

Report to:	MSMTM
Report by:	Helen Gardner-Swift, Head of Corporate Services (HOCS)
Meeting Date:	30 June 2021
Subject/ Title: (and VC no)	Review of Key Documents C5 Information and Records Management Policy C5 Information and Records Management Handbook VC153464
Attached Papers (title and VC no)	Draft C5 Information and Records Management Policy VC141874 Draft C5 Information and Records Management Handbook VC142267

Purpose of report

1. The purpose of this Committee Report (CR) is to consider and approve the revised Key Documents: draft C5 Information and Records Management Policy and draft C5 Information and Records Management Handbook

Recommendation and actions

2. The following is recommended
 - i. the Senior Management Team (SMT) approve the following key documents:
 - draft C5 Information and Records Management Policy
 - draft C5 Information and Records Management Handbook
 - ii. the SMT agree the key document actions set out in paragraph 12
 - iii. the SMT agree publication arrangements set out in paragraph 15.

Executive summary

3. The Commissioner is required to submit an updated Records Management Plan (RMP) to the Keeper of the Records of Scotland by 30 June 2021.
4. Each of the key documents have been reviewed and updated as part of the RMP project and, also, as part of planned reviews. The SMT and the Finance and Administration Manager (FAM) have been consulted on the draft documents and their comments have been taken account of in the revisions to these documents. Both documents have also been updated to take account of the recently approved Employee Handbook and the approved Data Protection Policy and Handbook.
5. All members of staff have a responsibility to comply with Information and Records Management Policy and the guidance, advice and procedures set out in the Information and Records Management Handbook and each member of staff will be asked to confirm that they have read and understand the policy and the handbook on an annual basis.

COVID-19 pandemic

6. Temporary business continuity arrangements have been activated due to the impact of COVID-19 pandemic on the work of our office. As a result of these arrangements the office premises have been temporarily closed from 23 March 2020 and all members of staff are now working remotely with remote access to the office systems. Guidance on managing information has been provided to staff as part of the business continuity arrangements.

Risk impact

7. Our information management processes and procedures contribute to the control measures aimed at reducing the likelihood and impact of risk of the information we hold not being managed properly and held securely.

Equalities impact

8. It is not expected that any of the protected characteristics will be affected by the subject of this committee report. However, protected characteristics will be considered and taken account of in our information and management processes.

Resources impact

9. There is no additional impact on resources the review of each document was a planned review.

Privacy impact

10. There are no privacy impact issues arising from this report. We have a comprehensive Data Protection Policy and Handbook which provides guidance on the handling of personal data and this is taken account of in our information and records management processes.

Operational/ strategic plan impact

11. The RMP Project is included in the Operational Plan 2021-22.

Records management impact (including any key documents actions)

12. Both documents will be key documents and the following key document actions will be carried out:
 - the approved Information and Records Management Policy and the approved Information and Records Management Handbook will be added to the Register of Key Documents and will be published within Class C5 of our guide to information.
 - the HOCS will be the Responsible Manager for each document and the SMT will be the approver
 - the approved documents will be reviewed at least every 3 years or earlier, if required.

Consultation and Communication

13. MSMTM minute and the publication of this committee report.
14. The HOCS will email all members of staff to advise them of the approved documents and, also:
 - to remind them that each member of staff has a responsibility to comply with the Information and Records Management Policy and the guidance, advice and procedures set out in the Information and Records Management Handbook
 - to inform each member of staff that they will be asked to confirm that they have read and understand the Information and Records Management Policy and the Information and Records Management Handbook on an annual basis

Publication

15. I recommend that this CR is published in full but that the each of the approved key documents are withheld on the basis that the exemption in section 27(1) of the Freedom of Information (Scotland) Act 2002 would apply if a request were, at this stage, to be made for the information.