



COPFS Crown Office & Procurator Fiscal Service
Scotland's Prosecution Service

RECORDS MANAGEMENT PLAN

CROWN OFFICE AND PROCURATOR FISCAL SERVICE - RECORDS MANAGEMENT PLAN

RMP ELEMENT DESCRIPTION	COPFS STATEMENT	EVIDENCE	FURTHER DEVELOPMENT
<p>Element 1: Senior management responsibility:</p> <p><i>Identify an individual at senior level who has overall strategic accountability for records management.</i></p> <p>Section 1(2)(a)(i) of the Act specifically requires a RMP to identify the individual responsible for the management of the authority's public records. An authority's RMP <u>must</u> name and provide the job title of the senior manager who accepts overall responsibility for the RMP that has been submitted.</p> <p>It is vital that the RMP submitted by an authority has the approval and support of that authority's senior management team. Where an authority has already appointed a Senior Information Risk Owner, or similar person, they should consider making that person responsible for the records management programme. It is essential that the authority identifies and seeks the agreement of a senior post-holder to take overall responsibility for records management. That person is unlikely to have a day-to-day role in implementing the RMP, although they are not prohibited from doing so.</p> <p>As evidence, the RMP could include, for example, a covering letter signed by the senior post-holder. In this letter the responsible person named should indicate that they endorse the authority's record management policy (See Element 3).</p> <p>Read further explanation and guidance about element 1 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement1.asp</p>	<p>The Head of Policy, Catriona Dalrymple, has senior responsibility for all aspects of Records Management, and is the corporate owner of this document.</p>	<p>Chapter 2 - Records Management Manual identifies the person with senior management responsibility for records management</p> <p>The Records Management Manual is available to all staff as a reference guide on our staff intranet, entitled PF Eye under the "Staff Information" section.</p> <p>Staff are regularly reminded of records management issues in the Manual through The Bulletin, an internal publication highlighting new developments. The Bulletin is a standing item for discussion on the agenda at monthly team briefings.</p>	<p>No additional actions have been identified in relation to the Senior management responsibility.</p>

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<p>Element 2: Records manager responsibility:</p> <p><i>Identify individual within the authority, answerable to senior management, to have day-to-day operational responsibility for records management within the authority.</i></p> <p>Section 1(2) (a)(ii) of the Act specifically requires a RMP to identify the individual responsible for ensuring the authority complies with its plan. An authority's RMP <u>must</u> name and provide the job title of the person responsible for the day-to-day operation of activities described in the elements in the authority's RMP. 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 <u>implementation</u> of an authority's RMP. There may already be a designated person who carries out this role. If not, the authority will need to make an appointment. As with element 1 above, the RMP must name an individual rather than simply a job title. It should be noted that staff changes will not invalidate any submitted plan provided that the all records management responsibilities are transferred to the incoming post holder and relevant training is undertaken. This individual might not work directly for the scheduled authority. It is possible that an authority may contract out their records management service. If this is the case an authority may not be in a position to provide the name of those responsible for the day-to-day operation of this element. The authority must give details of the arrangements in place and name the body appointed to carry out the records management function on its behalf. It may be the case that an authority's records management programme has been developed by a third party. It is the person operating the programme on a day-to-day basis whose name should be submitted.</p> <p>Read further explanation and guidance about element 2 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement2.asp</p>	<p>Day to day responsibility for Records Management within COPFS falls to Carol McDivitt, Business Manager, Response & Information Unit, Crown</p>	<p>Chapter 2 – Records Management Manual identifies the name of the person with day to day responsibility for records management</p>	<p>No additional actions have been identified in relation to Records Manager responsibility.</p>

