

Records Management Plan

Records Management Arrangements under Section 1 of the Public Records (Scotland) Act 2011

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| **Redress Scotland** | **RECORDS MANAGEMENT PLAN 2022** |

RECORDS MANAGEMENT PLAN

**Contents**

Background ………………………………………………………………………….……3

Records Management in Redress Scotland………………..………………….……4

Records Management Principles………………………………………………….…..4

**Elements of the plan**

Element 1: Senior management responsibility……………………………….……..5

Element 2: Records manager responsibility …..………………..…………..………5

Element 3: Records management policy statement………..……………..……..6

Element 4: Business classification…………………….…………………………..……8

Element 5: Retention schedules…………………………………………………..……9

Element 6: Destruction arrangements…………..……………………………..……..9

Element 7: Archiving and transfer arrangements…………………………………10

Element 8: Information security…………………………………………………..……11

Element 9: Data protection………………………………………………..………..…11

Element 10: Business continuity and vital records…………..……………………..12

Element 11: Audit trails……………….…………………………………………….…..13

Element 12: Records management training for staff………………………….…..13

Element 13: Assessment and review…………………………………………….…...15

Element 14: Shared information………………………………………………….……16

Element 15: Public records created by third parties…………………….…….…..16

Appendix 1: Evidence submitted…………………………… ……………………....17

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| --- | --- |
| **Redress Scotland** | **RECORDS MANAGEMENT PLAN 2022** |

**Background**

The Public Records (Scotland) Act 2011 obliges Redress Scotland to prepare and implement a Records Management Plan. The Records Management Plan sets out proper arrangements for the management of records within Redress Scotland. Our procedures will aim to ensure that all employees, contractors, agents, consultants and other trusted third parties who have access to any information held by or on behalf of Redress Scotland, are fully aware of and abide by their duties under the Act.

The plan is agreed with the Keeper of the Records of Scotland (the Keeper) and will be reviewed by Redress Scotland on an annual basis. Redress Scotland’s Records Management Plan is based on the Keeper’s published Model Records Plan. The model plan has 15 Elements.

The 15 Elements are:

1. Senior management responsibility

2. Records manager responsibility

3. Records management policy statement

4. Business classification

5. Retention schedules

6. Destruction arrangements

7. Archiving and transfer arrangements

8. Information security

9. Data protection

10. Business continuity and vital records

11. Audit trail

12. Records management training for staff

13. Assessment and review

14. Shared information

15. Public records created by third parties

Redress Scotland has provided the Keeper with evidence of policies, procedures, guidance and operational activity on all elements of the plan. This encompasses records throughout their lifecycle, from creation and acquisition to archive and destruction. It encompasses all records across all areas of the organisation.

**Records management in Redress Scotland**

The records of Redress Scotland constitute an auditable account of the organisation’s activities, which provides evidence of the business, actions, decisions and resulting policies formed by Redress Scotland. Records represent a vital asset, which support the daily functions of Redress Scotland and protect the interests and rights of staff, panel members and applicants, who have dealings with Redress Scotland.

Effective record keeping supports efficiency, consistency and continuity of work and enables Redress Scotland to deliver optimum services. It ensures that the correct information is: captured, stored, maintained, retrieved and destroyed or preserved in accordance with business need, statutory and legislative requirements.

**Records management Principles**

The following principles will drive all activities relating to records management:

• Records are a valuable resource and must be managed as such;

• Records are maintained in accordance with legislation;

• Records are shared and not duplicated;

• Records are stored in a consistent manner that reflects Redress Scotland’s functions;

• Records are appropriately secured;

• Records are easily accessible for as long as they are required;

• Records that are identified as vital are protected;

• Records that are identified as of historical significance are preserved;

• Records are disposed of in accordance with approved Records Retention Schedules;

• Records management procedures are understood by all staff and staff are appropriately trained;

• Records management is a responsibility of all staff;

