



Coventry City Council

5

Public Report

Report to

Scrutiny Co-ordination Committee
Cabinet

16 November 2005
29 November 2005

Report of

Angie Ridgwell
Director of Finance & ICT

Title

Corporate Electronic Data Records Management Solution

1 Purpose of the Report

The purpose of this report is to seek approval of the Council's Records Management Policy and associated Organisational Framework, together with the approach for implementing a Corporate Electronic Data Records Management Solution.

2 Recommendations

2.1 **Scrutiny Co-ordination Committee** is asked to consider the report and make any comments to Cabinet.

2.2 **Cabinet** is recommended to approve:

2.2.1 The adoption of the Corporate Records Management Policy as set out in Appendix 1 of this report.

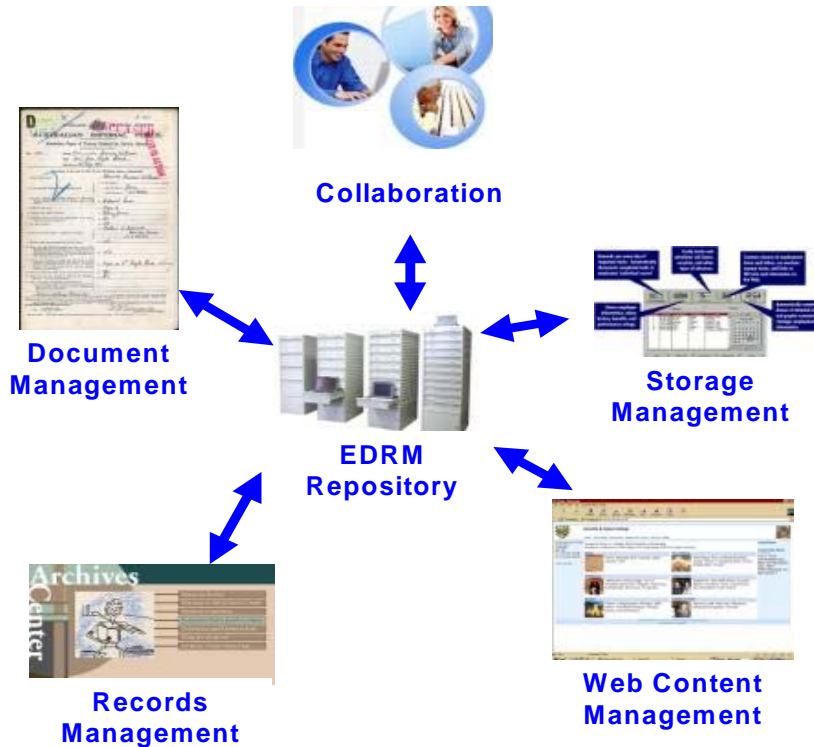
2.2.2 The adoption of the Organisational Framework for the Corporate Records Management Policy as set out in Appendix 2 of this report.

2.2.3 The proposed approach to implement a Corporate Electronic Data Records Management Solution as set out in Sections 4-7 of this report.

3 Information/Background

- 3.1 In order to meet our aims of meeting the needs of customers more effectively, the Council must ensure the right information is at the fingertips of all employees, regardless of the way in which customers contact us. All information must be easy to find, consistent, secure and shareable amongst employees. Additionally, all employees need to know that they are working with the latest version of a document and that amendments to it can be made in a controlled way.
- 3.2 The Council's approach to meeting these needs to date has been silo based, without a cohesive central strategy or an integrated solution. Electronic Document Management has been implemented in Housing Benefits, Local Tax and Human Resources services.
- 3.3 Recent Central Government legislation requires all Councils to develop a corporate Records Management Policy which sets out how we will manage our documents and records in order to carry out our responsibilities as Data Controller under the Data Protection Act and Public Authority under the Freedom of Information Act. A draft policy has been produced in accordance with these requirements and is given at Appendix 1 for approval.
- 3.4 Additionally, all Councils are required to develop an Organisational Framework for corporate records management that sets out the organisational responsibility, accountability, awareness and monitoring arrangements of records in accordance with the Records Management Policy. A draft Framework has been produced in accordance with these requirements and is given at Appendix 2 for approval.
- 3.5 A Corporate Electronic Data Records Management Solution (EDRM) will ensure the successful implementation of our Records Management Policy and Organisational Framework by ensuring that documents, records and website content are securely captured, stored, managed and made accessible to the appropriate parties when and where required.
- 3.6 Additionally, the requirement to implement an EDRM has been accelerated by the need to meet national targets for the implementation of the Electronic Social Care Record (ESCR). The implementation of an EDRM will also contribute significantly to the required Gershon savings of 2.5% per annum. Further details of the tangible and intangible benefits are given in section 4.1 below.
- 3.7 An EDRMs will enable the long term retention of documents, subject to individual document retention policies, which can include survey reports and legal documents connected with key projects. Consultation needs to take place with Directorates to decide on appropriate retention policies for the document types.
- 3.8 An EDRM solution comprises the following areas:
- Document Management – Electronic library services for business documents

EDRM Components



- Records Management – automation of archiving, retention and compliance policies
- Web Content Management – managing web content and creation of pages using the Council's existing system,
- Collaboration – document sharing between people
- Storage Management – storage and retrieval of all information.
- Repository – holds all the data.

3.9 Appendix 3 gives three scenarios which demonstrate some of the benefits of EDRM. The scenarios focus on the Council's current priorities of supporting Customer Services Advisors through EDRM, supporting Social Care as it adopts ESCR and supporting the Human Resources service in the management of employee records.

3.10 The implementation of an EDRM system will provide corporate wide facilities for all services. Appendix 4 gives examples of the facilities which will be provided for services in the Coventry Direct Programme of work and the Finance service.

