

<b>Report to:</b>	MSMTM
<b>Report by:</b>	Helen Gardner-Swift, Head of Corporate Services (HOCS)
<b>Meeting Date:</b>	30 June 2021
<b>Subject/ Title:</b> (and VC no)	Review of Key Document C5 Records Management Plan VC153467
<b>Attached Papers</b> (title and VC no)	Draft Records Management Plan VC152564

## Purpose of report

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1. The purpose of this Committee Report (CR) is to consider and approve the draft Records Management Plan (RMP).

## Recommendation and actions

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2. The following is recommended
  - (i) the Senior Management Team (SMT) approve the draft RMP
  - (ii) the HOCS submits the approved draft RMP, along with the associated evidence, to the Keeper of the Records of Scotland for consideration and agreement
  - (iii) the SMT agree the publication arrangements set out in paragraph 19.

## Executive summary

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3. The Public Records (Scotland) Act 2011 (the Act) places an obligation on named public authorities to prepare and implement a Records Management Plan (RMP) which sets out proper arrangements for the management of their records. RMPs are agreed with the Keeper of the Records of Scotland (the Keeper). Where authorities fail to meet their obligations under the Act, the Keeper has powers to undertake records management reviews and issue action notices for improvement.
4. The Keeper is also obliged under the terms of the Act to publish a Model Records Management Plan (Model Plan) to assist authorities when preparing their own RMP.
5. The Scottish Information Commissioner (the Commissioner) is required to submit a draft RMP to the Keeper of the Records of Scotland for agreement. There is a current RMP, which meets the requirements of the Act, and which was agreed by the Keeper and approved by the Commissioner in 2014.
6. The Keeper has invited the Commissioner to submit an updated draft RMP and this is due to be submitted to the Keeper by 30 June 2021.
7. The Model RMP issued by the Keeper has been followed when updating the draft RMP and the SMT and the FAM have been consulted on the draft document. The draft RMP follows the Model Plan structure:

- Covering Statement - the main purpose of this is to demonstrate that there is senior management commitment to information and records management and that it is actively managed and implemented
  - Section for each of the 15 elements – each section includes an introduction, a statement of compliance, evidence of compliance and future developments.
  - Schedule of evidence which is being submitted in support of the RMP
8. I understand that the Commissioner will have an opportunity to provide further information and/or refine the submission during the Keeper's consideration of the draft updated RMP.
9. The process of updating the RMP has resulted in the review of the Information and Records Management Policy, the Information and Records Management Handbook and other related procedures. In addition, the approved Data Protection Policy and Handbook and Employee Handbook will be submitted with the draft updated RMP. The updated draft RMP and the schedule of evidence set out the full details of the all the related policies and procedures.

## **COVID-19 pandemic**

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10. 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 working remotely with remote access to the office systems. Guidance on managing information and records has been provided to staff as part of the business continuity arrangements.
11. Where relevant, the updated draft RMP includes information on the impact of the COVID-19 pandemic on information and records management.

## **Risk impact**

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12. An updated and approved RMP will be a control measure aimed at reducing the likelihood and impact of risk of the information we hold not being managed properly and held securely.

## **Equalities impact**

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13. 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**

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14. There has been an additional impact on the resources which have been required to review and update the RMP and the related policies and procedures. Our information and records management processes will also need to be kept under review as we move forward to re-opening the office premises if hybrid working is put in place.

## **Privacy impact**

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15. 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. The updated RMP also takes account of information security (Element 8) and data protection (Element 9).

## **Operational/ strategic plan impact**

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

## **Records management impact (including any key documents actions)**

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17. The updated RMP will be a key document within Class 5 of our Guide to Information. The CR seeking approval of the RMP (when agreed by the Keeper) will include recommendations concerning the required key document actions.

## **Consultation and Communication**

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18. MSMTM minute and the publication of this committee report.

## **Publication**

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19. I recommend that this CR is published in full but that the draft updated RMP is withheld on the basis that the exemption in sections 30(b)(i) and (ii) of the Freedom of Information (Scotland) Act 2002 would apply if a request were, at this stage, to be made for the information.