• Records management practices adhere to corporate policy, procedures and standards;

• Records keeping systems are compliant with the requirements to manage records throughout their lifecycle.

| **RMP Element Description** | **Redress Scotland Statement** | **Evidence**  | **Action Plan** |
| --- | --- | --- | --- |
| **Element 1: Senior management responsibility****Identify an individual at senior level who has overall strategic accountability for records management.** Element 1 of the Record Management Plan is a mandatory element that requires Redress Scotland to identify a person at senior level who has overall strategic responsibility for records management. The Record Management Plan must provide the name and job title of the person who accepts overall responsibility for the Record Management Plan that has been submitted. [Read further explanation and guidance about element 1](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P13-15) | Joanna McCreadie, Chief Executive of Redress Scotland currently has senior responsibility for all aspects of Records Management, and is the corporate owner of this document. Joanna McCreadie, Chief Executive, has signed off this draft Records Management Plan for submission to National Records of Scotland in advance of it being submitted to our Oversight Board. Joanna McCreadie is our Accountable Officer.Bill Matthews chairs our Audit Risk and Assurance Committee. The Records Management Plan, including all supporting documentation will be submitted for approval on 17 January 2023 prior to it going to our Oversight Board for awareness. Johnny Gwynne chairs our Oversight Board. | E01-01 Records Management Policy E01-02 Senior Manager and Staff Responsibilities statement | Records Management Plan to be submitted for approval by our Audit Risk and Assurance Committee on 17 January 2023. We will also seek agreement from the Audit Risk and Assurance Committee to develop an action plan in the first quarter of 2023 which will support us to monitor, maintain and improve our records management.It will then be submitted to our Oversight Board for awareness on 26 January 2023  |
| **Element 2: Records management responsibility****Identify individual within the organisation, answerable to senior management, to have day-to-day operational responsibility for records management within the organisation.** Element 2 of the Record Management Plan is a mandatory element that requires Redress Scotland to identify the individual responsible for ensuring the organisation complies with its plan. An organisation’s Record Management Plan must name and provide the job title of the person responsible for the day-to-day operation of activities described in the elements in the organisation’s Record Management Plan. This person should be the Keeper’s initial point of contact for records management issues. It is essential that an individual has overall day-to-day responsibility for the implementation of an organisation’s Record Management Plan. [Read further explanation and guidance about element 2](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P16-18) | The Policy and Improvement Lead role, which is currently being recruited as a permanent role, will be the corporate records manager and will have day to day operational responsibility for records management. This role will report directly to the Head of Policy and Improvement. In the meantime the Governance Secretary, Diane Piper and Executive Secretary, Celine Lauter will cover this role.Melanie Lowe is currently named and is the Keeper’s initial point of contact until the Head of Policy and Improvement and the Policy and Improvement Lead roles are recruited.Any actions recorded in the future developments section will be taken forward by Diane Piper, Celine Lauter, supported by Melanie Lowe the Senior Information Risk Owner. | E02-01 Senior Manager and Staff Responsibilities statementE02-02 Evidence of training for Policy and Improvement Lead, Governance Secretary and Executive Secretary e-mailE02-03 Evidence of Training for Policy and Engagement LeadE02-04 SIRO guidance | Melanie Lowe, Diane Piper and Celine Lauter will be undertaking an Introduction to Records Management course on 23 and 25 November. Melanie Lowe will then undertake a Practitioner Certificate in Scottish Public Sector Records Management on January 16, 17, 23, 24, 30 and 31 2023 |
| **Element 3: Records management policy statement****A records management policy statement underpins effective management of an organisation’s records and information. It demonstrates to employees and stakeholders that managing records is important to the organisation and serves as a mandate for the activities of the records manager.** Element 3 of the Record Management Plan is a mandatory element that requires Redress Scotland to include a records management policy statement that demonstrates the importance of managing records and underpins the effective management of Redress Scotland’s records and information The policy statement should describe how the organisation creates and manages authentic, reliable and useable records, capable of supporting business functions and activities for as long as they are required. The policy statement should be made available to all staff, at all levels in the organisation. [Read further explanation and guidance about element 3](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P19-21) | Redress Scotland is committed to establishing and maintaining good record keeping practices which meet business needs, comply with legal, statutory and regulatory obligations and demonstrate transparency and accountability to all its stakeholders. Redress Scotland’s commitment to effective records management is set out in Records Management Policy, procedures and guidance. The policy along with the procedures and guidance will be available to all staff. This will be supported by online training and reminder articles within Scottish Government’s intranet site, Saltire.Our intranet site is currently being developed on Pathways which will enable us to link training directly with information for staff on related policies. This currently isn’t in place but we anticipate it will be available in the New Year.  | E03-01 Records Management PolicyE03-02 Role of the Information Asset Owner | Our records management policy is to be submitted to our Audit Risk and Assurance Committee 17 January 2023. During the first quarter of 2023 we will develop an action plan to support records management within Redress Scotland with a view to monitoring, maintaining and improving our overall approach to records management. We will adapt Pathways as our intranet site to enable the records management policy, procedures, guidance and online training to be available to all staff.We will update our staff induction training to include Introduction to Records Management. This will be hosted on Pathways.We will also ensure that all staff who have joined Redress Scotland before Records Management has been included in the induction training will retrospectively undertake the training.We will review our records management plan and policy annually and as required to ensure it remains up-to-date. |
| **Element 4: Business classification****A business classification scheme describes what business activities the organisation undertakes – whether alone or in partnership.** Element 4 covers business classification. A business classification scheme describes what business activities the organisation undertakes. Under this element the Keeper expects Redress Scotland to have properly considered its business functions and reflect these within a business classification scheme. A business classification scheme usually takes the form of a hierarchical model or structure diagram. It records, at a given point in time, the informational assets the business creates and maintains, and in which function or service area they are held.As organisations change, the scheme should be regularly reviewed and updated. A business classification scheme allows an organisation to map its functions and provides a structure for operating a disposal schedule effectively. [Read further explanation and guidance about element 4](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P22-25) | Redress Scotland only have digital public records as detailed in our Records Management Policy, and these are all managed in a separate file structure within the eRDM system.Every file that is created has a file type attached to it. The file type determines when the file will be closed and the action that will be taken on the file following closure.Extracts of eRDM files created have been provided to show where they sit in the structure and these are included in our Naming Convention Guidance Procedure.Our Business Classification Scheme is the keystone of the records management function within Redress Scotland. The Business Classification Scheme aims to provide the framework for managing the records and information.  |  - Redress Scotland File type guidance.– Redress Scotland Casework File type guidance. – Redress Scotland Naming convention guidance. – eRDM fileplan screenshot 1. – eRDM fileplan screenshot 2. | Following the Records Management training that was undertaken the end of November 2022 we will be reviewing our Business Classification Scheme to ensure that our files and file paths are relevant, and focus on what we do and are clearly related to our business functions. The file plans we have we developed before Redress Scotland was fully operational and therefore improvements can now be made. We will engage directly with Finance, People, Operations and Policy and Improvement to ensure the folder structure reflects the work we do. We will continue to review our business classification scheme on an annual basis. |
| **Element 5: Retention schedules****A retention schedule is a list of records for which pre-determined disposal dates have been established.** Element 5 covers retention schedules. A retention schedule is a list of records for which pre-determined disposal dates have been established. A retention schedule is an important tool for proper records management. Under this element Redress Scotland must demonstrate the existence of and adherence to corporate records retention procedures that are followed to ensure records are routinely assigned disposal dates, that they are subsequently destroyed by a secure mechanism (see element 6) at the appropriate time, or preserved permanently by transfer to an approved repository or digital preservation programme (See element 7). [Read further explanation and guidance about element 5](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P26-29) | Redress Scotland has a detailed retention and disposal policy. This is based on the key record types held by the organisation and their required retention periods which are in line with statutory and legislative obligations and business needs.The retention and disposal schedules have been mapped to file types which are then used against the files created within eRDM. These are standard retention schedules. | E05-01 Casework File Type GuidanceE05-02 File Type Guidance | We will continue to review our retention and disposal schedules on an ongoing basis to make sure they continue to meet business needs. |