4 Proposal and Other Option(s) to be Considered

4.1 Benefits of EDRM

4.1.1 The implementation of an EDRM will enable the Council to realise both tangible and intangible benefits from more efficient ways of working, informed

decision making and the release of floor space currently used for paper storage. These are summarised in the table below:

Benefit	Description
Improved Accessibility to information	Allowing secure, controlled access to information regardless of location and operational working hours, including the servicing of Data Protection Act and Freedom of Information requests, and reducing the time spent searching for information in paper filing systems.
Improved Accuracy of information	Improving the accuracy of information will mean significant improvements in customer service and a reduction in the risks of litigation. It also means that the information supplied for Data Protection Act and Freedom of Information requests will bear scrutiny. Increased confidence in the currency and validity of information will reduce the tendency to "double check".
Improved Decision Making	Providing the right information will have a significant bearing on the quality of decision-making.
Released floor space	More effectively redeploying floor space currently occupied by filing cabinets (estimated at between 7-12% of the Council's current central accommodation floorspace). Further work will need to be undertaken on other operational properties.
Invoice Scanning	Scanning invoices at £70 per 1,000 rather than microfilming them at £210 per 1,000 (based on financial year 2004/05 when Accounts Payable processed 139,582 invoices). Further work is required to ascertain the potential benefits over a 3 year term. Scanned images are also significantly easier to store, manage and retrieve than microfilm and can be accessed from the desktop without the need for dedicated viewing equipment.

4.1.2 Floor Space Released to Date

The table below gives three examples where current Electronic Document Management initiatives are releasing or have released floor space. The release of floor space provides re-deployable accommodation for employees and will over time reduce the number of buildings occupied by the Council.

Example	Department	Floorspace Released m ²
1	Housing Benefits & Local Tax	2 nd Floor Spire House
2	Planning	35m ² – Civic Centre 4
3	Human	58

	Resources	
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Example 1

The implementation of electronic document management in Housing Benefits and Local Tax has enabled them to vacate a complete floor of Spire House. This has enabled the Corporate Customer Contact Centre to be located on the vacated floor, thus avoiding additional external rental costs of £130K-160K per annum.

Example 2

The Planning department is in the process of back-scanning and indexing all of their current and historical records. This activity has released a total floorspace area of 35M² (approximately 12%).

Example 3

The Human Resources team is currently consolidating its filing cabinets into rooms 30 and 128 in Civic Centre 2. The implementation of the HR Electronic Document Records Management system and the subsequent destruction of the paper files will release this space for re-use. These rooms represent a total area of 57.5 M².

4.2 Proposed Approach to EDRM

- 4.2.1 The adoption of an EDRM solution across all Directorates would be undertaken in a phased approach over two years - 2005/6 and 2006/7.
- 4.2.2 A review of computer systems and business processes would be carried out to check their capability for integration with the EDRM, which would be carried out as follows:
 - i. New systems or those in the early stages of implementation must consider the needs of EDRM integration, eg, the Connecting Care system for ESCR and the new HR and Payroll system.
 - ii. Existing systems with EDRM capability that are not due for replacement would potentially be integrated with the EDRM solution, eg, Housing Benefits Anite Document Management system.
 - iii. Existing systems specifically for the management of content or records would potentially be migrated to the EDRM solution, eg, internet and internet web sites.
 - iv. Existing stand-alone systems in Directorates would be migrated to the EDRM solution, eg, frequently asked questions, information packs, leaflets, policies and procedures.

4.2.3 The Council is working with Serco Solutions on the implementation of a Customer Relationship Management System (CRM) and the work on EDRM would be combined into work on CRM. Serco has significant experience and expertise in implementing EDRM solutions within Local Government and is the Councils current ICT service provider.

4.2.4 The implementation of corporate records management and EDRM requires the Council to know the details of the documents, records and website content to be managed. The work to undertake this must be completed prior to implementation of the EDRM and involves:

- Adoption of the Records Management Policy and Organisational Framework
- Completion of Information Audit and analysis of the results
- Classification of records, documents and website content
- Mapping of records, document and website content to the Integrated Public Service Vocabulary. This is the recommended record classification for all Local Authorities to enable information sharing.
- Adoption of the records retention policy for each record classification.

5 Other specific implications

	Implication (See below)	No Implication
Neighbourhood Management	√	
Best Value	√	
Comparable Benchmark Data	√	
Coventry Community Plan	√	
Children and Young People	√	
Corporate Parenting	√	
Crime and Disorder		√
Equal Opportunities	√	
Finance	√	
Human Resources	√	
Human Rights Act	√	
Health and Safety	√	
Information and Communications Technology	√	
Legal Implications	√	
Impact on Partner Organisations	√	
Property Implications	√	
Race Equality Scheme		√

	Implication (See below)	No Implication
Risk Management	√	
Sustainable Development	√	
Trade Union Consultation	√	
Voluntary Sector – The Coventry Compact	√	

- 5.1 Neighbourhood Management:** EDRM will link closely with the Neighbourhood Management strategy through the CRM system. By providing access to information from a single point of contact for the customer, Partner Organisations and customer service advisors an improved service will be delivered. This will raise the level of customer satisfaction
- 5.2 Best Value and Comparable Benchmark Data:** Implementation of the strategy will enable best value to be achieved in the delivery of services through the accuracy of information available. The Council will carry out benchmarking exercises with other councils to ensure that we are giving our customers best value in service delivery.
- 5.3 Coventry Community Plan:** The implementation of the strategy involves partner Organisations and will contribute to cross cutting improvements in service delivery.
- 5.4 Children and Young People:** The ability of EDRM to store and manage information in a variety of formats such as e-mail, audio, video, text messaging etc will enhance the service delivery to this section of the community.
- 5.5 Corporate Parenting:** The strategy will make it easier to access and track progress of the delivery service users (children and corporate parents).
- 5.6 Equal Opportunities:** The delivery of the strategy will reflect the Council's Equality Strategy and ensure equality of services via it's ability to store, manage and deliver information in a variety of formats including text, audio, video etc.
- 5.7 Finance:** The funding requirements of £0.7m have already been allocated in existing Coventry Direct capital budget approved by Cabinet in February, 2005. This will be allocated as follows:
- | | |
|----------------------|--------------|
| Phase 1 EDRM 2005/6: | £0.6m |
| Phase 2 EDRM2006/7: | £0.1m |
| Total | £0.7m |
- 5.8 Human Resources:** To create the foundation for a corporate EDRM Solutions Team, the existing Electronic Document Management System team comprising two employees, in Housing Benefits and Local Tax would transfer to Customer & Business Services with immediate effect.

