

National Records of Scotland Records Management Plan

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The Keeper of the Records of Scotland will be alerted to any changes that are made to this Records Management Plan in accordance with section 5(6) of the Public Records (Scotland) Act 2011

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NRS RECORDS MANAGEMENT PLAN

COVERING STATEMENT

I am pleased to submit National Records of Scotland's records management plan for assessment by the Keeper of the Records of Scotland.

The Public Records (Scotland) Act 2011 has assigned NRS the responsibility of implementing its enactments. At the same time the legislation has also placed an obligation on the Keeper of the Records of Scotland and the Registrar General of Births, Deaths, and Marriages for Scotland, as authorities named in the schedule of the Act, to prepare and implement their own records management plans, setting out proper arrangements for the management of its corporate records. As the offices of Keeper and Registrar General are currently both held by the Chief Executive of National Records of Scotland, a combined records management plan for NRS is being submitted.

NRS is a relatively new organisation, created by the merger of the National Archives of Scotland and the General Register Office for Scotland on 1 April 2011. We inherited distinct record keeping cultures from these bodies and the challenge of integrating these into a unified system which embraces all of the varied functions and activities NRS is now responsible for. The impetus provided by the Public Records (Scotland) Act has proved timely and will deliver improvements and efficiencies to NRS' own record keeping.

Over the last year NRS has developed new corporate policies on the management of information and records and has reviewed and revised existing procedures. We have produced a new business classification scheme, which captures all of the records created within NRS, and an accompanying retention and disposal schedule. We are currently in the process of establishing a business continuity management system, which will identify risks to information, systems and collections and will embed a strategy to ensure business continuity and protect our vital records and archives.

We recognise there is still much work to do. Our records management plan is forward looking and incorporates an ambitious programme which will move us beyond compliance to best practice. In the coming year, as we implement our plan, we will deliver comprehensive training on records management and information governance to all staff, and we will embark on a project to select and implement a new system for managing electronic records, which is capable of both supporting our business processes and maintaining an accurate audit trail of the records we create.

As Scotland's national record keeping body NRS is fully aware of the importance of demonstrating that it can manage its own corporate records effectively. The changes set out in our records management plan will deliver improvements in business efficiency, helping us to carry out our statutory functions and to provide a valued service to the public.

Audrey Robertson
Head of Corporate Services Division

ELEMENT 1: SENIOR MANAGEMENT RESPONSIBILITY

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 1: Senior management responsibility is the single, most important piece of evidence to be submitted as part of NRS's Records Management Plan. This element must identify the person at senior level who has overall strategic responsibility for records management within the organisation.
Statement of Compliance	The Senior Responsible Officer for Records Management within National Records of Scotland is the Head of Corporate Services Division: Audrey Robertson.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 1 includes:</p> <ul style="list-style-type: none"> • Item 001: Statement of Responsibility for Records Management • Item 004: Records Management Policy <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 003: Records Management Strategy 2012-2013 • Item 026: Records Management Strategy and Improvement Plan
Future Developments	There are no planned future developments in respect of Element 1. However, if the Senior Responsible Officer for records management were to change, policies and procedures would need to be examined in the light of these changes.
Assessment and Review	This element will be reviewed as soon as there any changes in personnel.
Responsible Officer(s)	Chief Executive of National Records of Scotland (Tim Ellis).

ELEMENT 2: RECORDS MANAGER RESPONSIBILITY

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 2: Records manager responsibility must identify the individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation
Statement of Compliance	The officer with operational responsibility for records management within National Records of Scotland is the Records Manager: John Simmons.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 2 includes:</p> <ul style="list-style-type: none"> • Item 001: Statement of Responsibility for Records Management • Item 002: Records Manager Person Specification • Item 004: Records Management Policy • Item 061: Head of Records Management Job Vacancy <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 003: Records Management Strategy 2012-2013 • Item 026: Records Management Strategy and Improvement Plan • Item 033: NRS 004 RMCP Final Report • Item 035: Minutes from Departmental Planning Group Meeting, 01 May 2012 • Item 036: Minutes from Departmental Planning Group Meeting, 22 May 2012 • Item 037: Minutes from Departmental Planning Group Meeting, 12 September 2012 • Item 038: Minutes from Senior Management Team Meeting, 24 January 2013
Future Developments	The Records Manager is currently on secondment from the Electronic Records Unit. NRS will shortly be appointing an experienced records management professional as a permanent Head of Records Management. NRS are currently assessing whether to also concentrate responsibilities for Data Protection and Freedom of Information with Records Management.
Assessment and Review	This element will be reviewed as soon as there any changes in personnel.
Responsible Officer(s)	Head of Corporate Services Division (Audrey Robertson).

