



The Moray Council

Records Management training

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Evidence Element 12 – appendix 40

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Records Management Training

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Records Management - benefits

- LEGAL COMPLIANCE
- INFORMATION IS KEPT SECURE
- CUSTOMER CONFIDENCE
- CONSISTENCY OF PRACTICE
- EASIER TO SAVE & INDEX INFORMATION
- RELIABLE SEARCH RESULTS
- VERSION CONTROL
- LESS DUPLICATION
- CONTROL OVER INFORMATION

Records Management - legislation

- **FREEDOM OF INFORMATION (SCOTLAND) ACT [FOISA]**
 - ACCESS TO ALL INFORMATION CREATED BY THE COUNCIL
- **DATA PROTECTION ACT [DPA]**
 - ACCESS TO INFORMATION BY DATA SUBJECT
 - REQUIREMENTS TO SAFEGUARD PERSONAL INFORMATION
 - LEGAL & FINANCIAL PENALTIES FOR BREACHES
- **PUBLIC RECORDS (SCOTLAND) ACT [PRSA]**
 - RECORDS MANAGEMENT PLAN

Records Management - policies & standards

- Records Management Plan
- Records & Information Management Policy
- Records Management Handbook
- Record Retention Schedule
- ISO 15489 – Records Management

See [intranet/reference/records management](http://intranet.moray.gov.uk/information_management/records_management.htm)
http://intranet.moray.gov.uk/information_management/records_management.htm

Records Management - guidance

- Where to find information
 - Intranet/Reference/Records Management
 - http://intranet.moray.gov.uk/information_management/records_management.htm
 - Intranet/Reference/Information Security
 - http://intranet.moray.gov.uk/information_management/information_security.htm
- What information is available
 - Records Management handbook
 - Good practice guidance
 - Naming conventions
 - Email management
 - Confidential waste guidance
 - Scanning guidance
 - Retention schedules

Records Management – principles

- Drafts, notes are not records
- Approved, published, final documents are records – they 'record' business decisions
- Must be managed in the same way as other assets e.g. staff, buildings, money
- Records are the core product of council business
- Evidence of business done by looking at the records created
- Ability to audit business done by looking at the records created
- Customer confidence in our ability to do our business and prove what and how we have done it
- Retrieval and tracking – we should know where our information is held and who is using it – whether paper or electronic

Records Management – retention

Intranet/Reference/Records Management

http://intranet.moray.gov.uk/information_management/records_management.htm

Retention means not keeping all records for ever unless they have legal, business, historic or cultural value

- Applies to paper and electronic records
- Automatically applied in SharePoint EDRMS
- Apply at file level where possible
- Don't keep everything for ever
- Don't keep just in case
- Legal compliance under PRSA, FOISA and DPA
- Close files once no longer active
- Weed files at closure for documents which do not need to be retained

Records Management – practice

- Retention Schedule – Intranet/reference/Records Management

• http://intranet.moray.gov.uk/information_management/Documents/Retention%20Schedules%20version%2015%2009%20019.pdf

- Definitions – see Records Management Handbook – Intranet/Reference/Records Management

• http://intranet.moray.gov.uk/information_management/records_management.htm

- Personal, sensitive and confidential information – see Records Management Handbook

• http://intranet.moray.gov.uk/information_management/records_management.htm

- Disposal of confidential paper waste – see Intranet/Reference/Records Management

• http://intranet.moray.gov.uk/information_management/Documents/Definition%20of%20Confidential%20personal%20and%20sensitive%20information%201%2000.pdf

Records Management - security

Data must be kept secure at all times both in the office and outside the office – this is the responsibility of all staff

- ICT security policy – Intranet/Reference/Information Security
http://intranet.moray.gov.uk/information_management/information_security.htm
- Data Breaches – management – Intranet/Reference/Data Protection
- Access control – managing permissions – Intranet/Reference/Information Security -
http://intranet.moray.gov.uk/information_management/Access%20Control%20Policy%20v1%2000.pdf
- Vital or critical records – see business continuity -
http://www.moray.gov.uk/moray_standard/page_57166.html

Records Management – responsibility

- Records Manager responsible for RM Plan, guidance and advice
 - Work with RM Liaison Group
- Records Management Liaison Group
 - Service member with responsibility for records management for their service or service area
 - Contact for all services
- All staff are responsible for
 - managing their information according to the Council Records Management Plan

Records Management - checklist

- Do you know where to find the retention schedule?
- How long should you keep invoices for?
- What is a record?
- When should you close a record?
- Name 3 benefits of records management
- Who should you contact for advice?
- What precautions should you take with personal information?
- How do you report an information breach?
- Who is responsible for naming and filing of information?