All employees affected by the introduction of EDRM will be briefed and consulted to ensure effective change management. Training and support will be provided throughout.

- 5.9 Human Rights Act:** Benefits will be realised in this area through the security and strictly controlled access to sensitive and private data provided by ECM
- 5.10 Health and Safety:** Manuals, procedures and information held within an EDRM repository would give central access to both employees and service users in a contextualised format. In addition the removal of the need to handle and transport bulky files and cabinets would lead to less injuries in the workplace.
- 5.11 Information and Communication Technology:** The implementation of EDRM will result in significant use of new technology. The solution will be used by every creator and user of documents within the Council. Existing investment in technology will be maximised and protected as during the procurement of the corporate solution, the market will be explored to ascertain whether further investment in an existing solution is appropriate or a new solution is required.
- 5.12 Legal implications:** Compliance with Data Protection, Freedom of Information and other legislation is enhanced by timely, secure access to information cutting across traditional organisational boundaries.
- 5.13 Impact on Partner Organisations:** Corporate implementation of EDRM in accordance with recommended file structures, document classifications and security measures will facilitate information sharing and improved working practices between the Council and it's partner agencies.
- 5.14 Property Implications:** The use of electronic records is expected release 10 - 15% of useable floorspace across the council that is currently occupied by paper filing cabinets.
- 5.15 Risk Management:** Systems will need to be in place to ensure a smooth transition to new ways of working. Formal risk management will be undertaken throughout the programme lifecycle in accordance with the Council's programme and Project Management Toolkit to ensure that normal operations remain uninterrupted.
- 5.16 Trade Union Consultation:** Consultation will take place with Trades Unions through Core Group and established Management and Trades Unions meetings within Customer & Business Services, on all aspects of changes in working practice required for the transition from paper to electronic records.
- 5.17 Voluntary Sector – The Coventry Partnership:** The implementation of EDRM will contribute to improved service delivery to Partner Organisations through secure and controlled access to a central information repository.

6. Monitoring

- 6.1 The project will be monitored in accordance with the Council's Programme and Project Management Toolkit.

- 6.2 Members will be kept fully informed of progress through the Cabinet Member (Corporate & Customer Services).

7. Timescale and expected outcomes

The project would be implemented in two phases over two years as set out below.

Phase 1 – 2005/6

- Implementation of corporate EDRM capability with integrated classification scheme as required by our Records Management policy
- Support for Data Protection and Freedom of Information Act requirements
- Support for Customer Relationship Management, eg, Frequently asked questions, information packs and leaflets.
- Support for the Connecting Care Social Care project, enabling the implementation of electronic social care records, ensuring they are securely managed and shared.

Phase 2 – 2006/7

- Post room – providing a mechanism to enable automated processing of appropriate paper documents and records
- Planning – enabling the electronic storage and management of Planning applications and enabling access to them from within the Council and by customers.
- Website and Intranet – managing and accessing site content.
- Housing Benefits – migrating the content from the existing Document Management system to the corporate ECM
- Human Resources – migrating the electronic employee files from the existing Document Management system to the corporate ECM
- Other appropriate Directorate systems – integrating appropriate systems with the EDRM as a result of the system review described above.

	Yes	No
Key Decision		√
Scrutiny Consideration (if yes, which Scrutiny meeting and date)	√ Scrutiny Co-Ordination Committee 16 October 2005	
Council Consideration (if yes, date of Council meeting)		√

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Corporate Records Management Policy

Coventry City Council

Author: Colin Tyc

Release: version 0-3

Date: November 8, 2005

Document History

Document Location

The source of the document can be found on Coventry City Council LAN:
XXXX

Context

Programme: Coventry Direct
Project: Enterprise Records Management
Project Ref: IR3

Revision History

Date of this revision: 22nd Aug 2005

Date of Next revision: XX

Revision date	Version	Previous revision date	Summary of Changes	Changes marked
	V0-1		First drafted & issued	
16 th Aug 05	V0-2		Organisation & Responsibilities extracted and compiled as separate document (Organisational Framework for Corporate Records Management)	
22 nd Aug 05	V0-3		Jayne Hutchings comments incorporated	

Sign-off

This document requires sign off from the following individuals:

Name	Signature	Title	Date of Issue	Version
Isobel Woods		Head of Insurance & Risk Management		
Jayne Hutchings		Information Governance & IT Security Manager		
Allan French		Head of Customer & Business Services		

Distribution

This document has been distributed to the following individuals for review:

Name	Title	Date of Issue	Version

Executive Summary

Effective management of records is an essential performance indicator for all businesses and particularly government bodies. Information held in records is necessary to comply for legal, audit and accountability requirements and comprises a major source of knowledge and corporate memory.

This document sets out Coventry City Council's corporate policy on records management, in accordance with ISO15489. This policy and arrangements made inside it are necessary for the Council to carry out our responsibilities as Data Controller under the Data Protection Act and Public Authority subject to the Freedom of Information Act.

Introduction & Background

Introduction

Business records can be defined as: "recorded information, in any form, created or received and maintained by an organisation or person in the transaction of business or conduct of affairs and kept as evidence".

This Policy defines the Council's commitment to the legislative compliance, Best Practice and guidance requirements of Records Management. In conjunction with the Operational Framework for Records Management document, the Records Management Guidance booklet and the Corporate Records Retention Schedule will constitute the corporate records management framework for Coventry City Council.