| **Element 6: Destruction arrangements****It is not always cost-effective or practical for an organisation to securely destroy records in-house. Many organisations engage a contractor to destroy records and ensure the process is supervised and documented.**Element 6 is a mandatory element and covers destruction arrangements. Section 1(2)(b)(iii) of the Act requires a Record Management Plan to include provision about the archiving and destruction, or other disposal, of an organisation’s public records and to demonstrate that proper destruction arrangements are in place. [Read further explanation and guidance about element 6](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P30-33) | Redress Scotland uses the Scottish Government SCOTS Network. Scottish Government has implemented retention schedules on all electronic records and regularly review these.When an electronic file is destroyed or transferred to National Records of Scotland in line with its retention schedule stubs remain on the system confirming the name of the file and all documents that were held within it.Computer media will be disposed of securely and through approved procedures. | E06-01 Destruction Guidance | No further development is required at the moment but we will keep this under review. |
| **Element 7: Archiving and transfer arrangements****This is the mechanism by which an organisation transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.** Element 7 is a mandatory element and covers archiving and transfer arrangements. Section 1(2)(b)(iii) of the Act requires a Record Management Plan to include provision about the archiving and destruction, or other disposal, of an organisation’s public records and to detail its archiving and transfer arrangements to ensure that records of enduring value are deposited in an appropriate archive repository. [Read further explanation and guidance about element 7](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P34-36) | Redress Scotland are currently engaging with National Records of Scotland to identify which records will be identified as being of historical interest and will be transferred to the National Records of Scotland for permanent preservation.Redress Scotland are currently in the process of agreeing a formal Deposit Agreement between Redress Scotland and the National Records of Scotland which covers the transfer of all records.Redress Scotland use Enterprise Vault to archive emails from all employees mailboxes as part of the SG SCOTS network and controls. | E07-01 e-mail exchanges with National Records ScotlandE07-02 e-mail exchanges with National Records Scotland | To continue engagement with NRS on agreeing a formal Deposit Agreement which will cover the transfer of records. |
| **Element 8: Information security****Element 8: Information Security: Information security is the process by which an organisation protects its records and ensures they remain available. It is the means by which an organisation guards against unauthorised access and provides for the integrity of the records.** Robust information security measures are an acknowledgement that records represent a risk as well as an asset. An organisation should have procedures in place to assess and contain that risk. Element 8 covers information security and requires Redress Scotland to make provisions for the proper level of security for its public records. Redress Scotland must evidence that there are robust policies and procedures in place to protect its records. If records are not adequately protected then the risk that the records could be damaged and destroyed is potentially higher and could lead to significant reputational and financial cost to the business. [Read further explanation and guidance about element 8](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P37-40) | Redress Scotland has a number of information security policies and procedures which all staff are required to comply with. As Redress Scotland uses the SG SCOTS network we are required to follow the SG policies associated with Information Security and Data. The policies are approved and reviewed on a regular basis. These can be accessed through pathways and are part of mandatory training.Redress Scotland is pro-active in its approach to information risk through our strategic risk register and operational risk register.The Information Asset Owner is briefed and provided with guidance on their role.All staff are required to complete “Responsible for Information – General User’” and “Data Protection“ e-learning training on an annual basis. This annual awareness training reminds employees of the importance of data security and associated risks and is completed through the Pathways training system.Redress Scotland is a completely virtual organisation and we ensure that adequate physical controls are put in place to maintain the security and confidentiality of all sensitive data that is held electronically.Redress Scotland utilises the Scottish Government SCOTS network and signs up to all relevant policies and guidance relating to this. | E08-01 iTECS terms of supplyE08-02 IT Code of ConductE08-03 Scottish Government IT Security PolicyE08-04 Strategic Risk RegisterE08-05 Operational Risk RegisterE08-06 Security ClassificationE08-07 Restricting files in eRDM | These policies will continue to be reviewed regularly and updated as required.We will review our strategic and operational risk registers to ensure that information risk management is reflected in the registers. This will further support our approach to risk as records management is a significant strategic risk mitigation.  |