ELEMENT 3: RECORDS MANAGEMENT POLICY STATEMENT

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 3: Records management policy statement must demonstrate the importance of managing records within the organisation and serve as a mandate for the activities of the records manager. It is necessary in order to provide an overarching statement of the organisation's priorities and intentions in relation to recordkeeping, and deliver a supporting framework and mandate for the development and implementation of a RM culture.
Statement of Compliance	A consolidated and revised Records Management Policy, reflective of the recordkeeping arrangements in place for NRS as a whole, has been established. It was approved by senior managers at a Departmental Planning Group (now Senior Management Team) meeting on 12 September 2012.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 3 includes:</p> <ul style="list-style-type: none"> • Item 004: Records Management Policy • Item 037: Minutes from Departmental Planning Group Meeting, 12 September 2012 <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 032: NRS 004 RMCP End of Stage 4 Progress Report
Future Developments	There are no planned future developments in respect of Element 3. However, the policy will be regularly reviewed in order to ensure that it continues to reflect the organisational position in relation to recordkeeping.
Assessment and Review	This element will be informally reviewed by the Records Manager every quarter. It will be formally reviewed by the Records Manager and branch representatives in December 2013 and then annually.
Responsible Officer(s)	Records Manager (John Simmons).

ELEMENT 4: BUSINESS CLASSIFICATION

Introduction	The Keeper expects an organisation to carry out a comprehensive assessment of its core business functions and activities, and represent these within a business classification scheme (BCS). It is expected that Element 4 should confirm that the organisation has developed or is in the process of developing a BCS.
Statement of Compliance	Throughout 2012, an information audit exercise was completed alongside representatives from all divisions. Representatives worked together to identify the organisation's core functions, component activities and associated transactions in order to develop a first draft of the BCS. This draft was externally peer reviewed by Archives for New Zealand and the Health and Safety Executive. As a result of the peer review, a number of changes were made to the scheme in order to make it as scalable and flexible as possible.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 4 includes:</p> <ul style="list-style-type: none"> • Item 005: Business Classification Scheme, 1st Draft • Item 006: NAS File Classification Scheme • Item 009: Archives New Zealand Peer Review Report • Item 010: Business Classification Scheme, v1.0 <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 007: NAS File Classification Scheme Introduction • Item 008: NAS File Classification Scheme Content Guidance • Item 026: Records Management Strategy and Improvement Plan • Item 030: NRS 004 RMCP End of Stage 2 Progress Report • Item 031: NRS 004 RMCP End of Stage 3 Exception Report • Item 032: NRS 004 RMCP End of Stage 4 Progress Report
Future Developments	The new BCS will be piloted in the electronic environment before being rolled out across the organisation. A steering group is currently examining options and requirements for a new electronic records management system(s). Once a new system has been identified, procured and designed, the BCS will be piloted in one business area to assess its suitability for managing the organisation's records. If any further adjustments to the BCS are required they will be made at this stage. When the BCS has been proven to work in the electronic environment, the current file classification scheme in operation within the former National Archives of Scotland (NAS) branches will be consolidated with the BCS and a physical folder structure will be established to sit beneath the virtual BCS in order to create NRS's first corporate file plan. For details of the activities and target dates that are to be completed prior to full deployment, please refer to the Records Management Strategy and Improvement Plan.
Assessment and Review	The BCS is currently under review and is expected to be fully deployed within electronic and paper recordkeeping environments by 31 August 2014. For details of the activities that are to be completed prior to full deployment, please refer to the RM Strategy and Improvement Plan.
Responsible Officer(s)	Records Manager (John Simmons)