Scope

This is a corporate policy, driven by legislation, Best Practice and guidance, applicable to all directorates. It is binding on all employees and also third party contractors working for the Council.

The Policy applies to all records produced, received or processed by the Authority and maintained in Authority record keeping systems. It excludes reference materials, textbooks, journals and other materials produced by third parties, which are held by Council employees solely for reference purposes.

Council publications, for example "*Insight*" or our strategic plans, are outside the scope of this Policy once published. However, records documenting the publishing process and versions issued as consultation or exposure drafts are inside its scope.

Background

As a public authority, the Council is required by law to manage its records effectively. Specific obligations include:

Legislation

Data Protection Act 1998	<ul style="list-style-type: none"> • Statutory Notification of data collection and processing • Information captured for defined business or regulatory purpose • Only capture and retain relevant personal information • Keep records up to date • Keep and/or store records no longer than necessary • Respect data subject's rights to have data corrected or removed from system • All information to be kept securely • Data sharing arrangements need to be explicit
Freedom of Information Act 2000	<ul style="list-style-type: none"> • Applies to current and retrospective (past) information we hold • Make information sources accessible • Self-service access to information where feasible • Open, visible and accountable decision-making. Reports written as if already in public domain and open to scrutiny • Citizen has right of access to non-personal information • Some legal exemptions apply, such as national security. For most exemptions, Public Interest test must be considered • Offer advice and assistance to enquirers • Offer a formal complaints procedure • Arrangements for transferring request that do not relate to city council • Arrangements for Consultation with third parties
Human Rights Act 1998	<ul style="list-style-type: none"> • Respect for rights & freedoms of Authority and Individual • Balance private and public interests ~ individual vs organisation, community 's interests • Public confidence in local government information • Promoting unity in multi-cultural society • Set of binding values upon all Society/work communities • Balancing interests of privacy and freedom of expression • Govt/public authorities dealing with individuals ... • New culture of rights and responsibilities • Right to fair treatment in hearing or dispute resolution; zero bias in preparation of evidence
Local Government Act 1972	<ul style="list-style-type: none"> • Making specified groups of records available for public research after their business life ends

Standards and best practice

ISO15489	<ul style="list-style-type: none"> • Adoption of Corporate wide Policy Statement, signed at Management Board level and setting out all employees' responsibilities for record keeping • Corporate wide procedures and systems • Business-based file classification • Managed Record Capture and Managed Retention • Protection of Recorded Information and Defined Access Authorisations • Reliable and correct Storage facilities • Correct and complete Disposal of Records • Policies and procedures reviewed at specified intervals
ISO17799	<ul style="list-style-type: none"> • A Corporate wide IT Security Policy Statement, ratified by Cabinet and setting out framework for ensuring all computer systems and data are secure • Assigned responsibilities – custodians of information are responsible for its safe keeping • Security Awareness Programme & Training • Procedures to notify and prevent security breaches • Comprehensive control against computer viruses • Business Continuity Planning in all business units • Control of Proprietary Copying respecting owners copyright • Safeguarding of records necessary for the organisation's immediate and long-term survival • Protection of Personal Data held by the Authority • On-going monitoring of compliance with the Policy

Policy Statement

It is the Policy of the Council that authentic, reliable and useable records are created, which are capable of supporting business functions and activities for as long as they are required. These records will provide evidence, accountability and information about Council decisions, transactions and activities in the increasingly open environment of local government.

Information Asset Management

The Authority's records will be managed so that:

Records are maintained that meet the needs of the Authority and all stakeholders including our citizens, our employees, elected members and central government

Records can be trusted to reliably represent the information that was actually used in, or created by, the business process

Integrity and authenticity can be demonstrated

Records can be relied upon and information will enable well-informed decision making

Operational staff are supported in their work, by providing access to up-to-date Council policies, procedures and necessary precedent information

Legal and statutory record-keeping requirements are met

Systems and procedures will be put into place so that:

- Appropriate documents and artefacts are captured as records
- Records can be easily accessed by those of appropriate authority

- Records are named to identify their business context, with records of a given business process and 'author' being classified together
- Records are available for as long as they are required in accordance with legislation and the Corporate Retention Schedule.
- Records are disposed of appropriately when no longer required - respecting legal and regulatory obligations

Records will be kept securely and protected from accidental loss or destruction. Special consideration will be given to 'vital records': those records deemed of greatest importance to the organisation's continuity of business.

As systems evolve, attention will be given to preservation of existing records: ensuring the contextual qualities of the record can be maintained for as long as the record is needed. This is particularly important for electronic records.

Implementation and Communication of Policy

The Information Governance & IT Security Manager, based in Business Continuity and Information Governance (BCIG) team, will lead implementation of the Policy via a Records Management Programme, supported by Directorate Record Management Lead Officers. The Programme will feature the creation of corporate standards, procedures and supporting materials and will progress in close liaison with implementation of the Council's Information Access Policy.

Record management responsibilities will be clearly defined in role descriptions and made known throughout the organisation. Employees will receive sufficient training in the management of records within their sphere of responsibility.

Line management will be responsible for communicating Record Management policy and procedures to their teams. To assist, the BCIG team will produce a series of guidance notes or oral briefings. Information and copies of all policies, protocols and guidance notes will be made available via the Intranet

Monitoring and Review Arrangements

Record keeping practices will be reviewed and teams' conformance to the Policy audited as part of the work of the Council's Internal Auditors.

This Policy will be reviewed at intervals, normally every year in line with the Corporate Information & IT Security Policy, or more frequently if significant corporate needs develop.

Periodic performance and management reviews and reporting may be undertaken, consistent with and comparable to other areas of Authority management.

