.   Along with the processing of the other records, work on the archive collection will also require continued assistance from the Records Management reps from all the Services in identifying records, archival materials and agreeing retention periods during this period.

Implications of the Report

1.   **Financial** – *none*

2.   **HR & Organisational Development** – *none*

3.   **Community Planning** – Implementing good records management principles within the organisation supports the Council to deliver on its key objectives and priorities.

4.   **Legal** – Implementation of the RMP is a key element in complying with the Public Records (Scotland) Act 2011.

5.   **Property/Assets** – *none*

6.   **Information Technology** – *none*

7.   **Equality & Human Rights** - The Recommendations contained within this report have been assessed in relation to their impact on equalities and human rights. No negative impacts on equality groups or potential for infringement of individuals' human rights have been identified arising from the recommendations contained in the report because for example it is for noting only.   If required following implementation, the actual impact of the recommendations and the mitigating actions will be reviewed and monitored, and the results of the assessment will be published on the Council's website.

8.   **Health & Safety** – *none*

9.   **Procurement** – *none*

10.   **Risk** – *none*

11.   **Privacy Impact** - Effective records management can only have a positive impact on people's privacy whereby records are only retained for as long as necessary and are kept securely.

12.   **Cosla Policy Position** – *none*

13.   **Climate Risk** - *none*

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List of Background Papers

(a)   *none*

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