| **Element 9: Data protection****An organisation that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.** Element 9 covers Data Protection and requires Redress Scotland to provide evidence of compliance with legal obligations to protect personal information under the Data Protection Act 2018. [Read further explanation and guidance about element 9](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P41-44) | Redress Scotland has wide ranging data protection controls in place including high-level procedures, mandatory staff data protection e-learning training and guidance for specific activities.Our Data Protection Policy is a statement of public responsibility and demonstrates our commitment to compliance with the Act and the safeguarding and fair processing of all personal data held by Redress Scotland, this is due to be published on our website shortly.A DPO has been appointed for Redress Scotland and registered with the ICO.All staff who are part of the Redress Scotland file plan are required to complete the “Information Management’” and “Data Protection“ e-learning courses on an annual basis and obtain a pass mark through Pathways. | E09-01 DPO certificate from ICOE09-02 SARs guidanceE09-03 FOI guidanceE09-04 Data Protection policyE09-05 Privacy Notice for applicantsE09-06 Privacy Notice for staff | Revise and update all training and policy and procedure documents where required.Staff will continue to undertake the “Responsible for Information – General User’” and “Data Protection“ e-learning courses on an annual basis and be required to obtain a pass mark.Our Data Protection Policy will be published on our website shortly. |
| **Element 10: Business continuity and vital records****A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an organisation.** Element 10 covers business continuity and vital records. Certain records held by organisations are vital to their function. The Keeper expects Redress Scotland to identify these records and have appropriate business continuity plans ensuring that the critical business activities referred to in their vital records will be able to continue in the event of a disaster. [Read further explanation and guidance about element 10](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) – (see P45-46) | Redress Scotland are currently developing a Business Continuity Plan. The Information and Technology Services (iTECS) Business Continuity Plan includes the records management function and is reviewed annually, and this covers the record recovery element as we utilise the SCOTS service within Scottish Government.All records and data held on the SCOTS network are subject to regular back up and associated recovery procedures.  | E10-01 draft business continuity planE10-02 draft business continuity plan | We will develop for approval our business continuity plan in the first quarter of 2023.This will then be submitted to our Audit Risk and Assurance Committee for approval before being submitted to our Oversight Board for awareness. |
| **Element 11: Audit trail – tracking and version control**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 organisation’s Record Management Plan to provide evidence that the organisation maintains a complete and accurate representation of all changes that occur in relation to a particular record. For the purpose of this plan ‘changes’ can be taken to include movement of a record even if the information content is unaffected. Audit trail information must be kept for at least as long as the record to which it relates. This audit trail can be held separately from or as an integral part of the record. It may be generated automatically, or it may be created manually. [Read further explanation and guidance about element 11](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P47-49) | The eRDM system provides an audit trail which evidences when a specific user has viewed, modified or deleted any information held in eRDM.Redress Scotland uses a naming convention standard for the storage of records within eRDM to assist with locating records.All staff must undertake mandatory training on eRDM before gaining access to the platform. | E11-01 iFIX screenshot eRDM access mandatory training requirementE11-02 eRDM new user formE11-03 termination of access | No further development is required at the moment, but we will keep this under review. |