Integration with other corporate policies

Implementation of this Policy will include consideration of its impact upon and integration into other relevant Council policies, for example:

- Information Access
- Information Security
- Risk Management
- Business Recovery & Continuity
- Data Interoperability (e-GMS) and Website Content Management

Organisational Framework For Corporate Records Management Coventry City Council

Author: Colin Tyc

Release: version 0-3

Date: November 8, 2005

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Information and Background

Effective management of records is an essential performance indicator for all businesses and particularly government bodies. Information held in records is necessary to comply for legal, audit and accountability requirements and comprises a major source of knowledge and corporate memory.

This document sets out the organisational responsibility, accountability, awareness and monitoring arrangements required to meet compliance with Coventry City Council's corporate policy on records management,

Scope

The scope of this document is to define the operational framework for the management of records in accordance with legislative compliance and the Council's Records Management Policy

Organisational Responsibilities

Accountable Officers

Chief Executive | OR Management Board Members

Responsible for:

- approving the Corporate framework for the disciplined management of records within the authority as set out in this policy
- communicating the Policy to employees throughout the authority
- to ensure the authority maintains appropriate records needed to function as a business and meet the changing needs of customers and the legal and regulatory environment

Director of Finance & ICT OR Head of Customer Services & Business Information

Responsible for:

- ensuring that the Specialist functions (see below) are adequately resourced
- ensuring that Record Management requirements are adequately considered in developing Authority policies and business systems.

Heads of Service and Line Managers

Responsible for:

- ensuring that policies agreed by the Management Board are implemented within their department or service
- ensuring that records management requirements are incorporated into business processes and consistently implemented by their teams
- determining how long records should be retained to meet operational and administrative needs in accordance with the Corporate retention schedule

- ensuring that appropriate employees are designated to assist with implementation of Records Management procedures within the department or service. It is essential that these employees are appropriately trained or experienced to fulfil their responsibilities for managing records

- ensuring that all employees in the service understand the need for effective records management, that all new employees are trained on or immediately after induction and that identified training and development needs are met
- working with the Directorate's Records Management Lead Officer(s) to ensure that all business activities are properly documented and that accurate and reliable records are created and stored in the correct place for retrieval
- Consulting with the Directorate Records Management Lead Officer when new activities, processes or working practices are planned which will affect the capture, handling or management of records
- Ensuring that all team members are adequately trained and procedures correctly followed.

All Employees

All authority employees will be responsible for creating and maintaining authentic and reliable records in relation to their work. These responsibilities will also apply to employees from partner agencies/temporary agency staff etc who are undertaking work on behalf of the Council.

Individual employees' responsibilities include:

- Identifying which documents should be captured as records
- Ensuring actions and decisions taken in the course of Council business are properly recorded
- Creating, receiving and retaining records in line with Corporate policies.
- Classifying records created in accordance with agreed business-based classification scheme and/or naming standards stewarded by the AIU.
- Ensuring records are disposed of in accordance with the retention policy of that group/ service/section
- Using records responsibly, fully respecting protective and security measures and considering rights of individuals
- Raising any issues affecting conformance to the Policy with their Directorate Records Management Lead Officer or the Corporate Information Governance Officer responsible for records management.

Staff with specific responsibilities for records management should have these clearly defined in their job descriptions.

Specialist Units

Within the Council, a number of business units/teams will have responsibility for a particular element of record management. These are:

Located within the Business Continuity & Information Governance team the IGT will provide internal consultancy to information managers of all directorates in the areas of Information Governance, including Data Protection, Freedom of Information and IT Security. The team will work closely with the teams responsible for Corporate Branding and Publishing and provide the link between the Council and the Information Commissioner's Office.

Corporate Record Management Officer

Responsible for:

- Develop and progress corporate policies, systems and procedures for record capture/creation, record maintenance and keeping
- Monitor effectiveness of these policies and procedures as corporate and stakeholders needs develop.
- Providing professional guidance, interpretation and advice on relevant government and international standards
- Provide advice and guidance to authority managers and elected members
- Maintain an input into planning of business processes and systems
- Compile and maintain a Corporate-wide Information Asset Register and Retention Schedule
- Advise teams on the retention, management and storage of their records
- Liaise with The National Archives and Dept.for Constitutional Affairs

Corporate Human Resources team

Responsible for:

- Ensuring that explicit responsibility for records keeping is featured in job descriptions and person specifications and recognised within the performance management system
- Assisting with the recruitment of employees with appropriate skills and knowledge for records management functions
- Ensuring that information about records management requirements is included in induction programmes
- Ensuring that sufficient training opportunities on Records Management are made available to all employees

Facilities Management

Responsible for:

- Ensuring that physical records are stored in office and storage areas efficiently and safely; this includes appropriate employee training
- Considering off-site storage for large quantities of files
- Designing and maintaining adequate security systems for records stored on-site. This includes arrangements for prompt access to records that may be needed following an emergency and secure physical protection of those records essential for the long-term continuity of the business
- Arranging facilities for the disposal of records when they are no longer needed
- Arranging transfer of time-expired records of heritage value to Coventry Civic Archives

File Registry Units

Responsible for:

- Providing storage for 'semi-current' record files, including cataloguing to enable timely file retrieval, on behalf of business unit teams. Semi-current files are files no longer current ('live') but which the Council needs to retain in accordance with the Retention Schedule
- Providing disposal facilities for semi-current files at the expiry of the retention period. This will include raising Destruction Certificates

- Providing storage for Statutory Register Records (e.g., land registration, register BMD) for the period required by law. (This may be truly permanent). To include providing controlled access to the Public, in compliance with legal requirements.

Civic Archives

Responsible for:

- Advising record management and business teams on heritage value of records produced by their business activities
- Receiving heritage records transferred from directorates and arranging permanent preservation of these
- Providing cataloguing, archival and storage facilities for Council records requiring permanent preservation
- Arranging controlled disposal of archived materials which the Archivist does not wish to preserve
- As Place of Deposit, take custody of records transferred from local industry, commerce and educational institutions
- Providing access for research facilities to employees and the public

Arrangements

Training, Awareness and Employee Development

As all office-based (including home based) employees are involved in creating, maintaining and using records, it is vital that everyone understands their record management responsibilities. New recruits will be briefed on their responsibilities under this Policy as part of Corporate induction events.

