

Records Management Strategy and Plan

Document control	
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Title	SSSC Records Management Strategy and Plan
Summary	A strategy document setting objectives and actions to improve records management in SSSC, incorporating the Records Management Plan under the Public Records (Scotland) Act 2011. This document is subsidiary to and should be read in conjunction with the SSSC Records Management Policy.
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September 2013	0.1	First draft Records Management Strategy	C Gowans
January 2014	0.1	First draft Records Management Plan (RMP)	C Gowans
March 2014	0.2	Revised and merged Records Management Strategy and Plan	C Gowans

Version history			
Date	Version	Status/ Summary of changes	Author
June 2014	0.3	Revised Records Management Strategy and Plan incorporating input from National Records of Scotland and submitted to Council	C Gowans
July 2014	1.0	Submitted to Keeper of Records of Scotland 31 July 2014	C Gowans

Contents

1. Introduction.....	3
2. Executive summary	3
3. Scope	4
4. Strategic outcomes.....	4
5. Strategic objectives	5
Objective 1: Create a culture which values records.....	5
Objective 2: Compliance with legislative and regulatory requirements	5
Objective 3: Improve access to information using technology	6
Objective 4: Ensure best use of information by developing procedure for sharing and reuse	7
6 Records Management Plan under the Public Records (Scotland) Act 2011	8
7 - Summary action plan.....	24

1. Introduction

This document aims to improve the quality, availability and effectiveness of all records held by SSSC, providing a strategic framework for records management activities. It sets out what we must do to ensure that the SSSC can make best use of its information into the future, helping us to develop the culture, tools and capability to manage our records effectively.

There is increasing external scrutiny of how we manage the information that we hold and a move towards greater openness and transparency. The Data Protection Act 1998 and the Public Records (Scotland) Act 2011 require that the SSSC has robust controls in place when managing information, and the Freedom of Information (Scotland) Act 2002 requires us to be more transparent and proactive in ensuring access to our information.

The Public Records (Scotland) Act 2011 requires that public authorities subject to the Act submit a Records Management Plan (RMP) for agreement by the Keeper of the Records of Scotland, and thereafter manage its records in accordance with the plan. This document incorporates the RMP for the SSSC.

2. Executive summary

This strategy must support the SSSC's overall business strategy and ensure that all staff understand and use information effectively in their work. Managers must endorse and support the strategy and support staff.

Records created, used and retained by the SSSC will be reliable, accurate, up to date and accessible. They will be seen as a vital corporate asset and available across the SSSC to all staff, where appropriate, to enable them to do their work efficiently.

The strategy supports the implementation of an electronic document and records management system with a corporate file plan, which will ensure that information is held in an appropriate corporate repository and not in email inboxes and personal drives.

The SSSC's retention schedule details how long records should be kept before they are deleted, destroyed or archived. It ensures that the SSSC complies with Data Protection, Freedom of Information and other audit, statutory and professional requirements concerning the length of time to keep information. It also ensures that no information is held for longer than necessary.

3. Scope

All staff of the SSSC need information from records to do their jobs and the SSSC could not function or meet its objectives without it. Therefore, this strategy is for all staff of the SSSC. It outlines what we need to do to fulfil the requirement for good management of our records, which the SSSC creates, uses and retains in the course of administering its business.

4. Strategic outcomes

This strategy supports SSSC objectives by providing staff access to comprehensive and reliable information, where everyone understands the importance of handling, sharing and protecting it appropriately.

4.1. Benefits to the organisation

- Meets legislative and regulatory requirements, including audit.
- Increases administrative efficiency and effectiveness.
- Enables the SSSC to provide greater transparency around the information it holds.
- Enables the SSSC to meet public expectation of how it will manage its information.
- Builds trust in the quality of information.
- Ensures that SSSC information is protected and secure.
- Supports informed decision and policy making.

4.2. Benefits for staff

The strategy will provide staff with the following benefits:

- knowing what records we hold and be able to locate them easily
- access to reliable information
- knowing what to keep and what to dispose of
- knowing what to keep and how to save it
- working more efficiently and making effective use of resources
- working more collaboratively by making best use of skills and knowledge
- knowing what to share and who to share them with
- knowing how to handle and protect information which will protect the interests of staff and stakeholders.