ELEMENT 5: RETENTION SCHEDULES

Introduction	Element 5: Retention schedules must demonstrate the existence of and adherence to corporate records retention procedures. These procedures must show that the organisation routinely disposes of information, whether this is destruction or transfer to an archive for permanent preservation. A retention and disposal schedule which sets out recommended retention periods for records created and held by an organisation, is essential for ensuring that the organisation's records are not retained longer than necessary (in line with legal, statutory and regulatory obligations), storage costs are minimised (through the timely destruction of business information), and records deemed worthy of permanent preservation are identified and transferred to an archive at the earliest opportunity.
Statement of Compliance	Throughout 2012, an information audit exercise was completed alongside representatives from all divisions. Representatives worked together to identify each of the key record types held by the organisation as well as their recommended minimum retention periods, in line with statutory and legislative obligations, as well as business need. The Retention and Disposal Schedule has been mapped to the functional structure of the Business Classification Scheme and also contains information relating to the recommended disposal procedure and the vital status of NRS's records.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 5 includes:</p> <ul style="list-style-type: none"> • Item 011: Retention and Disposal Schedule <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 026 :Records Management Strategy and Improvement Plan
Future Developments	The Retention and Disposal Schedule will be deployed within the paper and electronic recordkeeping environments by the end of 2014. NRS has set up a steering group to consider options and identify requirements for an electronic records management system. The retention periods defined in the Retention and Disposal Schedule will be applied to records created within whatever electronic records management system(s) NRS chooses to select and implement. In the interim, this schedule will act as a vital reference point for all staff when assessing how long they need to retain business information. Retention periods will be applied to new records created in the paper file systems.
Assessment and Review	The Records Manager will be responsible for monitoring and reviewing the schedule every three months, ensuring that it continues to reflect recordkeeping best practice as well as legal and statutory obligations. A formal review of the schedule, alongside branch representatives will take place annually.
Responsible Officer(s)	Records Manager (John Simmons)

ELEMENT 6: DESTRUCTION ARRANGEMENTS

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 6: Destruction arrangements should evidence the arrangements that are in place for the secure destruction of confidential information. Clear destruction arrangements detailing the correct procedures to follow when destroying business information are necessary in order to minimise the risk of an information security incident and ensure that the organisation meets its obligations in relation to the effective management of its records, throughout their lifecycle.
Statement of Compliance	A Records Disposal Policy, detailing the procedures for disposing of records within NRS was established in January 2013. Training and awareness sessions to highlight the correct procedures for disposal, as highlighted in this policy, will be developed and delivered to staff in 2013.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 6 includes:</p> <ul style="list-style-type: none"> • Item 012: Records Disposal Policy • Item 059: Certificate of Destruction – Shred-It <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 011: Retention and Disposal Schedule • Item 026: Records Management Strategy and Improvement Plan • Item 039: NAID-Europe Certificate awarded to Shred-It • Item 040: Shred-It Waste Carriers Licence • Item 041: Shred-It ISO 9001:2008 Certificate • Item 042: Shred-It ISO 14001:2004 Certificate • Item 043: British Security Industry Association Certificate of Membership, Shred-It • Item 044: Duty of Care Audit
Future Developments	NRS are currently investigating the possibility of using lockable units in each building to house all confidential waste until collection by the third party contractor. The Records Disposal Policy will be amended to reflect any agreed changes in procedure. The Keeper of the Records of Scotland will be informed of any changes.
Assessment and Review	The policy is to be reviewed quarterly by the Information Assurance and Security branch and annually alongside branch representatives and Senior Management Team.
Responsible Officer(s)	Head of Information Assurance and Security (Robert Brown).