All employees (including contractors and temporary staff) will be expected to conform to the Policy, in respect of records handled in their role. Managers will be expected to support their teams, provide training on operational matters and monitor employees' performance.

Record keeping responsibilities will feature in employees' job descriptions and will be incorporated into performance objectives and method statements, once the new performance management system is in place.

A training programme will be established to ensure that all employees are aware of their obligations in relation to Data Protection, Freedom of Information, Records Management and IT Security; this will be coordinated by the Information Governance & IT Security Team.

Record Keeping Systems

Each department must have in place a record keeping system (paper or electronic) that holds its records securely and provides for quick and easy retrieval of information. It must also take into account the legal and regulatory environment specific to the team's function.

The system will include:

- Records arranged and indexed in such a way that they can be retrieved quickly and efficiently, whilst mapping to a corporate framework. This will mean most correspondence-type records having a primary classification of the business activity and date, with other 'metadata' entered as required
- The ability to cross reference electronic and paper records.
- Procedures and guidelines for referencing, titling, indexing and version control and security marking.
- Procedures for keeping the system updated.
- Documentation of this system and guidelines on how to use it.
- Procedures covering the treatment of any special media records (e.g., photographic film) used by the team

In relation to paper files, the system must be maintained so that the records are properly stored and protected, and can easily be located and retrieved. This will include:

- Ensuring that adequate storage accommodation is provided for the records.
- Using office space and/or off-site storage effectively [keeping a fair balance]
- Monitoring the movement and location of records so that they can be easily retrieved and provide an audit trail.
- Controlling access to the information.
- Identifying vital records and applying the appropriate protection, including a business recovery plan.
- Ensuring inactive records are transferred in a controlled manner to their designated file store.

When a team is considering new electronic document and record management systems, they must consult the Corporate Information Governance & IT Security team early in the procurement process, to ensure that systems being considered are suitable and compliant with central government mandates.

Record Retention and Disposal and Information Asset Register

With increasing public access to our records, it is important that disposal of records happens as part of a managed process and is adequately documented.

All records series held by the Council will be listed in the Corporate Information Asset Register (incorporating Retention Schedule). This will show the correct retention period for each record series held by the Council, the required action at the expiry of that period, which team has lead responsibility for that record series and any access restrictions applying. The retention period of a record is the length of time that the record may be kept after it has ceased being 'current' (e.g., in case of an employee file, currency ends the date that the employee leaves).

It is essential that the retention periods listed are followed: these are Corporate standards, in many cases based upon law, regulation or mandatory guidance. Any deviation from the retention period must be authorised by the Information Governance Team.

To ensure effective disposal:

- An intended disposal/review date must be captured when creating all records, particularly electronic
- Records will be reviewed and appropriate ones destroyed or transferred to the City Archives each year in accordance with the Corporate Information Asset Register
- Records selected for permanent preservation are transferred to the City Archivist at Mandela House, Coventry's Place of Deposit for Public Records.
- A record must be kept of disposals/transfer of records. Complete a Transfer Certificate for materials going to the Archives and raise a Destruction Certificate for materials destroyed on expiry of the retention period
- It is recommended that all records are shredded or incinerated when their retention period has expired; this practice is essential for confidential records
- It is not acceptable to keep a copy "just-in-case": destroy working or convenience copies as soon as the immediate need has passed. If a copy is needed at a later date, it can be obtained from the holder of the original, if before its expiry date. After its expiry date the authority has no right to retain the record

The only case where records should not be destroyed or transferred on their expiry date is where a record is needed for a current information access request under DPA, EIR or FOIA or pending court action. In these cases, which are likely to be rare, the Directorate Records Management Lead Officer should liaise with the Information Governance Team for advice.

Access Authorisation

The Authority needs to ensure that decisions regarding access to records – particularly public access - are documented so that they are consistent, and can be explained and referred to.

In particular, ensure that:

- All employees are aware of the arrangements for allowing access to specific categories of information

- Procedures are in place to document decisions concerning authorised and withheld access.

By default all information should be treated as 'shareable' (i.e., accessible to an employee of the Council) unless there is a valid business or legal reason for restricting access. For example: personal data subject to the Data Protection Act, or information covered by an exemption under the FOI Act. Commercially sensitive material will be held confidentially where permitted by law, but will normally become 'Open' at some point during its retention period. (For example, data relating to a construction contract may be considered confidential at the date the contract is let but less so five years into the contract, when the building has been built and occupied.) In the case of embargoed Press notices and/or undelivered speeches, these would be considered 'open' only after the release date, unless earlier disclosure is required in law.

Under Freedom of Information and Open Government, there is increasingly a presumption that government information should be considered 'Open' (i.e., accessible to a public enquirer) unless there is a specific legal or business reason for limiting access. The Corporate Information Asset Register will identify those record series ('information classes') that are 'open', and those that are not. Material produced with the express intention of informing the public, and actual Council publications, are fully accessible as part of the Council's FOI Publication Scheme

For detailed guidance on the above refer to the Information Access Corporate Policy Statement. All employees should also be aware of the Council's IT Security Policy and Acceptable Use of ICT Facilities Policy; for further advice see IT Security team.

Benefits Framework

The purpose of this section is to provide a clear identification and specification of the benefits to be delivered by the project. To ensure that the project is managed to achieve agreed benefits. To set a framework for the assessment for benefits following project closure. The benefits framework should be included as part of the Project Initiation Document. It may be updated during the course of the project.