4.3. Benefits for stakeholders

- Assurance that the SSSC manages its information efficiently.
- Information is accurate, up to date and relevant.
- Assurance that information relating to them is protected and handled appropriately.
- Increased efficiency when responding to enquiries.

5. Strategic objectives

Objective 1: Create a culture which values records

The aim of this strategy is to create an organisational culture which values records and work towards effective record-keeping across the SSSC, supported by guidance and training.

The SSSC will strive towards creating a culture:

- that values protecting information
- that values corporate benefit over individual benefits
- where staff are confident that they have access to and are using the correct version of a record
- where staff are confident in the use, retrieval and delivery of information to stakeholders and colleagues
- where staff can easily access policies
- that promotes collaborative working
- where good records management is the responsibility of all staff and is viewed positively.

Actions

- Develop/review and implement records management policies, procedures and guidance.
- Implement training and awareness sessions to be delivered to all staff.
- Implementation of regular and effective refresher training for staff.
- Improvements to the information provided to new staff and during the induction process.
- Email or intranet updates.

Objective 2: Compliance with legislative and regulatory requirements

Legislation is increasingly underlining the importance of good records management. Compliance with Acts such as Freedom of Information and Data Protection is underpinned by effective records management. Without properly organised and retrievable records, requests for information governed by statutory response timescales will be impossible to service. Indeed, Section 61 of the Freedom of Information (Scotland) Act 2002 is the 'Code of practice as to the keeping, management and destruction of records', and the Public Records (Scotland) Act 2011 places an obligation on named public authorities to prepare and implement a records management plan which sets out proper arrangements for the management of their records.

The aim of this strategy is to:

- pull together and maintain records management requirements with which we must comply
- be aware that compliance requirements may change through time
- ensure we know what records we hold, in what format they are held and their location

- monitor the corporate retention schedule for SSSC records and develop processes to identify and dispose of any expired records
- continue to embed records management procedures
- ensure that guidance is clear about who is responsible and accountable for compliance. For example, all staff are required to comply with the Data Protection Act.

Actions

- The Head of Strategic Performance and Engagement will ensure that there is appropriate monitoring activity of application of records retention processes.
- Disposal of records routinely happening in accordance with the retention and schedule.
- Have our records management plan agreed by the Keeper as required to demonstrate compliance with the Public Records (Scotland) Act 2011.

Objective 3: Improve access to information using technology

The introduction, implementation and corporate support for an electronic document and records management system (EDRMS) is key to the success of this strategy.

Improving the management of electronic documents will increase efficiency, provide greater accountability and reduce business risks by:

- providing a central store for staff to capture their electronic documents and information, instead of in uncontrolled shared drives and email folders.
- managing email more effectively as records
- facilitating better retrieval of, and access to, information through greater consistency in naming and titling
- managing lawful destruction or transfer of records
- linking related documents and records into electronic files
- providing reliable management information to support decision making.

Actions

- Implement EDRMS enterprise vault in all business areas.
- Applying the retention schedule to all information held in the system to ensure that no record is held for longer than is necessary.
- Staff will be identified to manage the information within the system for their department.
- Increased use of file naming conventions to ensure consistency.
- Records carefully controlled through the use of version control.
- Developing paperless transactions.

Objective 4: Ensure best use of information by developing procedure for sharing and re-use

Information and knowledge are key corporate assets and procedures for the efficient sharing of information both with the SSSC and with external partners are essential for ensuring information security and record keeping compliance.

The procedures will:

- build relationships with partners and agencies
- ensure that personal information is protected
- provide staff with the security and confidence to know that what they are doing is correct.

Actions

- Develop an Information Asset Register, detailing corporate information assets held, the owner of the data, where it is held and the purposes of the data.
- Identify who the SSSC needs to share information with.
- Identify who we currently share information with and what type of information we share.
- Develop and implement standard sharing protocols and agreements.
- Active sharing and re-use of information to meet business needs.