ELEMENT 7: ARCHIVING AND TRANSFER ARRANGEMENTS

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 7: Archiving and transfer arrangements should detail the processes in place within an organisation to ensure that records of long term historical value are identified and deposited with an appropriate archive repository. Arrangements for the transfer of material of enduring value to an archive should be clearly defined and made available to all staff in order to ensure that the records are transferred at their earliest opportunity and the corporate memory of the organisation is fully and accurately preserved.
Statement of Compliance	Branches and divisions of NRS transfer records of long term historical value to the Government Records Branch for permanent preservation. The NRS Deposit Agreement for Electronic Records is used for transfers of electronic records. This document is also used to agree transfers of records from external stakeholders so not all sections are relevant or used for internal transfers of records.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 7 includes:</p> <ul style="list-style-type: none"> • Item 013: Archiving and Transfer Arrangements Statement • Item 014: Deposit Agreement for Electronic Records <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 011: Retention and Disposal Schedule • Item 012: Records Disposal Policy • Item 015: GRO and SRO Fonds - Top Level Descriptions • Item 026: Records Management Strategy and Improvement Plan
Future Developments	Comprehensive transfer arrangements are to be produced by the Government Records branch in 2013. They will be made available to all staff in order to provide advice and guidance on how to securely transfer records to the archive, define the appropriate access status for various records, and identify any relevant exemptions under the Freedom of Information (Scotland) Act 2002 and UK Freedom of Information legislation. These arrangements will be in the form of an Archive Transfer Pack.
Assessment and Review	NRS's Archiving and Transfer Arrangements are to be produced and implemented by 30 September 2013. They should be reviewed in December 2013 and then annually.
Responsible Officer(s)	Head of Government Records Branch (Bruno Longmore)

ELEMENT 8: INFORMATION SECURITY

Introduction	A mandatory element of the Public Records (Scotland) Act 2011, Element 8: Information security must make provisions for the proper level of security of its records. There must be evidence of robust information security procedures that are well understood by all members of staff. Information security policies and procedures are essential in order to protect an organisation's information and information systems from unauthorised access, use, disclosure, disruption, modification, or destruction.
Statement of Compliance	NRS has a number of well established information security policies and procedures in place which all staff are required to comply with. The policies are approved by the Chief Executive of National Records of Scotland and are reviewed on an annual basis. Information Security and Information Assurance in NRS is organised in line with the guidance and requirements in the HMG Standards; namely the Security Policy Framework, the CESG IA Standards and Good Practice Guides. All these standards are closely aligned to the International Security standard, ISO 27001.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 8 includes:</p> <ul style="list-style-type: none"> • Item 016: Statement on Information Security • Item 045: Information Security Policy Statement • Item 046: Data Handling and Management Policy • Item 047: Information Assurance and Accreditation Policy • Item 048: Security Incident Reporting Procedure • Item 049: Risk Analysis and Management Policy • Item 054: Policy on the Use of Staff Contact Information
Future Developments	The Information Security and Assurance Team are currently reviewing each of the policies to ensure that they are relevant to, and applied uniformly across, the whole organisation.
Assessment and Review	The policies should be informally reviewed at least quarterly by the Information Assurance and Security Team and formally at least annually, alongside Senior Management Team. The Keeper of the Records of Scotland will be informed if there are any changes to policies and procedures.
Responsible Officer(s)	Head of Information Assurance and Security (Robert Brown)

ELEMENT 9: DATA PROTECTION

Introduction	The Keeper expects an organisation to provide evidence of compliance with data protection responsibilities for the management of all personal data.
Statement of Compliance	NRS has a legal obligation to comply with the requirements of the Data Protection Act 1998, in relation to the management, processing and protection of personal data. NRS's Data Protection Policy is a statement of public responsibility and demonstrates the organisation's commitment to compliance with the Act and the safeguarding and fair processing of all personal data held. The two supporting codes of practice have been drawn up to ensure NRS complies with the legislation by following organisation wide policies and procedures for the management of information created or received by us in the course of our business transactions. Corporate Planning and Development Branch acts as data protection coordinator for NRS. NRS has submitted a notification to the Information Commissioner for inclusion in the Data Protection Public Register.
Evidence of Compliance	<p>NRS' registration number in the Data Protection Register is Z2886501.</p> <p>Primary evidence to be submitted in support of Element 9 includes:</p> <ul style="list-style-type: none"> • Item 017: Data Protection Policy • Item 018: Data Protection Code of Practice – Archive Collections • Item 019: Data Protection Code of Practice – Business Information <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 016: Statement on Information Security • Item 027: Statement on Information Sharing • Item 054: Policy on the Use of Staff Contact Information • Item 064: Minutes from Senior Management Team Meeting, 21 March 2013
Future Developments	Comprehensive training and awareness is to be provided to all staff in order to ensure that they are aware of their responsibilities in managing, processing and protecting personal data. NRS will develop and deliver a training programme on all aspects of information governance, including data protection, in 2013-14.
Assessment and Review	The policies and codes of practice will be informally reviewed at least every quarter by Corporate Planning and Development Branch and formally, alongside branch representatives, ensuring they remain accurate and up to date. The register entry will be regularly monitored and updated as necessary.
Responsible Officer(s)	Chief Executive of National Records of Scotland (Tim Ellis) and Head of Corporate Services Division (Audrey Robertson).

