

Quality Meat Scotland

Records Management Plan

July 2014

Stuart Ashworth
Senior Manager responsible for Records Management
July 2014

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publication 22 Apr 2015).docx

Introduction

This records management plan sets out the arrangements for the proper management of records within QMS and has been produced to meet the requirements of the Public Records (Scotland) Act 2011. The plan is agreed with the Keeper of the Records of Scotland and reviewed by QMS on an annual basis.

Records management is a key element of corporate governance for QMS. Good records management will help ensure that QMS has the right information at the right time to make the right decisions. It will also provide evidence of what we do and why, therefore protecting the interests of QMS.

QMS maintains a Records Management Policy based on the requirements of the Public Records (Scotland) Act 2011 and records management best practice.

QMS is a small organisation currently employing 20 full and part-time staff operating from a single site.

This plan, along with the associated policies, will be reviewed annually by the senior management team.

Elements of the Plan

Senior Management Responsibility

Senior management responsibility for the records management plan lies with Stuart Ashworth, Head of Economics Services.

Records Management Responsibility

The person with operational responsibility for records management is Susan Kinniburgh, Executive Assistant.

Records Management Policy Statement

QMS' commitment to records management is set out in the Records Management Policy reviewed and approved by the senior management team on 30 October, 2013.

Business classification

QMS operates a hierarchical business classification with records firstly categorised by the functional units of QMS and then classified by activity and finally chronologically.

Retention schedules

In discussion with all senior managers, QMS has drawn up a retention schedule framework. This is a new framework and will be reviewed in March 2015 and annually thereafter. The framework will apply to both electronic and paper records

Destruction Arrangements

QMS uses an on site paper/cd shredder which ensures paper and optical media is destroyed to DIN 32757-1 level 3 standard.

For some elements of its activities QMS makes use of shared resources facilitated by the organisation's landlords, one of these is secure document shredding. Currently this service is provided by Changeworks Recycling which disposes of material shredded in the office and also provides destruction service for bulk confidential paper records and, when needed, secure IT Hardware destruction.

Archiving and transfer arrangements

QMS and National Records Scotland have agreed a Memorandum of Understanding with National Records of Scotland to facilitate the transfer of enduring records to the national archive.

Information security

QMS has in place a business continuity plan to address a number of circumstances impacting on the operation of QMS including IT systems failure which would impact on Records Management.

QMS also operates its IT system through a process of secure spaces on a central IT server. Staff gain access to approved parts of the server through individual passwords as detailed in the QMS IT user network access rights policy document. Protocols for establishing and regularly amending passwords are detailed in the QMS employee handbook.

The central IT server is backed up on a daily, weekly and monthly schedule with back up tapes stored off site and in a fire proof safe on site.

Where paper records are kept, for example signed contracts, they are stored in the fire proof safe tested and approved in fire resistance by the SP Swedish National Testing and Research Institute (approval certificate 16:49:01) which is also used for back up tapes from the central server.

Data Protection

QMS takes a robust position on data protection and has a data protection policy in place, see annex, and is registered with the Information Commissioners Office; registration number Z1283397.

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Business Continuity

QMS also has in place a business continuity plan covering occurrences that may disrupt the organisation for an extended period for example events that would make the office, or technology, unavailable for a period of time.

Necessary information to action this plan is stored off site.

Audit trail

All documents and records are saved on a central server and by applying the business classification scheme and descriptive filenames electronic records can be quickly located in this central electronic file system. All members of staff have been issued with guidance to apply filenames as footers on electronic documents to assist in document and version control. Furthermore, all staff are instructed to save all work to the QMS central server to minimise risk of data loss but also better facilitate document and record audit.

Where paper records are kept, an audit note is applied to the file requiring any movement from and to that file to be noted.

Competency framework

The job descriptions of the Head of Economics Services and the Executive Assistant responsible for managing and overseeing records management include specific reference to these duties.

QMS, through its regular staff appraisal process, recognises the need to support continuing professional development in the competencies required to perform the tasks and duties of the post holder. Where relevant training for the tasks of records management are identified they will be supported.

Assessment and review

This records management plan is reviewed annually by senior managers.

Shared information

The unique nature of QMS' functions mean that it does not routinely share information with other public authorities and does not share information with third parties unless required to do so by legal request or at the request of the Scottish Ministers. Notwithstanding this, where such requests are made QMS will only share information if the "data subject has given their explicit consent to us" (extract from the QMS Data Protection Policy).