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<p>Element 3: Records management policy statement:</p> <p><i>A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager.</i></p> <p>The Keeper expects each authority's plan to include a records management policy statement. The policy statement should describe how the authority 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 authority. The statement will properly reflect the business functions of the public authority. The Keeper will expect authorities with a wide range of functions operating in a complex legislative environment to develop a fuller statement than a smaller authority. The records management statement should define the legislative, regulatory and best practice framework, within which the authority operates and give an overview of the records management processes and systems within the authority and describe how these support the authority in carrying out its business effectively. For electronic records the statement should describe how metadata is created and maintained. It should be clear that the authority understands what is required to operate an effective records management system which embraces records in all formats.</p> <p>The records management statement should include a description of the mechanism for records management issues being disseminated through the authority and confirmation that regular reporting on these issues is made to the main governance bodies. The statement should have senior management approval and evidence, such as a minute of the management board recording its approval, submitted to the Keeper. The other elements in the RMP, listed below, will help provide the Keeper with evidence that the authority is fulfilling its policy.</p>	<p>COPFS is committed to a systematic and planned approach to the management of records within the organisation, from their creation to their ultimate disposal or archive. This approach will ensure that COFPS can:</p> <ul style="list-style-type: none"> • Control the quality, quantity and security of the information that it generates; • Maintain the information in an effective manner whilst ensuring compliance with our legislative requirements 	<p>Chapter 1 – Records Management Manual provides the policy statement in relation to records management within COPFS. There is an additional statement relating to IT compliance with industry standards</p>	<p>No additional actions have been identified.</p> <p>However, the policy will regularly reviewed in order to ensure that it continues to reflect the organisational position in relation to record keeping</p>

Read further explanation and guidance about element 3 – http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement3.asp			
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<p>Element 4: Business classification</p> <p><i>A business classification scheme describes what business activities the authority undertakes – whether alone or in partnership.</i></p> <p>The Keeper expects an authority to have properly considered business classification mechanisms and its RMP should therefore reflect the functions of the authority by means of a business classification scheme or similar.</p> <p>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 authorities change the scheme should be regularly reviewed and updated.</p> <p>A business classification scheme allows an authority to map its functions and provides a structure for operating a disposal schedule effectively.</p> <p>Some authorities will have completed this exercise already, but others may not. Creating the first business classification scheme can be a time-consuming process, particularly if an authority is complex, as it involves an information audit to be undertaken. It will necessarily involve the cooperation and collaboration of several colleagues and management within the authority, but without it the authority cannot show that it has a full understanding or effective control of the information it keeps.</p> <p>Although each authority is managed uniquely there is an opportunity for colleagues, particularly within the same sector, to share knowledge and experience to prevent duplication of effort.</p> <p>All of the records an authority creates should be managed within a single business classification scheme, even if it is using more than one record system to manage its records. An authority will need to demonstrate that its business classification scheme can be applied to the record systems which it operates.</p> <p>Read further explanation and guidance about element 4 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement4.asp</p>	<p>Hierarchical model of functions of COPFS is available in the attached document.</p> <p>COPFS operates on a Federation structure. There are four Federations – North, East, West and National. Within these Federations, criminal case work is carried out by functions – Initial Case Processing, Summary, Sheriff and Jury and High Court.</p> <p>National Federation comprises of a number of units dedicated to specific types of cases, eg sexual offences, organised crime and counter terrorism and more general office functions, eg HR, Finance, Policy.</p> <p>Case-related records are held electronically and the records management policy with regard to these documents is set out in Chapter 6 of the Records Management Manual and in the retention schedules at Element 5.</p> <p>Management of non-case related material is set out in Chapter 7 of the Records Management Manual and in</p>	<p>Organisational chart – evidence at element 4 below</p> <p>Shaping the Future plan</p>	<p>COPFS is reviewing its federation and function structure and a national unit has now been set up for Initial Case Processing. A new programme entitled “Shaping the Future” has just commenced which will determine the shape and structure of COPFS in the future</p> <p>EDRMS: The Records Management Project incorporates requirement for COPFS to investigate and consider solutions that would meet its strategic and electronic records management needs. As there are strategic business and technology integration and capabilities benefits realisable from any investment and introduction of an EDRMS, this work activity will be defined in the COPFS Digital Strategy to enable analysis and investigative work to be aligned with the appropriate strategic workstreams and development activities.</p>

	the retention schedules at Element 5.		
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<p>Element 5: Retention schedules <i>A retention schedule is a list of records for which pre-determined disposal dates have been established.</i></p> <p>Section 1(2) (b)(iii) of the Act specifically requires a RMP to include provision about the archiving and destruction or other disposal of the authority's public records.</p> <p>An authority's RMP <u>must</u> demonstrate the existence of and adherence to corporate records retention procedures. The procedures should incorporate retention schedules and should detail the procedures that the authority follows 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).</p> <p>The principal reasons for creating retention schedules are:</p> <ul style="list-style-type: none"> • to ensure records are kept for as long as they are needed and then disposed of appropriately • to ensure all legitimate considerations and future uses are considered in reaching the final decision. • to provide clarity as to which records are still held by an authority and which have been deliberately destroyed. <p>"Disposal" in this context does not necessarily mean destruction. It includes any action taken at the agreed disposal or review date including migration to another format and transfer to a permanent archive.</p> <p>A retention schedule is an important tool for proper records management. Authorities who do not yet have a full retention schedule in place should show evidence that the importance of such a schedule is acknowledged by the senior person responsible for records management in an authority (see element 1). This might be done as part of the policy document (element 3). It should also be made clear that the authority has a retention schedule in</p>	<p>Retention and Disposal Schedules have been created to show the nature and lifespan of records created within COPFS.</p> <p>These Schedules relate to both case-related and non-case related material, and to hard copy and electronic records.</p>	<p>See attached tables at Element 5.</p>	<p>Kept under regular review and updated as the nature of the business changes.</p>

