

REPORT TO: LICENSING BOARD – 29 JUNE 2017
REPORT ON: RECORDS MANAGEMENT PLAN
REPORT BY: EXECUTIVE DIRECTOR OF CORPORATE SERVICES
REPORT NO: 238-2017

1.0 PURPOSE OF REPORT

- 1.1 The report proposes the adoption of a Records Management Plan for the Licensing Board which is to be submitted to the Keeper of the Records of Scotland under the terms of the Public Records (Scotland) Act 2011.

2.0 RECOMMENDATIONS

- 2.1 It is recommended that the Board approve the Records Management Plan, as detailed in Appendix A.

3.0 FINANCIAL IMPLICATIONS

- 3.1 There are no direct financial implications from this report.

4.0 MAIN TEXT

- 4.1 Under the terms of the Public Records (Scotland) Act 2011, each public authority in Scotland must submit a Records Management Plan to the Keeper of the Records of Scotland. For the purposes of this Act the Licensing Board is considered to be a separate public authority. It was agreed with the keeper that the Dundee City Licensing Board would submit a joint Records Management Plan with Dundee City Council. This is due for submission on 30 June 2017.
- 4.2 The plan is intended to demonstrate that the Board and Council has good records management practices in place and is committed to improving practices where appropriate.

5.0 POLICY IMPLICATIONS

- 5.1 This report has been screened for any policy implications in respect of Sustainable Development, Strategic Environmental Assessment, Anti-Poverty, Equality Impact Assessment and Risk Management. There are no major issues

6.0 CONSULTATIONS

- 6.1 The Council Management Team were consulted in the preparation of this report. The Records Management Plan was approved by the Council's Policy and Resources Committee on 12 June 2017.

7.0 BACKGROUND PAPERS

- 7.1 None

GREGORY COLGAN
EXECUTIVE DIRECTOR OF CORPORATE SERVICES

DATE: 15 JUNE 2017



**Dundee City Council and
Licensing Board**

**Records
Management Plan**

2017

Version Control

Document Title	Dundee City Council Records Management Plan
Author(s)	Sarah Aitken, Records Manager/Assistant Archivist
Version	0.3
Date	15 June 2017
Status	Draft

VERSION HISTORY

Version	Date Issued	Document Details/Reasons for Amendment
0.1	04 May 2017	First Draft Completed
0.2	09 May 2017	Minor changes made, links amended
0.3	15 June 2017	Change to Section 11

DISTRIBUTION

Version	Date Distributed	Distributed To
0.2	09 May 2017	Council Management Team
0.2	01 June 2017	Policy & Resources Committee
0.3	15 June 2017	Licensing Board

APPROVAL HISTORY

Version	Date Approved	Approved By
0.2	12 June 2017	Policy & Resources Committee

Table of Contents

Introduction	4
Records Management Plan	5
1. Senior management responsibility	5
2. Records manager responsibility	6
3. Records management policy statement	7
4. Business classification	8
5. Retention schedules	9
6. Destruction arrangements	10
7. Archiving and transfer arrangements	12
8. Information security	13
9. Data protection	14
10. Business continuity and vital records	15
11. Audit trail	16
12. Competency framework for records management staff	17
13. Assessment and review	18
14. Shared information	19
List of Evidence	20

Introduction

Under the Public Records (Scotland) Act 2011 (“the Act”) Scottish public authorities must produce and submit a records management plan (“RMP”) setting out proper arrangements for the management of an authority’s public records to the Keeper of the Records of Scotland (“the Keeper”) for his agreement under section 1 of the Act.

This document constitutes the RMP for Dundee City Council and Dundee Licensing Board. For the purposes of this plan the term “the Council” refers to all areas of the Council as well as the Licensing Board. The plan also covers records created and held by any third party performing a function on behalf of Dundee City Council.

