

REPORT TO: Audit and Governance Committee

MEETING DATE: 18 November 2014

BY: Depute Chief Executive – Resources & People Services

SUBJECT: Internal Audit Report – Records Management (Public Records (Scotland) Act 2011)

1 PURPOSE

- 1.1 To inform the Audit and Governance Committee of the recently issued audit report on Records Management (Public Records (Scotland) Act 2011).

2 RECOMMENDATION

- 2.1 That the Audit and Governance Committee note the contents of the Executive Summary and Action Plan.

3 BACKGROUND

- 3.1 A review of Records Management (Public Records (Scotland) Act 2011) was undertaken as part of the audit plan for 2014/15.
- 3.2 The Public Records (Scotland) Act 2011 came into force on 1 January 2013 and all local authorities are subject to its provisions. The main objective of the review was to assess the progress being made by the Council in meeting the requirements of the Act.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 POLICY IMPLICATIONS

- 4.1 None

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and Equality Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial - None
6.2 Personnel - None
6.3 Other - None

7 BACKGROUND PAPERS

- 7.1 None

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DATE	6 November 2014

**EAST LoTHIAN COUNCIL – INTERNAL AUDIT
RECORDS MANAGEMENT
(PUBLIC RECORDS (SCOTLAND) ACT 2011)**

1. EXECUTIVE SUMMARY

1.1 Introduction

As part of the Audit Plan for 2014/15 a review was undertaken of Records Management and of the progress being made by the Council in meeting the requirements of the Public Records (Scotland) Act 2011.

1.2 Progress Update

- The Council has made significant progress in establishing a framework for records management. An Information and Records Management Policy is in place – the Policy was approved by Cabinet on 11 June 2013, however the Policy was only recently made available to staff on the intranet.
- A Business Classification Scheme and Retention Schedule has been developed and was approved by Cabinet on 10 June 2014. Our review highlighted a few sections that have yet to be completed. We note however that this is a live document and is subject to review and updating on an ongoing basis.
- A Records Management Plan has been prepared to meet the requirements of the Public Records (Scotland) Act 2011 – the Plan was approved by Council on 28 October 2014 and was submitted to the Keeper of the Records of Scotland on 31 October 2014. The Records Management Plan includes a detailed action plan outlining actions to be taken over the next five years.
- A high level Information Security Policy is in place, however the Policy has not been reviewed to ensure that it meets the requirements of the Records Management Plan.
- A Records Management Steering Group has been established to assist the Council in achieving the delivery of the Records Management Plan and in the ongoing implementation of the Plan.
- As part of our review a survey was undertaken to determine how the Council is currently managing its records – the survey results have highlighted mixed practices across the Council. Some areas with scope for improvement were identified including the need for detailed procedures and guidance to ensure consistency and a corporate approach to records management, a clear audit trail for tracking amendments to records, formal agreements for partnership and shared service arrangements, identification of vital records and the standardisation of documents. The findings from the survey will be shared with the Council's Records Manager.

1.3 Summary

The implementation of the Records Management Plan and the embedding of records management within the Council are expected to be undertaken in stages over the next five years and a detailed action plan forms part of the Records Management Plan. We note that a report is to be submitted by the Head of Council Resources on an annual basis outlining the progress being made in implementing the Plan.

**Mala Garden
Internal Audit Manager**

November 2014

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ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
5.1	The findings from Internal Audit's survey and review should be considered by the Council's Records Management Steering Group.	Medium	Service Manager – Licensing, Administration and Democratic Services	Agreed		February 2015

Grading of Recommendations

In order to assist Management in using our reports, we categorise our recommendations according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.