



Internal Audit Consultancy Report
Chief Executive's Services
11-08 - Records Management
Assignment Number
June 2012

Final Report

Background and Scope

This assignment was carried out as part of the Internal Audit Plan for 2011/2012 approved by the Audit Sub-Committee on 9 March 2011.

Legislative changes as a result of the Public Records (Scotland) Act 2011 required the Council to review its arrangements for the management of records to ensure that the Council holds all relevant information securely, is appropriately accessible and that only relevant information is held. In addition, issues have been raised during previous audit reviews regarding the accessibility and availability of information within the Council.

The indicative scope, as approved by Audit Sub-Committee, was to ensure arrangements are in place to manage information. The detailed scope of this assignment was to review the arrangements being established to ensure compliance and to provide an opinion on the likely effectiveness of the arrangements as they are being put in place.

Testing and Opinion

Discussions took place with the Information Compliance Manager regarding the Council's management of information and its ability to comply with new legislation relating to public records. The timescales for implementation have evolved during the year, with the Keeper of the Records of Scotland providing information relating to the legislation. The Keeper released a draft model Records Management Plan for public sector bodies to ensure compliance in February 2012 for consultation, however this has yet to be finalised.

In the absence of a final draft plan from the Keeper, the Information Compliance Manager took part in a pilot self-evaluation using the Scottish Council of Archive's Archives & Records Management Service's Quality Indicators, which is an improvement tool available for public bodies. The outcomes of this self evaluation led to the development of an action plan covering what is believed to be the areas covered within the draft model Records Management Plan. A number of areas of strengths and weaknesses were identified and all weakness areas are included within the action plan. This includes a dedication of resource to the project.

The Information Compliance Manager has provided information regarding his activities in this area to the Modern Ways of Working Programme Board, Policy & Governance Group, the Corporate Management Group and has also reported to the Executive Officer Team on the progress being made.

The Chief Internal Auditor is able to confirm that progress is being made to ensure that the Council is ready to demonstrate compliance once the final model Records Management Plan from the Keeper is received and that an action plan, which is being monitored by the Head of CBC&IT is in place covering those areas where improvements are required.

Whilst Internal Audit do not propose to follow up any of the specific actions within the action plan, Records Management will remain within the Internal Audit universe and will be assessed in line with other risks during the annual risk- based assessment

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when considering future Internal Audit work and for arriving at the assignments for inclusion in future Internal Audit Plans.

Acknowledgements

Internal Audit acknowledges with thanks the co-operation of the Chief Executive's Service during this review.

Feedback

Internal Audit welcomes feedback from management, in connection with this review or with the Internal Audit service in general.

Distribution

This report has been distributed to:

B Malone, Chief Executive

J Irons, Depute Chief Executive

J Walker, Depute Director, Housing, Community Care & Finance

I Innes, Head of Legal Services

D Henderson, Information Compliance Manager

M Kay, Senior Committee Officer

P Dickson, Complaints & Governance Officer

External Audit

Authorisation

The auditor involved with this assignment was J Clark.

Jackie Clark
Chief Internal Auditor
Date: 18 June 2012