The RMP brings together policies and procedures in place throughout the Council to ensure that records are managed effectively. Where these have not been fully developed, the plan outlines how the Council will improve practice and introduce new policies and procedures where necessary. By establishing effective records management arrangements there will be significant benefits for the Council – for example it will help to:

- Increase efficiency and effectiveness, delivering savings in administration costs
- Improve and develop service delivery
- Achieve business objectives and targets
- Ensure compliance with the Public Records (Scotland) Act 2011 and other legislative requirements, standards and codes of conduct
- Support transparency and open government
- Improve the security of personal and confidential information

The RMP considers 14 elements as advised in the Keeper’s Model RMP and supporting guidance. The 14 elements are:

1. Senior Management Responsibility
2. Records Manager Responsibility
3. Records Management Statement
4. Business Classification
5. Retention Schedule
6. Destruction Arrangements
7. Archiving and Transfer Arrangements
8. Information Security
9. Data Protection
10. Business Continuity and Vital Records
11. Audit Trail
12. Competency Framework for Records Management Staff
13. Review and Assessment
14. Shared Information

This RMP covers all records held by the Council irrespective of the format in which they were created or are held.

Records Management Plan

1. Senior management responsibility

The Senior Manager with responsibility for records management within Dundee City Council is:

David Martin
Chief Executive
Floor 2,
21 City Square,
Dundee DD1 3BD

Email: david.martin@dundeecity.gov.uk

Telephone: 01382 434201

The Senior Manager with responsibility for records management within the Dundee Licensing Board is:

Roger Mennie
Clerk to the Licensing Board
Floor 3,
21 City Square,
Dundee, DD1 3BY

Email: roger.mennie@dundeecity.gov.uk

Telephone: 01382 434202

Evidence

No	Title
01	Records Management Policy
02	Letter from David Martin, Chief Executive
03	Letter from Roger Mennie, Clerk to the Licensing Board
04	Extract of minute from Policy and Resources Committee meeting
05	Extract of minute from Licensing Board Meeting
06	Letter from Stewart Murdoch, Director of Leisure & Culture Dundee

Future Development

There are no anticipated changes to this element. Should the person with Senior Management responsibility change, the plan will be amended to reflect this.

2. Records manager responsibility

The person with corporate records manager responsibility within Dundee City Council is:

Kenny McKaig
 Legal Manager
 21 City Square,
 Dundee, DD1 3BY

Email: kenny.mckaig@dundeecity.gov.uk
 Telephone: 01382 434577

The Legal Manager has oversight of the Archives and Records Centre, Freedom of Information and Data Protection provision within the Council. The Legal Manager will:

- chair the Corporate Records Management Group
- act as the Council's main contact with the Keeper of the Records of Scotland
- co-ordinate records management issues for the Authority

Evidence

No	Title
01	Records Management Policy
02	Letter from David Martin, Chief Executive
07	Letter from Kenny McKaig, Legal Manager
08	Legal Services Organisation Chart
04	Extract of minute from Policy and Resources Committee meeting

Future Development

There are no anticipated changes to this element. Should the person with Records Manager responsibility change, the plan will be amended to reflect this.

3. Records management policy statement

The Council's Records Management Policy was reviewed in early 2017 and approved by the Council's Records Management Group, Senior Management Team, Policy and Resources Committee and the Licensing Board. The Policy expresses the Council's commitment to records management and ensures compliance with relevant legislation, including the Public Records (Scotland) Act 2011, Freedom of Information (Scotland) Act 2002 and Data Protection Act 1998.

The Policy is available on the [Council's website](#) and the Council's intranet for all staff to view at any time. The Policy can also be found and read by all members of staff through the Council's CeDRMS. The policy, as with all new or revised council wide policies, all staff are required to read this policy and confirm that they have done so.

The policy is a high level instruction of the intention for good practice in records management throughout the Council. The policy will be supported by guidance and procedures to ensure that records management is implemented throughout the council. Some of these are already in place, however others have yet to be developed. These will be detailed in sections 5, 6 and 7 of this plan.

All staff receive training relating to Records Management, Information Security, Data Protection and Freedom of Information during their induction.

Evidence

No	Title
01	Records Management Policy
04	Minute from Policy and Resources Committee meeting
05	Extract of minute from Licensing Board Meeting
09	Screenshot of Records Management page on intranet
10	Screenshot of Policy confirmation page
11	Screenshot of Data Protection Training Module
12	Screenshot of FOI Training Module
13	Screenshot of Information Security section of induction training module
14	Screenshot of Records Management training module

Future Development

The council will develop and implement policies and procedures, including, but not limited to the following:

- Naming conventions
- Version control
- Retention and review
- Email management
- Destruction
- Storage

These will be made available to all staff through the Council's CeDRMS system and on the Council's intranet site. It is expected that more guidance will be written to meet the needs of how records are managed throughout the Council.