| **Element 12: Records management training for staff** **A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance.** Element 12 covers a competency framework for Records Management staff. The Keeper expects the Record Management Plan to detail a competency framework for person(s) designated as responsible for the day-to-day operation of activities described in the elements in the organisation’s Record Management Plan. It is important that organisations understand that records management is best implemented by a person or persons possessing the relevant skills. [Read further explanation and guidance about element 12](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P50-52) | Core competencies, key knowledge and skills required by staff with responsibilities for Records Management have been clearly defined within the Records Management Competency Framework. This will ensure that staff understand their roles and responsibilities and can offer expert advice and guidance. The framework has identified that the Head of Policy and Improvement should be working towards gaining an information/records management professional qualification. We have also identified two additional staff members who will undertake appropriate records management courses to enhance their knowledge and understanding of the subject to support the Head of Policy and Improvement.On an annual basis staff must complete the “Information Management’” and “Data Protection“ e-learning courses and obtain a pass mark via the Pathways training system.eRDM Training is mandatory for all staff before they get access to the system. Non completion of training means no access to the system. | E12-01 Records Management Competency Framework | The Records Management Competency Framework is being submitted as part of our Records Management Plan to our Audit Risk and Assurance Committee for approval on 17 January 2023. It will then be submitted to our Oversight Board for awareness on 26 January 2023We will identify appropriate training and arrange attendance at training courses to support records management policies and approaches across Redress Scotland. |
| **Element 13: Assessment and review****Regular assessment and review of records management systems will give an organisation a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.** Element 13 covers assessment and review of the Record Management Plan. Redress Scotland is required to keep its Record Management Plan under review and must describe the procedures in place to undertake this regular review. [Read further explanation and guidance about element 13](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P53-55) | Each of the policies and procedures produced in line with the requirements of the Public Records (Scotland) Act 2011 have been created in consultation with colleagues across the organisation. Each policy has been reviewed in detail in order to ensure compliance with all business and legal obligations.The Head of Policy and Improvement will be responsible for overseeing the Records Management Plan and making sure that the supporting documentation is kept up to date. They will update content that falls under their responsibility or ask the relevant area to update content owned by them.We are committed to completing the Records Management Plan Progress Update Review on a rolling 3-year basis (excluding years we are required to re-submit our Records Management Plan to the Keeper of the Records for approval). The outcome of these reviews will be reported to the Senior Information Risk Owner in order that they are aware of progress which has been made and weaknesses that require to be addressed.Redress Scotland are kept up to date about SG policies relating to iTECS via regular calls with our Finance and Resources Manager. Updates are also provided via the Yammer group ‘SCOTS strategy and delivery news – community’. | E13-01 Official documents, reports and policy register | All policies and procedures will be reviewed annually to ensure the Records Management Plan is kept up to date. This will be reflected in our Official documents, reports and policy register. The Records Management Plan will also be reviewed if we replace or upgrade the eRDM system. |
| **Element 14: Shared information** **Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records.** Element 14 covers shared information. The Keeper will expect an organisation’s Record Management Plan to reflect its procedures for sharing information. Organisations who share, or are planning to share, information must provide evidence that they have considered the implications of information sharing on good records management. [Read further explanation and guidance about element 14](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P56-60) | Redress Scotland shares data in accordance with Data Protection regulations and the Freedom of Information (Scotland) Act. The organisation has a guide to information approved by the Scottish Information Commissioner. This outlines and links to the information the organisation will routinely publish and make available.In addition to completing the training on Protecting Information, all staff are provided with guidance concerning the procedures and considerations for electronic and hard copy distribution of information.We have a draft data sharing agreement with the Scottish Government that can be adapted and used by staff in order to reflect the specific requirements and circumstances for sharing information. | E14-01 Draft data sharing agreement with Scottish GovernmentE14-02 Draft ProtocolE14-03 – Draft framework | The draft data sharing agreement with Scottish Government is still to be finalised. On-going negotiation with Scottish Government. |
| **Element 15: Public records created or held by third parties****Public records created or held by third parties.** [Read further explanation and guidance about element 15](https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/nrs-prsa-guidance-document.pdf) (see P61-63) | Redress Scotland do not have any third parties who carry out any functions of Redress Scotland that would involve the creation of record and the holding of records. The Policy and Engagement lead may attend a PRSA surgery designed to deal specifically with Element 15 covering what it is and what it seeks to do.  | N/A |  |