6. Records Management Plan under the Public Records (Scotland) Act 2011

Element 1: Senior management responsibility			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Identify an individual at senior level who has overall accountability for records management.</p> <p>Read further explanation and guidance about element 1 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement1.asp</p>	<p>Our Head of Strategic Performance and Engagement, Lorraine Gray, has senior responsibility for records management, and is the corporate owner of this document.</p>	<p>01-01 Cover letter from Chief Executive</p> <p>01-02 SSSC Records Management Policy</p>	<p>None</p>

Element 2: Records manager responsibility			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Identify individual within the authority, answerable to senior management, to have day to day operational responsibility within the organisation. This person will be the Keeper's first point of contact for day to day record management issues.</p> <p>Read further explanation and guidance about element 2 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement2.asp</p>	<p>The individual answerable to Senior Management and with responsibility for day to day operation of records management is:</p> <p>Caroline Gowans Records Management Officer Scottish Social Services Council Compass House 11 Riverside Drive Dundee DD1 4NY</p>	<p>02-01 Letter from Chief Executive</p> <p>02-02 Records Management Officer job description</p> <p>02-03 Records Management Officer person</p>	<p>None</p>

	Tel: 01382 207324 Email: caroline.gowans@sssc.uk.com	specification 01-02 Records Management Policy	
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Element 3: Records Management Policy Statement			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>A records management policy statement that describes how the authority creates and manages authentic, reliable and usable records, capable of supporting business functions and activities for as long as they are required.</p> <p>Read further explanation and guidance about element 3 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement3.asp</p>	<p>The SSSC is committed to a systematic and planned approach to the management of records within the organisation, from their creation to their ultimate disposal. This approach will ensure that the SSSC can control the quality, quantity and security of its records.</p> <p>The SSSC's records management policy was updated by the Records Management Officer in March 2014 and has been signed off by Council.</p>	<p>03-01 Screenshot of Records management intranet page</p> <p>01-02 Records Management Policy</p>	<p>Forward minute of Council meeting, 2014-06-17 to the Keeper of Records, as extra evidence of approval of RMP and Records Management Policy once confirmed at next meeting in October 2014.</p>

Element 4: Business classification			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>A business classification scheme that reflects the functions of the authority, demonstrating at a given point in time, the information assets the business creates and maintains, and in which function or service they are held.</p> <p>Read further explanation and guidance about element 4 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement4.asp</p>	<p>SSSC has an established BCS which has served to provide a filing structure for manual records for some years. We are improving shared drive structures to include mapping to the BCS. It will also be used to structure the repository in our planned implementation of Enterprise Vault EDRMS</p>	<p>04-01 Business classification scheme</p> <p>04-02 Screenshot of sample shared drive showing mapping to BCS</p>	<p>We will review the BCS as part of the implementation of Enterprise Vault EDRMS during 2014-15.</p>

Element 5: Retention Schedule			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>A retention schedule that details the procedures that the authority follows to ensure that records are routinely assigned to disposal dates and that they are subsequently destroyed at the appropriate time, or preserved permanently by transfer to an approved repository or digital</p>	<p>The SSSC maintains a retention schedule which is available electronically via the intranet.</p> <p>While annually revisited, it has been almost 3 years since the schedule was comprehensively</p>	<p>05-01 Retention schedule</p> <p>05-02 Extract Records Management Spreadsheet showing destructions of</p>	<p>Review Corporate Retention Schedule in 2014-15. Submit to the Keeper once finalised.</p> <p>Deploy Symantec</p>