4. Business classification

The Council's classification scheme was developed between 2008 and 2012 during a project to implement a Corporate EDRMS. This was largely based on the Local Government Classification Scheme (LGCS) v2.03, developed by the Information and Records Management Society. The classification scheme also included detailed analysis of the processes undertaken by staff and the records they produce.

Since the classification scheme's creation and through use of the CeDRMS, it has developed on an ad hoc basis. Generally the scheme only covers records which have been transferred to CeDRMS and does not contain information about paper records or those stored on shared drives. The classification scheme is not complete and is more thorough for some functions than others. Due to limited resources, the development of the file plan and classification scheme was focussed on processes which were paper heavy so that they could be digitised and made more streamline. The activities of departments who did not take part in the initial review of records and processes do not feature prominently in the scheme. Similarly functions which have records stored on bespoke software, such as social care records are not covered by the scheme.

System administrators have the reserved permissions to change high level folders, permissions and metadata. Departmental co-ordinators can change and add folders from the third tier down. They can also change access and edit permissions for folders and items they control. There is no formal mapping of functions and activities to service areas, however this is done by default when assigning control to departmental co-ordinators.

An edited version of the LGCS has been produced to cover the functions and activities of the Council. However as the processes have not been reviewed this classification is not ready for use.

Evidence

No	Title
15	Corporate Classification Scheme for CeDRMS
16	Corporate Business Classification Scheme v0.1 DRAFT
17	Functions Mapped to Service Areas
02	Letter from David Martin, Chief Executive

Future Development

The Council recognises that its current Business Classification Scheme is not complete. The Council plans to bring the current CeDRMS scheme in line with the edited version of the LGCS. This will involve a substantial review of the processes that the Council undertakes and the records it produces. Part of this process will involve making changes and additions to the standard retention schedules to fit in with the classification scheme (see element 5). The process will also involve the creation of an Information Asset Register and will highlight the Council's vital records.

5. Retention schedules

The Council uses the generic retention schedules developed by the Scottish Council of Archives (Scottish Council of Archives Records Retention Schedules – SCARRS). Links to these documents are provided on the council's intranet. There is no localised copy of the retention schedule. The retention schedule is applied to all records irrespective of format. It has been identified that there are gaps in the generic schedule which mean that some records are not covered.

The business classification scheme used for the Councils Corporate electronic Document and Records Management System (CeDRMS) does contain some information about retention periods for records, but this is basic and not consistent. This information is intended for the System Administrators and not general use.

CeDRMS has a functionality for retention periods to be set to folders or individual records. This is not applied comprehensively.

The retention schedule is not automatically applied to non-structured records, particularly those held on local shared drives.

Evidence

No	Title
18	Extract of Minute of Council Management Team agreeing to adopt generic retention guidelines (26/10/2010)
19	Extract of Minute of Policy and Resources Committee's adoption of current SCARRS
09	Screenshot of Records Management page on intranet

Future Development

As part of the development and expansion of the Corporate Business Classification Scheme, the Council will review the completeness and relevance of SCARRS. A customised retention schedule based on SCARRS will be produced.

The customised version of SCARRS will be made available to all staff via the Council's intranet site. If appropriate the schedule will also be made available on the Council's website. Once produced the retention schedule, together with the classification scheme will be reviewed regularly by the Archives and Records Centre Team in conjunction with the Records Management Working Group. Changes to the retention schedule will need to be made via the representatives. Representatives will consult the Records Manager or City Archivist on any changes/additions proposed. Small changes may be approved in discussion, larger changes which may affect several business areas will need to be approved by the RMWG and brought to the attention of the Council Management Team.

6. Destruction arrangements

Records held by departments in local stores or offices are reviewed in line with the Council's agreed retention schedules and department procedures. In some cases this is done on an ad hoc basis, whereas other service areas review their documents on an annual or regular basis. The disposal of records is covered in the Council's Records Management Policy.

Paper records are either shredded onsite (usually in small quantities using a shredding machine) or using the Council's agreed external shredding company. In line with the Council's Records Management Policy, documents awaiting shredding should be held in locked storage and proof of collection should be obtained. Each department or area arranges for their own confidential waste to be collected. The Council is currently out to tender for a shredding supplier. Once this contract has been finalised, this will be added to the Records Management Plan.

