Inverclyde council

Report To:	Policy and Resources Committee	Date:	15 November 2016
Report By:	Brian Moore Corporate Director (Chief Officer) Inverclyde HSCP	Report No:	SW-56-2016-DR
Contact Officer:	Dean Robinson Information Governance Officer	Contact No:	01475 712136
Subject:	INFORMATION GOVERNANCE AND MANAGEMENT UPDATE		

1.0 PURPOSE

1.1 The purpose of this report is to update the Committee on information governance and the Records Management Improvement Plan.

2.0 SUMMARY

2.1 The Information Governance Steering Group (IGSG) is implementing the Council and Licensing Board's Records Management Plan (RMP) as required under the Public Records (Scotland) Act 2011. Of the 14 elements considered in the RMP, 9 were agreed as compliant and 5 were agreed as part of an improvement plan and require further development.

2.2 Since we last reported to the Committee the Council has made good progress against all of the improvement plan elements. A summary of key achievements are:

- Services are continuing to reduce paper records to focus on electronic storage and allow improvements to be made to existing storage areas.
- Services have been re-organising network folders as a means of business classification.
- An updated email archiving and deletion solution has been agreed.
- Improvements are planned at the Watt Library to protect our archives.
- Information sharing discussions continue to take place and we are continuing to review and develop data sharing agreements.
- More staff completing mandatory e-learning training in information governance subjects and we have dedicated module for staff with data protection responsibilities.

2.3 The Keeper of Records (Scotland) is now starting the process of assessing improvement models during 2016. We are awaiting the Keeper's timeframe for the assessment process.

2.4 The IGSG and its sub-group are committed to closing the gap in the improvement areas recommended by the Keeper. Its activity is detailed in the attached improvement plan (Appendix 1).

3.0 RECOMMENDATIONS

3.1 That the Committee note progress is being made on the Council and Licensing Board's Records Management Improvement Plan.

3.2 That the Committee note the Council and Licensing Board will be invited to submit an annual update of its Records Management Plan and the Keeper will write to the Chief Executive with his findings.

3.3   That the Committee agree to receive annual update reports on Information Governance and Management.

Brian Moore
Corporate Director (Chief Officer)
Inverclyde Director HSCP

4.0   BACKGROUND

4.1   Inverclyde Council and Licensing Board is monitoring its compliance under the Public Records (Scotland) Act 2011.   That is, following approval of the Records Management Plan we must implement the Plan and keep it under review, and carry out a review of the Plan by such a date ("the review date") as the Keeper may determine.

4.2   The Council and Licensing Board's improvement plan is concentrated on the following elements.

Element 4	-	Business Classification
Element 6	-	Destruction Arrangements
Element 7	-	Archiving and Transfer
Element 11	-	Audit Trail
Element 14	-	Shared Information

Some of these 'amber' elements will be more complex than others and will be considered long-term.   Progress on our achievements to date is detailed in Appendix 1.

4.3   The Council has also made progress in maintaining the 'green' elements that were compliant and are maintained by ongoing work streams.

4.4   Records Management

- There is an ongoing work plan for the destruction of paper records no longer required under retention.
- Activity in the Greenock Municipal Buildings has seen services in Environment, Regeneration & Resources reviewing files for clear-out and Finance have almost cleared out their vaults.
- Property Services have been moving rationalised files into their upgraded storage area.

4.5   Training and Development

- Our Learning and Development pages on ICON have been refreshed and there is an updated E-Learning course catalogue with mandatory courses in information, security and governance.
- The Council has a dedicated module for information asset owners and senior risk owners to help understand information risk.
- Staff who deal with subject access requests have received dedicated training and a corporate guide has been developed.
- Staff uptake accessing and completing mandatory e-learning modules in information governance has improved.   NHS staff in the HSCP continue to access Learnpro for the safe information handling e-learning.

4.6   Historical Child Abuse Inquiry

- A task group in the HSCP are leading on this work to identify and retrieve relevant records which might be of interest to the Inquiry.   We also have a support mechanism through Glasgow City Archives.

4.7   Social Media Usage

- In recognition of the popularity of social media as a communication tool, it is being explored as an option for delivering online training.   The IGSG are taking forward discussions as well as refreshing existing Council policy regarding the use of Social Media.

