Renfrewshire Council

_____

To: Audit, Risk and Scrutiny Board

On: 22 March 2021

_____

Report by: Director of Finance and Resources

_____

Heading: Records Management Plan Update

_____

1 Summary

The Council provides the Keeper of the Records of Scotland ("the Keeper") with an annual update on progress made towards our Records Management Plan ("RMP"). The update is referred to as a Progress Update Review ("PUR"). Following our 2019 PUR submission the Council achieved Green status for the Archiving element of the RMP. The Council therefore now has Green status for 13 of the 14 elements. We received our next PUR invitation on 10 August 2020 and provided our response on 30 November 2020. We received a draft PUR response from The Keeper's Assessment Team on 19th February 2021.

_____

2 Recommendations

It is recommended that the Board:

- Note the progress of the Council Records Management Plan.

_____

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 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 classed as Amber 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   Following annual PUR updates to the Keeper, four of the five elements at Amber were improved to Green. The remaining one Amber element was therefore: Element 4 - Business Classification Scheme ("BCS"). A BCS is a conceptual representation of the business activity performed by an organisation

3.4   To progress against the remaining Amber element, the Council now categorises all SharePoint sites to align with the Council's BCS. The classification(s) relevant to each site are now held on a central SharePoint register.

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

3.6   The Council's Electronic Document Management system already tags documents relevant to Service and Function, closely in line with the BCS. New functionality within the new EDM version to be rolled out shortly will also enable us to map the tagging within the system to the BCS. Additional functionality is now available to allow a protective marker to be added to a document type so that it always applies the marker.

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

3.8   Records Management has also been incorporated into the ICT & Cyber Security Requirements for Tender specifications. This ensures that, where relevant, future IT tender requirements will include the need for Function Classification and Retention Period monitoring functionality.

3.9   The Keeper's Assessment Team has now provided a draft response to our 2020 PUR submission where we have advised him of the above-mentioned steps towards the Business Classification Element.

3.10   The Assessment Team advised that it is clear that centralised control is part of the plans for the Document Management System (for example the SharePoint register) and that this is commendable.

3.11   The Assessment Team has also sought clarification on the current coverage of the Business Classification Scheme over our IT systems.

3.12   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. This element remains at Amber while this work is ongoing.

3.13   The Assessment Team have advised that assurances from an authority on their overall commitment to improvement forms a key part of the Keeper's assessment. As a result, the Keeper's Assessment Team have no concerns regarding the final element still being classed as Amber after the initial 5-year RMP cycle is complete.

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*

_____

List of Background Papers

(a)   *none*

_____

Author: Andy Connor, Records Manager, tel: 0141 618 5187**,**
                    Andrew.connor@renfrewshire.gov.uk