The council's servers, including shared folders, public drives, team drives and personal home drives are held within the backup system for up to 60 day period. This period could be reduced depending on the policy that is applied to the data. Deleted emails and attachments can be retrieved for up to 3 days after deletion. Deleted mailboxes are held within the backup system for up to 60 days. After 60 days they can no longer be retrieved. The deletion of leaver staff's accounts is currently under review. The process is not currently documented and requires service areas to notify IT that a member of staff has left to being the deletion process. The new procedure will use IT management software to ensure that a consistent and full approach is taken.

The Council has a Corporate electronic Records and Document Management System (CeDRMS). This has the functionality to automatically trigger a review of records upon reaching the end of their retention period. Once 'deleted' a document will remain in the 'trashcan' folder for one week. It will then be deleted from CeDRMS storage, how can still be retrievable from the back-up drives for 60 days. However, a large amount of records are not managed through the CeDRMS system and the retention function on the system is not always used.

Some departments have local information systems which have retention periods automatically set. Other records are stored on local shared drives, which have no automatic call for deletion. These records, like their paper counterparts, need to be reviewed periodically by local administrators.

The Council has a corporate IT Equipment Disposal Policy for IT hardware and storage. Staff complete a form via the ONE Dundee intranet, to arrange a collection of equipment. The Council has an agreement with a local recycling company for this service.

Records transferred to the Council's on-site Record Centre at the City Archives, must be marked with a review or destruction date. Transfers will not be accepted if this information is not given. The holdings of the records centre are reviewed throughout the year to identify records that have passed the end of their retention period. These records are then destroyed using the Council's agreed professional shredding company. Whilst awaiting collection, bags are held within a locked room within one of the Council's records stores.

The Records Centre retains lists of boxes destroyed and the date on which they were destroyed. Bags for shredding are numbered and their contents logged in the Confidential Waste Log. This contains the department the records came from, their contents (if known) and the date of uplift. This can then be matched to a collection note, issued by the shredding company.

Evidence

No	Title
01	Records Management Policy
20	Example Confidential Waste Log
21	Example Collection Note
22	IT Equipment Disposal Policy
23	Example IT Destruction Certificate
33	Data Protection Policy
24	Screenshot showing retention function on CeDRMS

Future Development

- The Records Centre is planning to formalise procedures for the review of documents held in the records centre. This will ensure that records are destroyed within an appropriate timescale and with the proper documented authority.
- The Council's procurement team are hoping to secure a formal contract for the destruction of IT hardware equipment.
- The Council's IT Division will review the process for deleting the accounts of former members of staff.

7. Archiving and transfer arrangements

The Dundee City Archives is run as part of the same service as the Records Centre. Items held within the Records Centre that have archival value are identified when deposited or during the review stage at the end of their retention. Records are identified as having archival value in SCARRS, however as this is a generic retention schedule the Council recognises that not all records are covered. Staff destroying records should consult their local Records Management Group Rep if the records are not covered by the retention schedule. Further advice can be sought from the City Archivist. When the council runs clear-out campaigns, contact information of records management reps and the Archives is included. The most recent campaign was launched in April 2017.

Some records that are produced on a regular or periodical basis have been identified requiring permanent preservation. A copy of these records should be sent to the Archives as soon as they are produced. This process is not always followed in recent years as some records are born digital and never produced in hard copy. The Archives has produced a list of these records and is working with departments to ensure that transfer of these records becomes an automatic part of their lifecycle. This list will be incorporated into the customised retention schedule, as described in element 5.

The Archive does not currently have a formal digital archive. Some records are held digitally but not in a manner that will ensure long term preservation. At present there is no link between CeDRMS and permanent preservation of key records.

There is a procedure for transferring records to the Archives which should be used in conjunction with the Archives Internal Deposit Form. At present this applies to both hardcopy and digital records. The transfer of records from the Records Centre to the Archives is completed by Archives staff after authorisation from the creating department is given for disposal. Deposits are recorded on the Archives accession register.

Evidence

No	Title
01	Records Management Policy
25	List of Records due for Preservation in Archives
26	Procedure for Depositing Council Records in the Archives
27	Archives Internal Deposit Form
28	Accession Register Example
29	April 2017 Clear out Campaign

Future Development

- Archives to communicate more with departments to ensure archival records are deposited at the Archives. This will be improved once the customised retention schedule is created.
- Archives to investigate and implement a digital archive and digital archiving procedures to ensure that born digital records are preserved. This will include the transfer of records from CeDRMS.