<p>preservation programme.</p> <p>Read further explanation and guidance about element 5 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement5.asp</p>	<p>reconsidered. We recognise that, in particular, the widespread application of “permanent” retention represents organisational and record-keeping challenges.</p> <p>We have purchased Enterprise Vault EDRMS in partnership with the Care Inspectorate and our planned implementation will give us improved capacity to automate the auditable disposal of digital records currently held on the networked shared drive.</p>	<p>records</p> <p>05-03 [Link] Symantec – Description of Enterprise Vault product: http://www.symantec.com/en/uk/enterprise-vault</p>	<p>Enterprise Vault to manage unstructured data and documents on the network, 2014-15.</p>
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Element 6: Destruction arrangements			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Demonstrate that proper destruction arrangements are in place. Disposal arrangements must also ensure that all copies of a record – wherever stored – are identified and destroyed.</p> <p>Read further explanation and guidance about element 6 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement6.asp</p>	<p>It is the nature of our functions that SSSC holds highly sensitive personal data. SSSC has robust policies and procedures for the secure disposal of physical records and digital media.</p> <p>Fitness to Practise and</p>	<p>Sample IT equipment destruction certificates:</p> <p>06-01-01 06-01-02 06-01-03 06-01-04 06-01-05 06-01-06</p>	<p>None</p>

	<p>Registration records are held on our Sequence system which is hosted by Equiniti. Within this system the production databases (CRM, SharePoint, SQL Server) are instantaneously replicated to the Disaster Recovery site and the databases are backed up to tape nightly. SSSC data is backed up to shared tapes. Data retention on tapes is 13 weeks. Tapes are on a 13 week rotation. Monthly and yearly backups are taken and retained - 2 years for monthly and 7 for yearly. Backup of the databases on UAT SQL Server are taken Mon - Fri but are not backed up the tape. There is a 5 day retention on the database.</p> <p>We have identified that we need to improve permanent deletion of back ups of records held on the networked shared drive. In August 2014, we will be working with Care Inspectorate to scope the issue and put in place a process that ensures the permanent deletion of back</p>	<p>06-02 IT equipment destruction contract</p> <p>06-03 IT service level agreement</p> <p>06-04-01 Shred-it destruction certificate</p> <p>06-04-02 Shred-it destruction certificate</p> <p>06-05 Iron Mountain contract</p> <p>06-06 Staff guidance: Managing documents on a shared drive. Page 3 "effective behaviours"</p> <p>06-07 Shred-It certification [Link] http://www.nas.gov.uk/recordKeeping/documents/e042-14001-certificate-2009.pdf</p>	
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	<p>ups. This project will be completed by April 2015.</p> <p>Our contractors work to industry standards for the disposal of media.</p> <p>(Please note, our ICT and Facilities services are provided by Care Inspectorate under a service level agreement. For that reason, documentation for records destruction are in their name.)</p>	<p>06-08 Email from Equiniti confirming destruction arrangements for back ups.</p> <p>01-02 Records Management Policy</p>	
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Element 7: Archiving and transfer arrangements			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Detail the authority's archiving and transfer arrangements, ensuring that records of enduring value are deposited in an appropriate archive repository.</p> <p>Read further explanation and guidance about element 7- http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement7.asp</p>	<p>Predecessor organisation records have been transferred to NRS by SSSC.</p> <p>We are in contact with NRS and will begin a project to identify records of archival value. When this project is complete we will agree a formal MoU with NRS.</p>	<p>07-01 Screenshot NRS catalogue entry for predecessor records</p> <p>07-02 Email from NRS</p>	<p>Conclude MoU with National Records of Scotland.</p>

Element 8: Information security			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Ensure provision for the proper level of security for public records. The security procedures must put in place adequate controls to prevent unauthorised access, destruction, alteration or removal of records.</p> <p>Read further explanation and guidance about element 8 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement8.asp</p>	<p>Given the nature of the data SSSC routinely deals with, information security is a priority for us. Corporate policies are supported by local procedures and by local data security officers.</p>	<p>08-01 Information Security Policy</p> <p>08-02 Induction checklist</p> <p>08-03 Encryption guidance</p> <p>Team security procedures:</p> <p>08-04-01 Fitness to Practise</p> <p>08-04-02 Strategic Performance and Engagement</p> <p>01-02 Records Management Policy</p>	<p>None.</p>