<p>development.</p> <p>An authority's RMP <u>must</u> demonstrate the principle that retention rules are consistently applied across all of an authority's record systems.</p> <p>Read further explanation and guidance about element 5 - <u>http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement5.asp</u></p>			
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<p>Element 6: Destruction arrangements <i>It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented.</i></p> <p>Section 1(2) (b)(iii) of the Act specifically requires a RMP to include provision about the archiving and destruction, or other disposal, of an authority's public records. An authority's RMP <u>must</u> demonstrate that proper destruction arrangements are in place. A retention schedule, on its own, will not be considered adequate proof of disposal for the Keeper to agree a RMP. It must be linked with details of an authority's destruction arrangements. These should demonstrate security precautions appropriate to the sensitivity of the records. Disposal arrangements must also ensure that all copies of a record – wherever stored – are identified and destroyed. Read further explanation and guidance about element 6 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement6.asp</p>	<p>All paper records are subject to secure disposal under contract to Shred-It:</p> <ul style="list-style-type: none"> The contract details ISO accreditation, insurance certificate and employer's liability. Shred-It dispose of confidential documents directly from offices. <p>Electronic case records are subject to purge at the appropriate time as set out in the case retention schedule. A skeleton record is retained and marked "Historical Record – Documents Purged".</p> <p>General email is subject to Enterprise Vault</p>	<p>Information Systems Division (ISD) has a Secure Disposal Policy in place to document and manage COPFS' activities, responsibilities and standards for secure disposal. Its primary purpose is to ensure that COPFS has clearly defined controls to protect the confidentiality and integrity of its information. This policy is used in conjunction with the COPFS Acceptable Use Policy and the Information Classification Policy.</p> <p>COPFS contract for destruction of hard copy material is procured from MITIE with Shred-it as their sub-contractor. COPFS procurement is managed through the Scottish Government contract.</p> <p>Records Management Manual – Chapters 3, 4, 6 and 7</p>	<p>As development of EDRMS takes place, COPFS will ensure that the functionality currently in place with regard to destruction of electronic files will be maintained in a new system.</p>

		<p>Example of extract from policy filing, showing documents which have been destroyed or /transferred to NRS – see below</p> <p>Using Enterprise Vault – instructions below</p>	
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<p>Element 7: Archiving and transfer arrangements <i>This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.</i></p> <p>Section 1(2)(b)(iii) of the Act specifically requires a RMP to make provision about the archiving and destruction, or other disposal, of an authority's public records.</p> <p>An authority's RMP <u>must</u> detail its archiving and transfer arrangements and ensure that records of enduring value are deposited in an appropriate archive repository. The RMP will detail how custody of the records will transfer from the operational side of the authority to either an in-house archive, if that facility exists, or another suitable repository, which <u>must</u> be named. The person responsible for the archive should also be cited.</p> <p>Some records continue to have value beyond their active business use and may be selected for permanent preservation. The authority's RMP <u>must</u> show that it has a mechanism in place for dealing with records identified as being suitable for permanent preservation. This mechanism will be informed by the authority's retention schedule which should identify records of enduring corporate and legal value. An authority should also consider how records of historical, cultural and research value will be identified if this has not already been done in the retention schedule. The format/media in which they are to be permanently maintained should be noted as this will determine the appropriate management regime.</p> <p>Read further explanation and guidance about element 7- http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement7.asp</p>	<p>COPFS records which are identified as being of historical interest are transferred to the National Records of Scotland for permanent preservation. This is carried out on an annual basis. The Records Manager and staff in our Disposals facility in Dumbarton are in regular contact with the Court and Legal Services Branch</p>	<p>Records Management Manual – Chapters 4, 6 and 10</p> <p>Copy of index of cases transferred from Dumbarton to NRS</p> <p>Guidance to staff on transferring records to Dumbarton</p> <p>COPFS guidance agreed with NRS on transferring records</p>	<p>To continue to meet regularly with NRS staff to discuss appropriate transfer of records.</p> <p>Transfer of non-case related records to the Government Records Branch is currently not taking place. Further discussion required on the type of material which is of permanent value is required. This will be taken forward under Element 13.</p> <p>Electronic records are not currently transferred. There is a requirement to work with NRS to develop an Electronic Archiving process for transfer of COPFS records to NRS. This is to be considered under Element 13.</p> <p>A draft Memorandum of Understanding has been prepared between NRS and COPFS. This is currently under discussion and is due to be signed off shortly.</p>