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| **Redress Scotland** | **RECORDS MANAGEMENT PLAN 2022** |

**Appendix 1: Evidence submitted**

| **Reference** | **Document name** | **Supporting elements** |
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| **ELEMENT 1** | **Senior management responsibility** |  |
| E01-01 | Records Management Policy |  |
| E01-02 | Statement of Responsibilities  |  |
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| **ELEMENT 2** | **Records manager responsibility** |  |
| E02-01 | Statement of Responsibilities |  |
| E02-02 | Evidence of training for Policy and Improvement Lead, Governance Secretary and Executive Secretary e-mail |  |
| E02-03 | Evidence of Practitioner training for Policy and Engagement Lead  |  |
| E02-04 | SIRO guidance |  |
| **ELEMENT 3** | **Records management policy statement** |  |
| E03-01 | Records Management Policy |  |
| E03-02 | Role of Information Asset Owner |  |
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| **ELEMENT 4** | **Business classification** |  |
| E04-01 | Redress Scotland File type guidance. |  |
| E04-02 | Redress Scotland Casework File type guidance |  |
| E04-03 | Redress Scotland Naming convention guidance |  |
| E04-04 | eRDM fileplan screenshot 1 |  |
| E04-05 | eRDM fileplan screenshot 2 |  |
| **ELEMENT 5** | **Retention schedules** |  |
| E05-01 | Casework File Type Guidance |  |
| E05-02 | File Type Guidance |  |
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| **ELEMENT 6** | **Destruction arrangements** |  |
| E06-01 | Destruction Guidance |  |
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| **ELEMENT 7** | **Archiving and transfer arrangements** |  |
| E07-01 | National Records of Scotland e-mails |  |
| E07-02 | National Records of Scotland e-mails |  |
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| **ELEMENT 8** | **Information security** |  |
| E08-01 | iTECS terms of supply |  |
| E08-02 | IT Code of Conduct |  |
| E08-03 | Scottish Government IT Security Policy |  |
| E08-04 | Strategic Risk Register |  |
| E08-05 | Operational Risk Register |  |
| E08-06 | Security Classification |  |
| E08-07 | Restricting files in eRDM |  |
| **ELEMENT 9** | **Data protection** |  |
| E09-01 | Data Protection Officer certificate from ICO |  |
| E09-02 | SARs guidance |  |
| E09-03 | FOI guidance |  |
| E09-04 | Data Protection policy |  |
| E09-05 | Privacy Notice for applicants |  |
| E09-06 | Privacy Notice for staff |  |
| **ELEMENT 10** | **Business continuity and vital records** |  |
| E10-01 | Draft Business Continuity Plan |  |
| E10-02 | Draft Operational Continuity Plan |  |
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| **ELEMENT 11** | **Audit trail** |  |
| E11-01 | iFIX screenshot eRDM access mandatory training requirement |  |
| E11-02 | eRDM new user form |  |
| E11-03 | Termination of Access |  |
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| **ELEMENT 12** | **Records management training for staff** |  |
| E12-01 | Records Management Competency Framework |  |
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| **ELEMENT 13** | **Assessment and review** |  |
| E13-01 | Official documents, reports and policy register |  |
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| **ELEMENT 14** | **Shared information** |  |
| E14-01 | Draft data sharing agreement with Scottish Government |  |
| E14-02 | Draft Protocol |  |
| E14-03 | Draft Framework |  |
| **ELEMENT 15** | **Public records created by third parties** |  |
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