ELEMENT 10: BUSINESS CONTINUITY AND VITAL RECORDS

Introduction	It is recommended that a Business Continuity and Vital Records Plan is in place in order to ensure that key records and systems are protected and made available as soon as possible in the event of, and following, an emergency. The plan should identify the measures in place to prepare for, respond to and recover from such an emergency.
Statement of Compliance	NRS have a number of disaster planning procedures in place which are reviewed and updated at least annually, as well as a contract in place with a specialist disaster response company and informal arrangements with national bodies in the event of an emergency. Comprehensive risk assessments are being completed by all branches to identify potential risks to information, systems and collections. NRS's back up strategy comprises a full back up once a week and iterative back ups daily for former GROS IT systems (including shared drives, GROSnet and Quickr) and a full back up once a week with four incremental back ups taken each week for former NAS systems (including shared drives and NASnet). A project is currently underway to implement a consolidated and organisation-wide Business Continuity Management System. The Project Board and Project Team have been set up. The existing strategy and tools have been reviewed and future strategy has been agreed.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 10 includes:</p> <ul style="list-style-type: none"> • Item 050: NRS 107 Business Continuity Project Initiation Document • Item 051: NRS 107 Business Continuity Project Plan • Item 052: Business Continuity Policy • Item 053: BCMS 2 Year Plan • Item 055: BCMS – Methodologies and Procedures • Item 058: Disaster Plan (Hard Copy) <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 011: Retention and Disposal Schedule • Item 026 :Records Management Strategy and Improvement Plan • Item 036: Minutes from Departmental Planning Group Meeting, 22 May 2012 • Item 054: Policy on the Use of Staff Contact Information • Item 060: Business Continuity Paper for DPG, 22 May 2012 • Item 063: Business Continuity Management System Business Case
Future Developments	<ul style="list-style-type: none"> • Update the software tool Continuity² to reflect NRS structure • Review/create existing Critical Business Functions • Review/undertake Business Impact Assessments and Risk Assessments • Create Business Continuity Plan(s) • Review/create Site Emergency Plan(s) • Upload information into Continuity² • Develop and carry out training and awareness sessions • Carry out BC simulation exercises
Assessment and Review	Internal auditing of the BCMS will be facilitated through the software tool. BC sponsor, Steering Group members, plan leaders, plan managers and recovery team members will all undergo internal auditing. All Business Continuity Plans and Site Emergency Plans will be exercised at least annually. A BCMS

	management review will be carried out annually or due to circumstances of major change within the organisation.
Responsible Officer(s)	Chief Executive of National Records of Scotland (Tim Ellis) and Business Continuity Manager (Lynda Ross).