Benefits Identification

Benefit Description	There will be a Corporate Records Management Policy and all employees will conform to it. For example, business process statements and job descriptions will feature record keeping requirements.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Approved Policy Statement available via intranet. Record keeping responsibilities feature in new job descriptions and business process statements	
When is this benefit to be measured? (if applicable)	Start of phase 2 (1 st survey phase)	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	Approved Policy as pre-requisite to this project.	
What skills are required to carry out benefit measurement? (if applicable)	Inside project	
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Pre-requisite to start of phase 2	

Benefit Description	Record Retention Schedules will have been produced for all generic business functions and all specific business units. All employees will be aware of these and records retention rules will be set following these rules.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Each retention schedule complete and communicated to teams concerned.	
When is this benefit to be measured? (if applicable)	At completion of each of phases 2 – 6	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	Retention rules of individual departments or service, if any exist, prior to preparation of corporate retention schedule.	
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Existence discrete but active use related to employee training.	

Benefit Description	Disposal of records will take place on expiry of the applicable retention period. Disposal Certificates will be raised and kept to provide evidence.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Disposal certificates raised correctly. Records are not kept after expiry date.	
When is this benefit to be measured? (if applicable)	Sample audit	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	State of record keeping & disposal in each service (or sample of services).	
What skills are required to carry out benefit measurement? (if applicable)	Work via Internal Audit needing to integrate into audit programme.	
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	For electronic record systems, related to outputs from HR EDMS, ESCR projects.	

Benefit Description	An Asset Register of Business Information (Records Series) will be accessible to all authorised employees, and kept up to date.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Register or record series held in central database maintained by records management and accessible to all customer service teams.	
When is this benefit to be measured? (if applicable)	Close of phase 6.	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	Informal 'who does what' lists held by advice centre, FOI stewards and customer service staff.	
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Need early release of info to customer contact centre teams; proposing staged release.	

Benefit Description	An interim Records Management Advisory Service will be operational and available to management and employees for the duration of the project. There will be proposals for continuing provision of records management advice.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Service exists. Contacts are publicised. Priority will be given to teams being surveyed or using retention schedule outputs.	
When is this benefit to be measured? (if applicable)	Reviewed at close of each project phase	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	Availability of records management advice as at June 2005.	
What skills are required to carry out benefit measurement? (if applicable)	Within project.	
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Discrete.	

Benefit Description	A study into the Council's needs for paper records storage will have been completed and proposals made for a suitable whole-council solution.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	Feasibility survey report issued, containing recommendations.	
When is this benefit to be measured? (if applicable)	December 2007	
What is the pre-delivery status against which this benefit will be measured? (if applicable)	Earlier feasibility reports and individual teams storage plans (if any).	
What skills are required to carry out benefit measurement? (if applicable)	Within project.	
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Linked to space planning in other projects.	

Benefit Description	Future electronic document & record management systems will have a fileplan design based on outputs from this project.	
Benefit Type		This is tangible and measurable
	x	This is tangible but not to be measured
		This is not measurable
Benefit measurement metric (if applicable)	Existence of business classification-based fileplan. Incorporated within e-GMS for e-RM systems and an equivalent business-based specification for Windows.	
When is this benefit to be measured? (if applicable)		
What is the pre-delivery status against which this benefit will be measured? (if applicable)		
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Enabler to following projects ~ will only be apparent in later projects.	

Benefit Description	The Council will move towards enterprise-wide working. This will support the Council's modernisation objectives, introduce corporate standards and encourage team working, removing 'information silos' and encouraging sharing of knowledge.	
Benefit Type	<input type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input checked="" type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)		
When is this benefit to be measured? (if applicable)		
What is the pre-delivery status against which this benefit will be measured? (if applicable)		
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Linked to outcomes from all other Coventry Direct projects.	

Benefit Description	The Council can demonstrate we meet the registration and record retention requirements of the Data Protection Act.	
Benefit Type	<input type="checkbox"/>	This is tangible and measurable
	<input checked="" type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)		
When is this benefit to be measured? (if applicable)		
What is the pre-delivery status against which this benefit will be measured? (if applicable)		
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Combined with outputs from other information management projects	

Benefit Description	Requests for information by customers, made under the Freedom of Information Act or related legislation, can be responded to speedily and accurately.	
Benefit Type	<input checked="" type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)	This benefit should be measurable by the effectiveness and response times of our FOI request handling. This should be significantly improved by the adoption of a consistent records management policy.	
When is this benefit to be measured? (if applicable)	Continuously	
What is the pre-delivery status against which this benefit will be measured? (if applicable)		
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Combined with outputs from other information management projects	

Benefit Description	The Council will be able to develop electronic records management systems, based upon a common corporate fileplan.	
Benefit Type	<input type="checkbox"/>	This is tangible and measurable
	<input type="checkbox"/>	This is tangible but not to be measured
	<input checked="" type="checkbox"/>	This is not measurable
Benefit measurement metric (if applicable)		
When is this benefit to be measured? (if applicable)		
What is the pre-delivery status against which this benefit will be measured? (if applicable)		
What skills are required to carry out benefit measurement? (if applicable)		
Is this benefit discrete to this project alone or is it combined with outcomes from other projects?	Enabler to e-RM projects and linked to external projects, mainly stewarded by IdeA.	

EDRM Scenarios

The following three scenarios illustrate some of the benefits of EDRM. The scenarios focus on the Council's current priorities of supporting Customer Services Advisors through EDRM, supporting Social Care as it adopts ESCR and supporting the Human Resources service in the management of employee records.

Scenario 1

Supporting CRM and Customer Service Specialists

A family has just moved house within the Coventry area and they visit a neighbourhood one-stop shop where a customer service advisor works with them to obtain the information they need. One of the children has a physical disability, which requires modifications to their property. The interaction is recorded by the Customer Relationship Management (CRM) system using a case number, which can be tracked to all relevant information in the EDRM solution. The advisor is easily able to access previous correspondence from the mother, which has been scanned and stored within the EDRM solution. The advisor then quickly locates and prints an applicable information pack from the EDRM Solution and, via CRM, books a social worker to contact them. The family leaves the one stop shop impressed that the advisor has been most responsive to their needs and has all relevant information at their fingertips.