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<p>Element 8: Information Security <i>Information security is the process by which an authority protects its records and ensures they remain available. It is the means by which an authority 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. A public authority should have procedures in place to assess and contain that risk.</i> Section 1(2) (b)(ii) of the Act specifically requires a RMP to make provision about the archiving and destruction or other disposal of the authority's public records. An authority's RMP <u>must</u> make provision for the proper level of security for its public records. All public authorities produce records that are sensitive. An authority's RMP <u>must</u> therefore include evidence that the authority has procedures in place to adequately protect its records. Information security procedures would normally acknowledge data protection and freedom of information obligations as well as any specific legislation or regulatory framework that may apply to the retention and security of records. The security procedures <u>must</u> put in place adequate controls to prevent unauthorised access, destruction, alteration or removal of records. The procedures will allocate information security responsibilities within the authority to ensure organisational accountability and will also outline the mechanism by which appropriate security classifications are linked to its business classification scheme.</p>	<p>Staff are required to comply with a number of established policies regarding the handling of sensitive information and have awareness of obligations under the Data Protection Act 1998.</p> <p>Regular checks are carried out with regard to the access to case-related information to ensure that only those with a direct involvement in a case view sensitive personal data. Staff are regularly reminded of this at team briefings and of disciplinary measures in place for non-compliance.</p>	<p>ISD has a range of IT/IS Information Security Policies in place to manage and protect the integrity of its information. Specific policies includes Information Classification Policy, Information Risk Management Policy, Acceptable Use Policy, and Information Security Policy. There are a number of other policies and procedures in place supporting ISD's and COPFS' management of information and related processes. In addition, COPFS have appropriate applications design mechanisms in place to control access to sensitive cases via its Case Management Enterprise Business Systems.</p> <p>Records Management Manual – Chapter 9</p> <p>Departmental Security Manual</p> <p>Data Protection Manual</p>	<p>Policies reviewed regularly</p>

		<p>Handling issues from April 2015 Bulletin – Annex to Records Management Manual</p> <p>An e-learning programme on treating information security has been prepared by the Departmental Security Officer, along with regular “Top Tips” appearing in the Bulletin.</p>	
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<p>Element 9: Data protection <i>An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.</i> The Keeper will expect an authority's RMP to indicate compliance with its data protection obligations. This might be a high level statement of public responsibility and fair processing. If an authority holds and process information about stakeholders, clients, employees or suppliers, it is legally obliged to protect that information. Under the Data Protection Act, an authority must only collect information needed for a specific business purpose, it must keep it secure and ensure it remains relevant and up to date. The authority <u>must</u> also only hold as much information as is needed for business purposes and only for as long as it is needed. The person who is the subject of the information <u>must</u> be afforded access to it on request. Read further explanation and guidance about element 9 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement9.asp</p>	<p>COPFS has a Data Protection Manual, and all staff have a working knowledge of its terms.</p> <p>Staff are also regularly advised through internal guidance and briefings that the Response & Information Unit have specific responsibility and expertise in the field of DPA and are available for provision of guidance to them.</p>	<p>Registration with ICO document – see below</p> <p>DPA attached at evidence</p> <p>Departmental Security Manual</p>	<p>Policies reviewed regularly</p>