Element 9: Data Protection			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Demonstrate compliance with the authority's data protection obligation.</p> <p>Read further explanation and guidance about element 9 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement9.aspx</p>	<p>SSSC routinely handles very sensitive personal data and data protection is a priority.</p> <p>Under the Data Protection Act 1998 Scottish Social Services Council is a data controller and is registered as such with the Information Commissioner's office (ICO).</p> <p>The Council's registration can be found on the ICO's Data Protection Public Register – Registration Number Z5756299</p> <p>The Council has a robust data protection policy on data procedures.</p> <p>Members of the public are made aware of their right to submit a subject access request on the SSSC website. There is a central record of all requests made to Scottish Social Services Council in terms of the Data Protection</p>	<p>09-01 ICO's Data Protection Public Register – Registration number Z5756299</p> <p>09-02 Data Protection Notice http://www.sssc.uk.com/About-Us/data-protection-notice.html</p> <p>09-03 Data Protection Policy</p> <p>09-04 Data Breach response procedure</p> <p>09-05 FOI procedures</p> <p>Team security procedures:</p> <p>09-06-01 Committee and Corporate governance</p>	<p>None</p>

	<p>Act 1998 and the Freedom of Information (Scotland) Act 2002.</p> <p>There is a data protection notice on the SSSC website which sets out how we use the data that we collect about people registered by us and people who apply for registration with us. Where personal information is used for additional purposes, SSSC aims to provide a privacy notice which explains how the personal information will be used, processed and shared.</p> <p>In very limited circumstances, the Data Protection Act 1998 permits the Council to use personal information in a way, or for a purpose, other than the one notified.</p> <p>SSSC operates an Information Governance training strategy which is reviewed annually. Training is provided to all staff in Freedom of Information and Data Protection requirements.</p>	<p>09-06-02 Convenor and Chief Executive</p> <p>09-06-03 Finance</p> <p>08-04-02 Strategic Performance and Engagement</p> <p>09-06-04 HR and Business support services</p> <p>09-06-05 Registration</p> <p>08-04-01 Fitness to Practise</p> <p>09-06-06 Workforce Development and Planning</p> <p>09-07 Website Privacy policy http://www.sssc.uk.com/About-Us/privacy-policy-how-we-use-your-information.html</p>	
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		09-08 Code of conduct for employees (s. 3)	
		09-09 Information Governance training strategy	

Element 10: Business continuity and vital records			
Element requirements	SSSC statement	Corporate evidence	Actions
<p>Detail arrangements in support of records vital to business continuity.</p> <p>Read further explanation and guidance about element 10 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement10.asp</p>	<p>SSSC is committed to preserving the availability of our functions and the integrity of our information in the case of disaster or emergency.</p> <p>Together with the Care Inspectorate we have recently finalised a joint Disaster Recovery Plan. This plan received formal approval from the Executive Management team on 25 August 2014.</p> <p>As all our networked digital assets are backed-up daily and our manual records for Registration and Fitness to Practise are also held on the</p>	<p>10-01 Equiniti Hosting brochure http://www.equiniti-assured.com/media/68396/hosting-and-data-centre-services.pdf</p> <p>10-02 SSSC and CI Disaster Recovery Plan</p> <p>10-03 EMT Report</p> <p>10-04 Extract – Disaster Recovery Plan approval</p> <p>08-01 Information Security Policy</p>	<p>Send minutes of October 2014 EMT meeting to Keeper as evidence of formal approval of joint Disaster Recovery Plan.</p> <p>Include Vital Records identification with review of BCS and Retention Schedule identified above, 2014-15.</p>

	<p>Sequence hosted system, we consider our core records to be recoverable.</p> <p>The Sequence system is hosted by Equiniti and subject to their resilience measures which are set out in our contractual documents but are commercially sensitive.</p> <p>As part of our review of the BCS and Retention Schedule, we shall also identify Vital Records series to provide additional assurance that these are given appropriate resilience protection.</p>		
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Element 11: Audit trail			
Element requirement	SSSC statement	Corporate evidence	Actions
Provide evidence that the authority maintains a complete and accurate representation of all changes that occur in relation to a particular record. An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or	The core records of SSSC are those of our Registration (Reg) and Fitness to Practice (FtP) functions. These are managed in our Sequence case management system. Sequence maintains the database record for each	<p>11-01 User manual-guidance on Sequence user permissions and access rights</p> <p>11-02 Version control for making</p>	Deploy Symantec Enterprise Vault to improve auditability of documents and unstructured data currently on shared drive storage, 2014-15.