ELEMENT 11: AUDIT TRAIL

Introduction	An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities. The Keeper will expect an authority's records management system to provide evidence that the authority maintains a complete and accurate representation of all changes that occur in relation to a particular record.
Statement of Compliance	<p>NRS is currently able to track and generate audit trails for paper records which are managed by the Records Management Unit, while the access control policies used within the statistical branches contain detailed logs of who can access certain records. However, at present, records in the electronic environment can be moved, edited, renamed and deleted without any of these actions being auditable.</p> <p>NRS is committed to improving the way in which electronic documents are managed throughout the organisation. A steering group, made up of representatives from each business area, has been established to examine the current situation, consider options and identify requirements for an electronic records management system which can be developed as part of NRS' new IT infrastructure. NRS will select and implement a system in which records can be created and maintained with audit trail information. The steering group is currently evaluating requirements for the management of electronic records which are created and received across NRS. Following their deliberations a specification of requirements and business case will be drawn up. A project will then be set up to take forward work on the procurement and design of a new system with the aim of rolling the system out to business areas in 2014/15. Since NRS creates complex data sets in line-of-business applications it may not be possible to manage all records which are created in NRS within one single electronic records management system, but all records will be managed using the new BCS and Retention and Disposal Schedule with audit trail information accurately captured.</p> <p>In the interim, NRS will work to improve the management of electronic records within its current systems. Guidelines covering document naming, use of version control, and the management of email have been developed to support colleagues. Staff will be introduced to and trained in these rules and procedures in 2013 in order to improve how NRS captures, stores, names and disposes of its records.</p>
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 11 includes:</p> <ul style="list-style-type: none"> • Item 020: Records Management Unit – User Manual • Item 021: Managing E-Records More Effectively Issues Paper • Item 023: Document Naming Guidelines • Item 024: Managing Email Policy • Item 057: Access Control Policy • Item 062: NRS Abbreviations and Acronyms • Item 065: Statement from Chief Executive of National Records of Scotland <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 022: EDRM Steering Group Questionnaire • Item 026: Records Management Strategy and Improvement Plan • Item 034: Minutes from EDRM Steering Group, 10 January 2013

	<ul style="list-style-type: none">• Item 056: EDRM Questionnaire Results• Item 064: Minutes from Senior Management Team Meeting, 21 March 2013
Future Developments	<p>Training on procedures for managing electronic records (including use of document naming and version control guidelines, and management of email) will be provided to all staff in 2013.</p> <p>NRS is committed to developing and implementing a new electronic records management system by the end of 2014.</p>
Assessment and Review	<p>This element is currently under review. The Keeper of the Records of Scotland will be kept informed of progress and changes to this element.</p>
Responsible Officer(s)	<p>Records Manager (John Simmons) and Head of ICT (Anne Courtney)</p>

ELEMENT 12: COMPETENCY FRAMEWORK FOR RECORDS MANAGEMENT STAFF

Introduction	Core competencies and key knowledge and skills required by staff with responsibilities for records management should be clearly defined and made available within organisations so as to ensure that staff understand their roles and responsibilities, can offer expert advice and guidance, and can remain proactive in their management of recordkeeping issues and procedures. With core competencies defined, the organisation can identify training needs, assess and monitor performance, and use them as a basis from which to build future job descriptions.
Statement of Compliance	Core competencies, key knowledge and skills required by staff with responsibilities for RM have been clearly defined within the Records Management Competency Framework, ensuring that staff understand their roles and responsibilities and can offer expert advice and guidance. The Records Management Competency Framework has identified that the Records Manager will have a degree or post graduate level qualification in information / records management or be working towards such a professional qualification.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 12 includes:</p> <ul style="list-style-type: none"> • Item 002: Records Manager Person Specification • Item 025: Records Management Competency Framework • Item 061: Head of Records Management Job Vacancy <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 026: Records Management Strategy and Improvement Plan
Future Developments	Records management is to be identified as a distinct stream within the organisation's training portfolio, with dedicated training provided to all staff, as part of a more comprehensive information governance programme during 2013. A training programme will be developed to raise awareness of the importance of records management and highlight roles and responsibilities. Training will cover compliance (including Data Protection, Freedom of Information and the Public Records (Scotland) Act 2011), information security and assurance, records management processes and procedures, and sources of guidance in NRS. Practical workshops on managing and accessing information will be run throughout the organisation.
Assessment and Review	This element will be regularly reviewed throughout 2013 alongside the development and delivery of records management training to all staff.
Responsible Officer(s)	Records Manager (John Simmons)