Scenario 2

Supporting Social Care and ESCR

The Social Services Emergency Duty Team receives a call late one night concerning a child in need and in order to respond requires access to the case history and associated documents.

With EDRM implemented, the duty officer would be able to instantly and securely access the relevant case files and supporting documentation from home or mobile device, engage relevant partner agencies and attend the incident directly with confidence that the information is current and valid. The case file could be updated in real-time via the mobile device during the visit or immediately afterwards from the officer's secure home connection.

This ensures that officers can attend to incidents equipped with all the facts of the case and that valuable time is not lost. Moreover, this would guarantee currency of the case file should another officer be called to the same child during the same off-duty period and would eliminate the need for officers to update those records during the day.



Scenario 3

Supporting HR Personnel Records Management

Currently, a member of the Human Resources team writes a letter to an employee and needs to add it to the employee's personal file. Having created the letter from the desktop in MSWord the officer then has to print it out, leave his/her desk and go to the filing room along the corridor, unlock the room, unlock the relevant cabinet only to find that the file has been booked out to another officer. Consequently the file cannot be updated until it is returned to the filing cabinet and informed decision making may be inhibited in the interim period.

In the future, with EDRM implemented, the Human Resources officer writes the letter on their desktop and checks the document in to the central EDRM repository without leaving the desk. The letter is instantly available to any authorised officer who accesses the file. EDRM ensures the currency, integrity and accuracy of the personal file at all times. Paper file storage is redundant. Officers can use the time saved more profitably elsewhere.



Examples of the Use of EDRM Corporate Wide.

The implementation of an EDRM system will provide the following facilities for services in the Coventry Direct Programme of work:

Release 1

Service	Facilities
Street Services	Easily managed web forms relating to Street Services contacts. Customer Services Advisors will have access to an extensive knowledge base including information relation to Street Services contacts and sharing of documents between Street Services and other services.
Library Renewals and General Enquiries	Customer Services Advisors will have access to an extensive knowledge base including information related to Libraries, and automatic production of information packs and forms.
Switchboard	Customer Services Advisors will have access to an extensive knowledge base including Frequently Asked Questions, contacts lists and community information.
Social Services telephone Reception Calls	All social care case records will be electronic, and accessible from external locations via a secure connection. Paper based evidence and e-forms will also be available, and information packs and forms will be generated automatically.
Electoral Register	Customer Services advisors will have access to an extensive knowledge base including information related to electoral queries. Automatic generation of electoral registration forms and scanning of completed forms upon return.
School Transport and Benefits	Secure sharing of electronic documents between School Transport and Education. Paper documentation will be scanned and attached to the individual's electronic file. This will reduce the amount of office storage space needed, creating extra floor space.
Social Services EDT access	All social care case records will be electronic, making access rapid and secure from anywhere at anytime, and meeting ESCR targets.
ESU Access 5pm to 8pm	Access to the same extensive knowledge base available to Customer Service Advisors, including Frequently Asked Questions, contact lists and community information.
Environmental Health	Paper documents will be scanned and attached to individual electronic case files. This will enable easy and secure access from anywhere at anytime, and free up office space currently used for storage.
Parking Decriminalisation	All paper documents including inbound mail will be scanned and attached to the electronic case file to which it relates. This will enable fast, secure access to data from anywhere at anytime.

Release 2

Service	Facilities
Education Admissions	<p>Paper admissions applications will be scanned and managed, for example via web forms. Applications made via other means will be managed in the same way. This will enable the fast and secure access to documentation from anywhere at anytime, and create extra office space.</p> <p>Customer Service Advisors will have access to the extensive knowledge base, including information on Education Admissions</p>
Housing Benefits	<p>Paper documents will be scanned and attached to the relevant electronic case file. This will enable fast and secure access from anywhere at anytime, and free up office space currently used for storage.</p>
Licensing	<p>Paper documents will be scanned and attached to the relevant electronic case file. This will bring about the same benefits as above.</p>
Local Land Charges	<p>Incoming mail relating to Land Charges searches will be scanned and attached to the case file. This will enable secure access from anywhere at anytime, and free up office space currently used for storage.</p>
Council Tax	<p>Paper documents, including incoming mail, will be scanned and attached to the relevant electronic case file. This will bring about the same benefits for access and office storage as above.</p>
Business Rates	<p>Paper documents, including incoming mail, will be scanned and attached to the relevant business case file.</p> <p>This will enable fast and secure access to information, and create extra storage as above.</p>
Welfare Benefits Advice	<p>Customer Service Advisors will have access to an extensive knowledge base, including Benefits related Frequently Asked Questions, contacts lists and community information.</p>
Trading Standards (Consumer Direct)	<p>Customer Service Advisors will have access to an extensive knowledge base, including information relating to Trading Standards</p>
Planning	<p>Documents on microfiche will be transferred to electronic storage, and records managed electronically. Search time will be significantly improved.</p>
HR Centralised Recruitment Team	<p>Paper based documentation will be scanned and attached to the individual's electronic file. This set of information will be supported by electronic personnel files. The benefits include speed and ease of access, and the creation of extra office floor space.</p>

Release 3

Service	Facilities
Adult Social Services	All social care records will be electronic, facilitating speedy and secure access from any location, and meeting ESCR targets.
Children's Services	As above
Other Consultative Services	Customer Services Advisors will have access to an extensive knowledge base including Frequently Asked Questions, contacts lists and community information.

Finance

The Finance Team is responsible for processing more than 100,000 invoices per annum. All invoices would be scanned and associated with the supplier to which they relate, saving on the cost of microfilming and freeing up considerable amounts of floor space. Additionally secure and rapid access from any location to the documentation would be available.