<p>other entities.</p> <p>Read further explanation and guidance about element 11 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement11.asp</p>	<p>registered professional within a Microsoft Dynamics CRM environment and provides an MS Sharepoint-based repository for associated records and documents. The system provides a full workflow functionality and audit trail for these records. Paper documents are scanned into the system in a quality assured manner.</p> <p>For other documents and records held electronically, these are subject to policy controls on unauthorised access/editing and network controls limiting folder access to authorised individuals.</p> <p>We have procured Symantec Enterprise Vault in partnership with Care Inspectorate and this will be deployed to provide audit, de-duplication and lifecycle management capability to documents currently stored on the shared drive.</p> <p>Paper files are registered against a BCS. This system</p>	<p>updates on WIKI/REGI</p> <p>11-03 Process for archiving and destruction of documents (deceased)</p> <p>11-04 Process for system deletions</p> <p>11-05 User manual-guidance on the Sequence audit logs</p> <p>11-06 Document scanning procedures – including validating images</p> <p>11-07 Document naming and Version control procedures</p> <p>11-08 Intranet extract Managing our files guidance</p> <p>11-09 Sequence system</p>	
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	<p>ensures that files held by the SSSC that contain official records are declared into a central system that logs their existence and captures certain information. All files declared into the system are allocated a unique file reference number. The reference number captures the operational team which has opened the file, the business function and activity. The file is also allocated a title to which will identify the transaction type and include any dates relating to the content.</p> <p>Non-current paper records are held-off-site by Iron Mountain. Both current and non-current paper files are tracked on a Records Management Spreadsheet maintained by the Records Management Officer.</p>	<p>description - Case management/register system http://www.equiniti-assured.com/media/72954/sssc-case-study-equiniti.pdf</p> <p>01-02 SSSC Records Management Policy (States that staff must not access or amend records outwith their area of authority)</p> <p>04-01 BCS</p> <p>05-02 Extract Records Management spreadsheet showing tracking of files.</p> <p>08-01 Info security policy (especially 4.1, 4.3 and 7.1)</p>	
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Element 12: Competency framework for records management staff			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Detail a competency framework for person(s) designated as responsible for the day to day operation of activities described in the elements in the authority's RMP.</p> <p>Read further explanation and guidance about element 12 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement12.asp</p>	<p>SSSC recognises the importance of supporting the development of this key role. The Records Management Officer has recently completed a records management qualification with Robert Gordon's University and is supported through a personal development plan to access training and CPD resources relevant to the role.</p>	<p>02-02 Records Management officer job description.</p> <p>02-03 Records Management Officer person specification</p> <p>12-01 RMO's Performance Development Review System extract</p> <p>12-02 RMO's RM qualification from RGU</p>	<p>None</p>

Element 13: Assessment and review			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Detail the procedures in place to ensure regular self-assessment and review of records management systems in place within the authority.</p> <p>Read further explanation and guidance about element 13 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement13.asp</p>	<p>The actions from the Records Management Plan are incorporated into our operational plan, which is reported to Council quarterly by exception (Report on objective's that are not being met). This is also reported to the Executive Management team monthly.</p> <p>The Records Management Policy is reviewed every 3 years.</p> <p>The Records Management Officer will conduct quarterly audits of the shared drive file structure and monthly audits of file naming to ensure that guidance is being followed by all staff.</p> <p>Any changes made after the plan has been agreed, will be reported to the Keeper.</p>	<p>01-03 SSSC Records Management Policy</p> <p>13-01 Operational Plan 2014-15 (See 7H)</p> <p>13-02 Register of Policies (See point 12)</p>	<p>Monthly audit of shared drive file naming, with departments chosen at random each month.</p> <p>Quarterly audit of shared drive file structure.</p>