ELEMENT 13: REVIEW AND ASSESSMENT

Introduction	Records Management practices in place within an organisation must remain fit for purpose. Procedures should be closely monitored, assessed and reviewed with a view to ensuring ongoing compliance and commitment to best practice recordkeeping. The Keeper expects the Records Management Plan to have in place mechanisms for regularly reviewing the contents of the Plan to ensure processes are operating successfully and identifying processes which require modification.
Statement of Compliance	Each of the policies and procedures produced in line with the requirements of the Public Records (Scotland) Act 2011 have been done so in consultation with colleagues across the organisation. Each new policy has been reviewed in detail in order to ensure compliance with all business as well as legal obligations.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 13 includes:</p> <ul style="list-style-type: none"> • Item 003: Records Management Strategy 2012-2013 • Item 026: Records Management Strategy and Improvement Plan • Item 029: NRS 004 RMCP Self-Evaluation Report <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 033: NRS 004 RMCP Final Report
Future Developments	A follow-up self assessment of practices and procedures, using the ARMS framework, will be completed in July 2014, following the implementation of the Records Management Plan. Key performance indicators and performance measurements will be introduced with a clear timetable for review.
Assessment and Review	All policies and procedures will be reviewed throughout 2013. The Records Management Strategy and Improvement Plan sets out clear milestones for review and assessment moving forward.
Responsible Officer(s)	Records Manager (John Simmons)

ELEMENT 14: SHARED INFORMATION

Introduction	Procedures for the efficient sharing of information both within an organisation and with external partners are essential for ensuring information security and recordkeeping compliance. Protocols should include guidance as to what information can be shared, who should retain the data, what levels of security are to be applied, who should have access, and what the disposal arrangements are.
Statement of Compliance	NRS operate in accordance with the Information Commissioner's Data Sharing Code of Practice. A standard data access agreement template is also in existence which can be modified to reflect the specific requirements and circumstances of sharing information.
Evidence of Compliance	<p>Primary evidence to be submitted in support of Element 14 includes:</p> <ul style="list-style-type: none"> • Item 027: Statement on Information Sharing • Item 028: Data Access/Sharing Agreement Template <p>Supporting evidence to be submitted includes:</p> <ul style="list-style-type: none"> • Item 026: Records Management Strategy and Improvement Plan • Item 057: Access Control Policy
Future Developments	NRS will look to define specific arrangements for information sharing, including the establishment of clear information sharing protocols, in 2013.
Assessment and Review	Element 14 will be reviewed in July 2013 and again in January 2014 as new Information Sharing protocols are developed for the organisation.
Responsible Officer(s)	Head of Data Access and Communications branch (Julie Goodlet-Rowley) and Head of Information Security and Assurance branch (Robert Brown).

ANNEX A:**EVIDENCE TO BE SUBMITTED**

Please find a list of evidence to be submitted in support of each of the elements of the Records Management Plan below. This evidence will be submitted separate to this Records Management Plan, in electronic and paper format.

EVIDENCE ITEM REF NO:	DETAILS:	DATE:	IN SUPPORT OF ELEMENT(S):
001	Statement of Responsibility for Records Management, v1.0	Jan 2013	1, 2
002	Records Manager Person Specification	Feb 2012	2, 12
003	Records Management Strategy 2012-2013, v1.1	Aug 2012	1, 2, 13
004	Records Management Policy, v1.0	Sep 2012	1, 2, 3
005	Business Classification Scheme, 1 st Draft, v0.5	Oct 2012	4
006	NAS File Classification Scheme, v2.0	2003	4
007	NAS File Classification Scheme Introduction, v1.0	2003	4
008	NAS File Classification Scheme Content Guidance, v2.0	2003	4
009	Archives New Zealand Peer Review Report	Nov 2012	4
010	Business Classification Scheme, v1.0	Jan 2013	4
011	Retention and Disposal Schedule, v1.0	Jan 2013	5, 6, 7, 10
012	Records Disposal Policy, v2.0	May 2013	6, 7
013	Archiving Arrangements, v1.0	Mar 2013	7
014	Deposit Agreement for Electronic Records, v1.4	Mar 2013	7
015	GRO and SRO Fonds Level Descriptions, v1.0	Mar 2013	7
016	Statement of Compliance Information Security, v1.0	May 2012	8, 9
017	Data Protection Policy, v1.0	Jan 2013	9
018	Data Protection Code of Practice – Archive Collections, v1.0	Jan 2013	9
019	Data Protection Code of Practice – Business Information, v1.0	Jan 2013	9
020	Records Management Unit – User Manual, v1.0	Jan 2013	11
021	Managing E-Records More Effectively Issues Paper, v1.0	Aug 2012	11
022	EDRM Steering Group Questionnaire, v2.0	Jan 2013	11
023	Document Naming Guidelines, v1.0	Jan 2013	11
024	Managing Email Policy, v1.0	Jan 2013	11
025	Records Management Competency Framework, v1.0	Mar 2013	12