8. Information security

The Council has recently reviewed its Information and Communication Technology Security and Safe Use Policy. This policy provides guidance on passwords, the use of mobile devices, storage and security incident management. All staff are required to read this policy and confirm that they have done so. The Council's IT services have also produced some frequently asked questions regarding information security.

All new members of staff are required to complete an online induction module. This includes a section on Information Security and the importance of protecting data.

The Council's IT department are able to send direct pop-up messages to all users on the Council's network. These can include warnings relating to current email scams and other topical advice relating to information security. Updates on current issues are also sent via all staff emails or using warning messages on the staff intranet pages.

All hardware is disposed of using the Council's IT Equipment Disposal Policy. Paper records are disposed of in line with the Council's [Records Management Policy](#) and [Data Protection Policy](#). Access to the records centre stores is limited to Archives staff and key departmental contacts. All non-Archives staff who access the stores are required to sign in and sign out the key to the room they are accessing. For further details on this see Element 11. Withdrawals are either collected in person by the member of staff requesting the file or they are hand delivered by Records Centre staff.

Evidence

No	Title
30	ICT Security and Safe Use Policy v10.1
31	ICT Security and Safe Use FAQs v8.3
13	Screenshot of Information Security section of induction training module
32	Screenshot of Staff Intranet page showing security message.
22	IT Equipment Disposal Policy
01	Records Management Policy
33	Data Protection Policy

Future Development

- The Council will continue to review and update its policies and procedures in line with developments in technology and common practice.

9. Data protection

Dundee City Council is registered as a data controller with the Information Commissioner's Office under the Data Protection Act 1998. The Council's registration number is **Z7211936** full registration can be found on the [data protection register](#).

It is necessary for the Council to collect personal data as part of the process of delivering public services. To ensure that personal data is properly managed, the Council has a [Data Protection Policy](#). This policy is approved by the Head of Democratic and Legal Services, the Chief Executive and the Council's Policy and Resources Committee. The Policy was approved in December 2015 and will be reviewed every 2 years. The policy is available on the Council's website. Some departments have more specific policies regarding how personal data is handled locally.

As defined in the policy, each services area's Senior Management Team is responsible for Data Protection within their area. The Legal Manager has overall responsibility for Data Protection within the Council and implementation of the policy. The Legal Manager chairs the Data Protection Group, which is made up of representatives from each service area, a representative from Leisure and Culture Dundee, the City Archivist, Records Manager/Assistant Archivist, and the Solicitor with responsibility for Data Protection. The Group meets quarterly to discuss Data Protection issues, developments and training.

All staff complete an online Data Protection training module as part of their induction. This module is mandatory for all staff. Staff that regularly handle personal data are provided with more specific training within their department. Staff awareness campaigns are periodically organised through the Chief Executive's Office. The last such campaign began in August 2015 and included an all staff email and a poster for display in all offices. This material is still available to all staff on the Council's EDRMS.

Information about the Council's roles and responsibilities relating to Data Protection can be found on the Council's website. This includes a Subject Access form for members of the public. Requests are coordinated centrally by the Legal department, with the exception of requests received by the Social Work department, which are dealt with locally due to an existing relationship with the requestor.

The Council also has a Code of Practice for Sharing Data. This contains guidance for staff collecting and sharing personal data, including guidance on privacy notices. The Council also displays a Privacy Notice on its website relating to the information it collects online. Data Sharing is covered in more detail in Element 14.

Evidence

No	Title
68	Dundee City Council's Data Protection Register Entry
33	Data Protection Policy
34	Extract of Minute of Policy and Resources Committee, 07 December 2015
11	Screenshot of Data Protection Training Module
35	All Staff email from Chief Executive regarding 'Keeping yourself right' Data Protection campaign
36	Think Privacy Poster
37	Data Protection information on Council's Website
38	Subject Access Form
40	Data Sharing Code of Practice
39	Privacy Statement on Website

Future Development

- Campaign to encourage managers to ensure that staff take online training module as refresher training every 2 or 3 years.
- Review content of training to take into account the new GDPR.
- Plan for new staff data protection awareness campaign relating to the GDPR
- A Data Breach Policy is currently in the process of being developed and approved.