Element 14: Shared information			
Element requirement	SSSC statement	Corporate evidence	Actions
<p>Provide evidence that the authority has considered the implications of information sharing on good records management. Include reference to information sharing protocols that govern how the authority will exchange information with others and make provision for appropriate governance procedures.</p> <p>Read further explanation and guidance about element 14 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement14.asp</p>	<p>Appropriate data sharing is core to SSSC business. This is managed through corporate-level agreements and guidance for staff. We seek continual improvement in our governance in this area by undertaking a review of existing agreements and other areas where information is shared. A plan will be created to ensure that they are subject to appropriate review.</p>	<p>Example Memorandum of Understanding with stakeholders:</p> <p>14-01-01 4 Countries MoU</p> <p>14-01-02 MoU with General Teaching Council</p> <p>09-01 ICO's Data Protection Public Register – Registration number Z5756299</p> <p>09-02 Data Protection Notice</p> <p>09-03 Data Protection Policy</p> <p>08-03 Encryption guidance</p>	<p>Develop and review new and existing information sharing agreements.</p> <p>Create a plan for review.</p>

7 - Summary action plan

Action plan – Actions arising from the PRSA Records Management Plan						
Action	Description	Planned output/actions	Owner	Start	End	Status (planned, active, complete)
Review SSSC records retention policy, business classification scheme (to include Vital Records identification) (RMP elements 4, 5 and 10)	Ensure that policies reflect current procedures, legislation and guidance, and are appropriate to SSSC business and resources.	Robust policy and procedures Fit-for-purpose and more cost-effective records management procedures.	Caroline Gowans	Apr 2014	Jan 2015	Active
Develop Records Management Plan	Submission and subsequent maintenance of SSSC's Records Management Plan in line with legislation	Compliant Records Management procedures	Caroline Gowans			Complete
Disaster Recovery Plan (RMP Element 10)	Finalise Disaster Recovery Plan in partnership with CI.	Improved assurance around business resilience.	Care Inspectorate			Complete
Implement Electronic Records Management	Implement Symantec Enterprise Vault electronic document	Central compliant information repository. Improved	Caroline Gowans/ Amanda	Sept 2014	April 2015	Planned

(RMP elements 5, 6 and 11)	and records management system	record audit, security and retention/disposal management.	Wright/ IT			
MoU with National Records of Scotland (RMP element 7)	1. Agree MoU with NRS for transfer of historically significant records. 2. Identify records of historical significance.	Public records are preserved and accessible.	Caroline Gowans	1. October 2014 2. Sept 2014	November 2014 April 2015	Active
Develop and review new and existing information sharing protocols and agreements where required (RMP element 14)	Identify who the SSSC need to share information with, who we currently share information with and what type of information we share and ensure appropriate protocols are in place.	Ensure best use and protection of information	Caroline Gordon	July 2014	December 2014	Active
Monthly audit of shared drive file naming, with departments chosen at random each month (RMP element 13)	Ensure that all staff are following naming convention guidance	Ensure that staff are complying with Records Management Guidance	Caroline Gowans	August 2014	Ongoing	Planned

Quarterly audit of shared drive file structure (RMP element 13)	Ensure that all staff are following guidance on the effective use of the shared drive	Ensure that staff are complying with Records Management Guidance	Caroline Gowans	August 2014	Ongoing	Planned
Action plan – Actions outwith the PRSA Records Management Plan						
Develop an information asset register	Mechanism for understanding and managing an organisation's assets and the risks to them	Detail all information held by SSSC, the owner of the data, where it is held and the purposes of it, which will act as a basis for determining access to information	Caroline Gordon	August 2014	February 2015	Planned
Training	Implement records management training and refresher sessions for all staff	Core competencies of staff developed	Lorraine Gray	August 2014	February 2015	Planned
Improve information given with induction pack	Ensure that new members of staff are aware of responsibilities under the Records Management policy	Core competencies of staff developed	Caroline Gowans	August 2014	On going	Planned