026	Records Management Strategy and Improvement Plan, v2.0	Jan 2013	1, 2, 4, 5, 6, 7, 10, 11, 12, 13, 14
027	Statement on Information Sharing, v1.0	Jan 2013	9, 14
028	Data Access/Sharing Agreement Template	Mar 2013	14
029	NRS 004 RMCP Self-Evaluation Report, v1.0	Jul 2012	13
030	NRS 004 RMCP End of Stage 2 Progress Report, v1.0	Jul 2012	4
031	NRS 004 RMCP End of Stage 3 Exception Report, v1.0	Aug 2012	4
032	NRS 004 RMCP End of Stage 4 Progress Report, v1.0	Dec 2012	3, 4
033	NRS 004 RMCP Final Project Report, v1.0	Feb 2013	2, 13
034	Minutes from EDRM Steering Group, 10 January 2013, v1.0	Jan 2013	11
035	Minutes from Departmental Planning Group Meeting, 01 May 2012, v1.0	May 2012	2
036	Minutes from Departmental Planning Group Meeting, 22 May 2012, v1.0	May 2012	2, 10
037	Minutes from Departmental Planning Group Meeting, 12 September 2012, v1.0	Sep 2012	2, 3
038	Minutes from Senior Management Team Meeting, 24 January 2013, v1.0	Jan 2013	2
039	NAID-Europe Certificate awarded to Shred-It	2006	6
040	Shred-It Waste Carriers Licence	2002	6
041	Shred-It ISO 9001:2008 Certificate (2 documents)	2009	6
042	Shred-It ISO 14001:2004 Certificate	2009	6
043	British Security Industry Association Certificate of Membership, Shred-It	2005	6
044	Duty of Care Audit	May 2011	6
045	Information Security Policy Statement, v8.0	May 2013	8
046	Data Handling and Management Policy, v1.2	Mar 2013	8
047	Information Assurance and Accreditation Policy, v1.0	Mar 2013	8
048	Security Incident Reporting Procedure, v2.7	Feb 2012	8
049	Risk Analysis and Management Policy, v2.2	Mar 2013	8
050	NRS 107 Business Continuity Project Initiation Document, v1.0	Mar 2013	10
051	NRS 107 Business Continuity Project Plan	Jan 2013	10
052	Business Continuity Policy, v1.0	Mar 2013	10

053	BCMS 2 Year Plan, v1.0	Mar 2013	10
054	Policy on the Use of Staff Contact Information, v0.2	Mar 2013	8, 9, 10
055	BCMS – Methodologies and Procedures, v1.0	Apr 2013	10
056	EDRM Steering Group Questionnaire Results	Feb 2013	11
057	Access Control Policy	Mar 2010	11, 14
058	Disaster Plan (hard copy)	Mar 2013	10
059	Certificate of Destruction – Shred-It	Feb 2013	6
060	Business Continuity Paper for Departmental Planning Group, 22 May 2012	May 2012	10
061	Head of Records Management Job Vacancy	Apr 2013	2, 12
062	NRS Abbreviations and Acronyms, v1.0	Jan 2013	11
063	Business Continuity Management System Business Case, v1.0	Mar 2013	10
064	Minutes from Senior Management Team Meeting, 21 March 2013, v1.0	Mar 2013	9, 11
065	Statement from Chief Executive of National Records of Scotland	May 2013	11