10. Business continuity and vital records

The Council has a Generic Emergency Plan, detailing the procedures that should be followed in the event of a major disaster affecting the Council. The Council's Risk and Resilience Manager maintains a Council wide Business Continuity Plan. Specific mention of the recovery of damaged records is referred to in Annex C-1. Each Service Area is responsible for maintaining a local business continuity plan. Plans are reviewed every 12 months and tested every 36 months, as a minimum, unless the plan has been put into practice in a real life event. The Council wide Business Continuity Plan is approved by the Council's Policy and Resources Committee every 5 years.

The Archives and Records Centre maintains its own separate Disaster Plan. This includes procedures and protocols that will come into effect in the event of any scale of threat to the records held within the stores. There is currently no overall disaster plan for the Council's off-site records store. Parts of the store are used by other institutions. The full disaster plan will take into account their records as well as those of the Council.

The Council has a contract with Harwell Support Services and are priority users. This includes support in the event of a major disaster. In 2016 key members of staff who look after hard copy records attended a disaster training provided by Harwell.

There is currently no Council wide list of vital records. Some local areas may have identified their vital records as part of the Business Continuity Planning purpose, but these have not been brought together. It is planned that these records will be highlighted on the Council's business classification scheme when complete.

The Council's IT department has an Information Technology Disaster Recovery Framework in place to ensure that electronic information is backed up. This includes the Council's EDRMS and all other information stored on the Council's servers. There are two data centres, in separate locations which back-up everyday overnight. These act as each other's back-up. Back-up data is held for 60 days for retrieval purposes. Should there be an incident the Information Technology Disaster Recovery Statements will be followed by staff to ensure continuation of business. A practical guide to disaster recovery is given in the Information Technology Disaster Recovery Plan.

Evidence

No	Title
41	Dundee City Council Generic Emergency Plan
42	High Level Business Continuity Plan
43	Archives and Records Centre Disaster Plan
44	Agreement with Harwell for disaster recovery support
45	Information Technology Disaster Recovery Framework
46	Information Technology Disaster Recovery Statements
47	Information Technology Disaster Recovery Plan

Future Development

- Vital records will be identified and marked on the Council's Business Classification Scheme
- A disaster plan for the Council's off-site records store will be created covering the Council's records stored there, as well as those of other tenants.

11. Audit trail

The Council's CeDRMS software has an inbuilt audit functionality. This records date, time and user who performed a particular action on the record. These actions include creation, changes, new version added and permission changes. Access permissions to folders and individual documents can be changed by local CeDRMS co-ordinators who have undergone training.

The Council's main records centre is managed by the Archives & Records Centre team. Access to the stores is limited to Archives staff and key departmental contacts. All non-Archives staff who access the stores are required to sign in and sign out the key to the room they are accessing. Withdrawals are noted in a withdrawal register made of triplicate copy slips. One copy remains in the register, the second in the box and the third goes with the document. When the record is returned, the second and third slips are matched and this is noted in the register. Staff may only withdraw records that were deposited by their department or a predecessor that covered the same functions.

Some departments have storage space in the council's offsite store. Records stored there are managed by departmental staff. Each department has its own procedures for transferring and requesting files from their section of the store. These forms act as a records tracking the location and use of these files once they are removed from the store. Some areas, particularly those that are paper heavy, use document management software, this includes Legal team (FileTrail) and the Health and Social Care Partnership (Mosaic). Some of these software can manage both electronic and paper records. The Council's CeDRMS also has the capability to manage paper records. This function is currently used by the Health and Social Care Partnership to track files, although it is anticipated that these will move over on to Mosaic soon.

Evidence

No	Title
48	Screenshot of CeDRMS audit function
49	Screenshot of CeDRMS Physical records audit function
50	CeDRMS Naming Conventions
51	Example page of Records Centre withdrawal register
52	Health and Social Care Deposit and Request Forms <ul style="list-style-type: none"> A. Closed Case Filing Form B. Case File Deposit Form C. Case File Request Form
53	City Development File Retrieval Form
54	Copy of example page of Deeds production audit log
55	Screenshot from FileTrail
56	Extract of audit log for an example Mosaic record
01	Records Management Policy

Future Development

- For ease of management and accountability, the Council plans to move more items onto CeDRMS. The Council aims for a gradual move from unstructured shared drives.
- The records management team will develop a database for listing files and boxes in the records centre
- The records management team will review usage of physical records management function on CeDRMS which includes audit trail and file request functions and assess its suitability for managing physical records held in the central records centre.
- Review audit trails used by departments using the offsite store.
- Review individual software for document management and whether CeDRMS can offer the same amount of functionality.