4.8   Open Data

- The IGSG are exploring the benefits of publishing datasets as required under the Government's Open Data Strategy.   The Council is likely to hold a number of datasets and these will be made available through a publication plan.

5.0 IMPLICATIONS

Finance

5.1 Implementation of the Records Management Plan does not present any immediate cost implications. This may change upon specific responses to implementation of the RMP and will be identified separately.

One off Costs

Cost Centre	Budget Heading	Budget Years	Proposed Spend this Report £000	Virement From	Other Comments
N/A					

Annually Recurring Costs/ (Savings)

Cost Centre	Budget Heading	With Effect from	Annual Net Impact £000	Virement From (If Applicable)	Other Comments
N/A					

Legal

5.2 The recommendations made in this progress report will ensure the Council's processes are in line with legislative requirements, including the Public Records (Scotland) Act 2011, the Data Protection Act 1998, and the Freedom of Information (Scotland) Act 2002.

Human Resources

5.3 The Records Management Plan will place responsibilities on staff in conjunction with the Employee Code of Conduct in compliance with information governance, data protection and IT security responsibilities.

Equalities

5.4 None at this time, although recognition will be given to the wider and associate equalities agenda.

	YES (see attached appendix)
√	NO - This report does not introduce a new policy, function or strategy or recommend a change to an existing policy, function or strategy. Therefore, no Equality Impact Assessment is required.

Repopulation

5.5 There are no direct repopulation implications arising from this report.

6.0 CONSULTATIONS

6.1 Consultation took place with the Information Governance Steering Group.

7.0 BACKGROUND PAPERS

7.1 Information Governance and Management Update Report to Committee, 2 February 2016.

RECORDS MANAGEMENT IMPROVEMENT PLAN

'Amber' Improvement Area	Progress to date
Business Classification Implementation of a corporate business classification scheme (BCS) that will link in with the Retention Schedule.	• The Council has an original business classification scheme and implementation across Directorates is progressing. • The re-organisation of network folders is being taken forward by managers and will be promoted through DMTs. • Safer Communities, significant sections of HSCP and Finance have completed significant portions of network folder re-organisation. This has seen improvement on file and folder structure.
Destruction Arrangements A corporate process to be in place for the deletion of electronic documents from network drives.	• The Council approved an upgraded email archiving and deletion solution at Committee on 20 September 2016. The solution will allow for compliance with the Policy for the Retention and Disposal of Documents Paper and Electronic and Information Classification Policy. • A classification system for the labelling of correspondence sent electronically will be put in place to allow emails and documents to be classified with an 'Official' or 'Official – Sensitive' marking. • Data cleansing exercises are taking place in HSCP whilst we consider a disposal option for their EDM system. • Planning has reduced their paper storage with the ongoing scanning of historical building standards records to comply with the Government's e-Building Standard. • The destruction of paper records across the Council is making good progress and we have a work plan in place. High capacity shredders have also been purchased.
Archiving and Transfer The Council must make provisions to ensure its records of long term historical value are deposited with an appropriate repository and arrangements are in place to transfer and archive material of enduring value.	• Refurbishment to the roof at the Watt Library will help to protect archive collections housed there. • Decanting of our historical records give us the opportunity to review all items and materials being stored. • Public access to our archives has been improved. • We are self-assessing our archiving provisions against the Keeper's 'proper arrangements for archiving public records' document.

'Amber' Improvement Area	Progress to date
	• We will be developing guidance for staff on how to recognise records for archiving.
Audit Trail The Council must have procedures in place in relation to audit trails covering all transactions undertaken.	• We already have the facility for audit trails in our electronic record systems. The introduction of the business classification scheme will allow for audit trails to be incorporated into reorganised network folders.
Shared Information Procedures for the efficient sharing of information both within an organisation and with external partners	• The Council's Information Sharing Working Group continues to review and enhance our information sharing arrangements. • New data sharing agreements have been developed. • The Council's Information Sharing Protocol was promoted in our information governance newsletter. • A corporate registry for existing sharing agreements is being developed on ICON. • Freedom of Information publication schemes for the Council, Licensing Board and Integrated Joint Board have been updated.