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<p>Element 10: Business continuity and vital records <i>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 authority.</i></p> <p>The Keeper will expect an authority's RMP to indicate arrangements in support of records vital to business continuity. Certain records held by authorities are vital to their function. These might include insurance details, current contract information, master personnel files, case files, etc. The RMP will support reasonable procedures for these records to be accessible in the event of an emergency affecting their premises or systems.</p> <p>Authorities should therefore 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. How each authority does this is for them to determine in light of their business needs, but the plan should point to it.</p> <p>Read further explanation and guidance about element 10 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement10.asp</p>	<p>COPFS has a number of Business Continuity and disaster recovery plans in place.</p> <p>All records and data held on the COPFS electronic network are subject to regular back up and associated recovery procedures.</p>	<p>COPFS has business continuity plans in place. These are, however, in the process of being reviewed and work is underway to produce updated Business Continuity Plans</p> <p>Copy of an example Business Continuity Plan in an office (redacted) – See below</p>	<p>The Business Continuity Plans to be reviewed - key focus areas includes business continuity processes in the event of the IT/IS business systems being unavailable, IT business continuity and resilience plans, and buildings and estates business continuity plans. Appropriate alignment with the new IT Service Management systems introduced on 23 June 2015 will be applied.</p>

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<p>Element 11: Audit trail <i>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.</i></p> <p>The Keeper will expect an authority's RMP to provide evidence that the authority 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.</p> <p>Read further explanation and guidance about element 11 - <u>http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement11.asp</u></p>	<p>Our electronic case management system provides information on retention and destruction of case-related material.</p> <p>Indexes are kept of paper records and updated when records are destroyed or transferred to the National Records of Scotland</p>	<p>The COPFS enterprise case management systems have comprehensive applications design and functionality mechanisms in place to record all access to cases via its Case Management Enterprise Business Systems, with specific controls in place to manage access to sensitive cases. ISD also has systems in place for its core network domain/systems log information and has automated alerting for domain group access additions. ISD plans further enhancements to the underpinning processes as part of its introduction of IT Infrastructure Library (ITIL) systems and as part of upgrades to its enterprise network domain infrastructure.</p> <p>The vast majority of case work is now completed online with</p>	<p>Document scanning solution to reduce need for paper records which will build in audit controls for management, review, retention and destruction of records. In the Summary function, a programme of work has begun to ensure 100% Full Electronic Compliance by March 2016. This means that the summary function nationally will have a full electronic record of all cases and deal with all correspondence electronically, with no duplicating paper files being created for Pleading Diet courts. In due course, the ultimate goal will be to have virtually paperless courts.</p> <p>COPFS has access to Internal Audit procedures through the Scottish Government. While no audit is proposed at the moment, this will be borne when the new Records Management Compliance Group is set up.</p>

		<p>all offices moving to Full Electronic Record (FER) compliance and the introduction of Ipads in Court later this year.</p> <p>Records Management Manual – Chapter 7, with regard to hard copy records – see Policy for Policy Division</p> <p>A system is in place for tracking the retransmission of hard copy case papers. An example of the spreadsheet is provided below, together with instructions for staff on handling retransmitted material.</p>	
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<p>Element 12: Competency framework for records management staff <i>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.</i></p> <p>The Keeper will expect an authority's RMP 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 authority's RMP. It is important that authorities understand that records management is best implemented by a person or persons possessing the relevant skills.</p> <p>A competency framework outlining what the authority considers are the vital skills and experiences needed to carry out the task is an important part of any records management system. If the authority appoints an existing non-records professional member of staff to undertake this task, the framework will provide the beginnings of a training programme for that person.</p> <p>The individual carrying out day-to-day records management for an authority might not work for that authority directly. It is possible that the records management function is undertaken by a separate legal entity set up to provide functions on behalf of the authority, for example an arm's length body or a contractor. Under these circumstances the authority must satisfy itself that the supplier supports and continues to provide a robust records management service to the authority.</p> <p>The authority's RMP must confirm that it is satisfied by the standard of the records management provided by the supplier and name the organisation that has been appointed to carry out records management on the authority's behalf.</p> <p>Where an authority's records management system has been put in place by a third party, but is operated on a day-to-day basis by a member of staff in the authority, it is the competencies of that member of staff which should be confirmed, not those of the third party supplier of the system.</p>	<p>Core competencies, key knowledge and skills required by staff with responsibilities for Records Management have been clearly defined within the Records Management Competency Framework, ensuring that staff understand their roles and responsibilities and can offer expert advice and guidance.</p> <p>Regular training will be provided for staff with records management responsibilities.</p>	<p>Records Management Manual – Chapter 2</p>	<p>Ongoing training for staff who have records management responsibilities when suitable opportunities/training courses are identified.</p>