12. Competency framework for records management staff

The Council's Archives and Records Centre is operated by 4 members of staff. This includes the City Archivist, the Records Manager/Assistant Archivist and two Administrative Assistants. The City Archivist and Records Manager/Assistant Archivist positions require a post graduate qualification in Archives and Records Management. The Records Management responsibilities of the City Archivist and Records Manager are laid out in the Council's Records Management Policy.

The records of the Council's social care functions are managed by a Departmental Records Manager, who also has a postgraduate Records Management qualification. She is supported by a team of Records Assistants. Each department appoints a representative to sit on the Records Management Group. Representatives will feedback information discussed at meetings, have an overview of records management practices and procedures in their area and act as a liaison between their service area and the Archives and Records Management team.

A Records Management online training module is available to all staff. At present this is not compulsory. The module has been created with information specific to procedures and practices at Dundee City Council. The module has been available since September 2014, but needs updating to include more recent procedures and links to new guidance available on the Council's Intranet site. When the online module has been updated, the Council intends to make this module compulsory for all staff.

Evidence

No	Title
57	City Archivist Job Description and Person Specification
58	Records Manager/Assistant Archivist Job Description and Person Specification
01	Records Management Policy
14	Screenshot of Records Management training module
09	Screenshot of Records Management page on intranet
12	Screenshot of FOI Training Module
11	Screenshot of Data Protection Training Module

Future Development

- The existing records management module contains some out of date information. The council plans to update the content of this module to include relevant points from the Records Management policy and the Records Management Plan.

13. Assessment and review

The Records Management Plan will be regularly reviewed by the Records Management Group. The group meets quarterly and consists of representatives from each of the Council's Service Areas. Any changes or issues arising from the 14 elements of the plan will be discussed at meetings. The full plan will be reviewed annually by the group and any amendments made. Any changes to elements 1 or 2 will be updated as soon as possible and will not need to wait for the annual review.

As part of the annual review by the group, representatives from each of the Council's Service Areas and, if relevant, any sub-areas will be asked to complete a self-assessment questionnaire. This questionnaire has been developed using the National Records of Scotland's 'Complying with the Records Management Code Evaluation Workbook', the ARMA Information Governance Maturity Model and the Scottish Council on Archives ARMS Quality Improvement Framework. The questionnaire will be completed annually prior to the review of the plan by the records management group. The questionnaire will allow the Records Manager to keep track of progress within the departments and highlight any areas of the plan which need some work.

It has been agreed with the Council's Internal Auditors that records management will be considered as part of their audit schedule in future years. Audit schedules are decided in the preceding year by the Corporate Management Team. Records Management will therefore be considered for the 2018/19 Internal Audit schedule. The regularity of this audit will be determined based on risk assessment and performance.

Evidence

No	Title
01	Records Management Policy
59	Self-assessment questionnaire
60	Email from Internal Audit, confirming consideration of Records Management in future audit schedules.
61	Records Management Plan Review Cycle

Future Development

An annual report will be produced based on the Records Management Group's review of the plan, the self-assessments and any results from Internal Audit investigations. This report will be approved by the group at the meeting which follows the annual review of the plan. The report will be made available to all staff on the Council's CeDRMS system but will be sent to the Legal and Democratic Services Manager, Director of Corporate Services and the Council's Senior Management Team for information. A copy will also be sent to the Clerk of the Licensing Board.

14. Shared information

Dundee City Council and Dundee Licensing Board acknowledge the need to share some personal data to ensure the effective and efficient delivery of services. In some cases this is vital to the core functions of the Council and the Board. To this end the Council regularly shares information with other bodies including NHS Tayside, Police Scotland and the voluntary sector. The Council has an Information and Data Sharing Code of Practice to ensure that routine and one off agreements to share information are appropriate, fair and lawful.

The council has a template data sharing agreement that is used in cases where it is required to draft such an agreement. Agreements are drafted by the legal team using this template. Agreements compiled by an external party are approved by the Legal Team. A copy of all approved data sharing agreements are held centrally by the Legal Team.

The Council has published a Privacy Notice on its website to inform users how the personal data we collect will be used. There is also a Privacy Statement relating specifically to our Online Services.

A new draft clause has been created for the Council's template Social Care contract. All new contracts which involve the Council contracting out its core functions will include this clause. This clause, or a similar one, will be included in any new or reviewed agreements with Leisure and Culture Dundee for the provision of key Council functions.

Evidence

No	Title
40	Data Sharing Code of Practice
62	Template Data Sharing Agreement
39	Privacy Statement on Website
63	Online Service Privacy Statement
64	Standard Records Management clause for contracts
65	Dundee City Council's template social care contract

Future Development

- The new standard records management clause will be included in all new and reviewed Council social care contracts. This will sit beside clauses relating to data protection and freedom of information.

List of Evidence

No	Title	Element(s)
01	Records Management Policy	01, 02, 03, 06, 07, 08, 11, 12, 13
02	Letter from David Martin, Chief Executive	01, 02, 04
03	Letter from Roger Mennie, Clerk to the Licensing Board	01
04	Extract of minute from Policy and Resources Committee meeting	01, 02
05	Extract of minute from Licensing Board Meeting	01, 03
06	Letter from Stewart Murdoch, Director of Leisure & Culture Dundee	01
07	Letter from Kenny McKaig, Legal Manager	02
08	Legal Services Organisation Chart	02
09	Screenshot of Records Management page on intranet	03, 05, 12
10	Screenshot of Policy confirmation page	03
11	Screenshot of Data Protection Training Module	03, 09, 12
12	Screenshot of FOI Training Module	03, 12
13	Screenshot of Information Security section of induction training module	03
14	Screenshot of Records Management training module	03, 12
15	Corporate Classification Scheme for CeDRMS	04
16	Corporate Business Classification Scheme v0.1 DRAFT	04
17	Functions Mapped to Service Areas	04
18	Extract of Minute of Council Management Team agreeing to adopt generic retention guidelines (26/10/2010)	05
19	Extract of Minute of Policy and Resources Committee's adoption of current SCARRS	05
20	Example Confidential Waste Log	06
21	Example Collection Note	06
22	IT Equipment Disposal Policy	06
23	Example IT Destruction Certificate	06
24	Screenshot showing retention function on CeDRMS	06
25	List of Records due for Preservation in Archives	07
26	Procedure for Depositing Council Records in the Archives	07
27	Archives Internal Deposit Form	07
28	Accession Register Example	07
29	April 2017 Clear out Campaign	07
30	ICT Security and Safe Use Policy v10.1	08
31	ICT Security and Safe Use FAQs v8.3	08
32	Screenshot of Staff Intranet page showing security message.	08
33	Data Protection Policy	06, 08, 09
34	Extract of Minute of Policy and Resources Committee, 07 December 2015	09
35	All Staff email from Chief Executive regarding 'Keeping yourself right' Data Protection campaign	09
36	Think Privacy Poster	09
37	Data Protection information on Council's Website	09
38	Subject Access Form	09
39	Privacy Statement on Website	09, 14
40	Data Sharing Code of Practice	09, 14
41	Dundee City Council Generic Emergency Plan	10
42	High Level Business Continuity Plan	10
43	Archives and Records Centre Disaster Plan	10
44	Agreement with Harwell for disaster recovery support	10
45	Information Technology Disaster Recovery Framework	10
46	Information Technology Disaster Recovery Statements	10
47	Information Technology Disaster Recovery Plan	10
48	Screenshot of CeDRMS audit function	11
49	Screenshot of CeDRMS Physical records audit function	11
50	CeDRMS Naming Conventions	11
51	Example page of Records Centre withdrawal register	11

No	Title	Element(s)
52	Health and Social Care Deposit and Request Forms A. Closed Case Filing Form B. Case File Deposit Form C. Case File Request Form	11
53	City Development File Retrieval Form	11
54	Copy of example page of Deeds production audit log	11
55	Screenshot from FileTrail	11
56	Extract of audit log for an example Mosaic record	11
57	City Archivist Job Description and Person Specification	12
58	Records Manager/Assistant Archivist Job Description and Person Specification	12
59	Self-assessment questionnaire	13
60	Email from Internal Audit, confirming consideration of Records Management in future audit schedules.	13
61	Records Management Plan Review Cycle	13
62	Template Data Sharing Agreement	14
63	Online Service Privacy Statement	14
64	Standard Records Management clause for contracts	14
65	Dundee City Council's template social care contract	14
66	Records Management Forward Plan	All
67	Records Management Forward Plan by Year	All
68	Dundee City Council's Data Protection Register Entry	09

)