Read further explanation and guidance about element 12 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement12.asp			
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<p>Element 13: Assessment and review <i>Regular self-assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.</i> Section 1(5) (i)(a) of the Act says that an authority must keep its RMP under review. An authority's RMP <u>must</u> describe the procedures in place to regularly review it in the future. It is important that an authority's RMP is regularly reviewed to ensure that it remains fit for purpose. It is therefore vital that a mechanism exists for this to happen automatically as part of an authority's internal records management processes. A statement to support the authority's commitment to keep its RMP under review must appear in the RMP detailing how it will accomplish this task. Read further explanation and guidance about element 13 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement13.asp</p>	<p>The Records Management Manual has been in place since 2010 and sets out good practice in relation to records management. This has been the main guidance for staff and has formed the main evidence of evidence to show compliance with the Public Records (Scotland) Act 2011.</p> <p>As part of our commitment to comply with the PRSA, the Records Management Project Board was reconvened. Areas of work were identified where further compliance was required. Staff from all areas of COPFS have been involved in the work. Progress has been communicated to all staff through a variety of methods so that all staff are aware of our obligations under PRSA.</p> <p>The Head of Policy, and senior official with responsibility for records management is Project Executive, with responsibility for overseeing the Records Management Plan.</p> <p>The Records Manager is responsible for making sure that the supporting</p>	<p>SDD Portfolio Plan, showing ongoing projects where records management considerations may be required</p> <p>Improvement Plan</p>	<p>A plan has been prepared identifying a number of areas for development of good records management practices for the next five years. This includes:</p> <p>Abolition of use of external storage Development of scanning solutions to reduce amount of paper case related documentation Discussion with NRS re transfer of non-case records for permanent retention Discussion with NRS re transfer of electronic records Development of practices for improvement in recording of processes relating to paper copy records Development of EDRMS Enhanced training for staff with records management responsibilities (through Records Management Compliance Group)</p>

	documentation is kept up to date. It forms part of the Records Manager's objectives and if documentation is required to be updated it will be updated by the Corporate Records Manager or they will ask the relevant area in COPFS to review and update.		
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RMP ELEMENT DESCRIPTION	COPFS STATEMENT	EVIDENCE	FURTHER DEVELOPMENT
<p>Element 14: Shared Information</p> <p><i>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.</i></p> <p>The Keeper will expect an authority’s RMP to reflect its procedures for sharing information. Authorities who share, or are planning to share, information must provide evidence that they have considered the implications of information sharing on good records management.</p> <p>Information sharing protocols act as high level statements of principles on sharing and associated issues, and provide general guidance to staff on sharing information or disclosing it to another party. It may therefore be necessary for an authority’s RMP to include reference to information sharing protocols that govern how the authority will exchange information with others and make provision for appropriate governance procedures. Specifically the Keeper will expect assurances that an authority’s information sharing procedures are clear about the purpose of record sharing which will normally be based on professional obligations. The Keeper will also expect to see a statement regarding the security of transfer of information, or records, between authorities whatever the format</p> <p>Issues critical to the good governance of shared information should be clearly set out among parties at the earliest practical stage of the information sharing process. This governance should address accuracy, retention and ownership. The data sharing element of an authority’s RMP should explain review procedures, particularly as a response to new legislation.</p> <p>Read further explanation and guidance about element 14 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement14.asp</p>	<p>COPFS shares data in accordance with the Data Protection Act and Freedom of Information (Scotland) Act.</p> <p>A template for preparation of data sharing agreements is available for staff to use and details of these agreements are held on the staff intranet in a section entitled “memoranda of understanding”</p> <p>COPFS shares information with criminal justice partners and with defence solicitors on a regular basis in relation to criminal cases. Ensuring that sensitive personal data is shared securely is of paramount importance and full guidance, reviewed and updated regularly, is available to all staff.</p>	<p>Example of Data Sharing Protocol – see below</p> <p>Statement on function of Secure Disclosure Website has been obtained and added to Records Management Manual – Chapter 5</p> <p>Book of Regulations – Chapter 17</p> <p>Disclosure Manual</p> <p>COPFS is signed up to Criminal Justice Secure Mail (CJSM), a secure email system set up by the Ministry of Justice in London to provide a mechanism for secure electronic communication between criminal justice agencies in England and Wales. It is now widely used in Scotland and Ireland and enables members to communicate securely with anyone who has a .gsi .pnn</p>	<p>To be kept under review during lifetime of current RMP and updated if required.</p>

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