Records Management Maturity Model & Road Map

Maturity Levels - Summary Report

The 4 levels of maturity are:

Out of scope Level of maturity cannot be assigned as out of scope for this phase;

0 Absent Shows no evidence of awareness of the need to take a strategic approach to the management of records;

1 Aware Uncoordinated local attempts to improve records management in response to local issues;

2 Defined Coordinated attempts to improve records management underway across the SPCB; and

3 Embedded The effective management of records is fully integrated within the SPCB's strategic and operational activities.

A	Organisational arrangements to support records management	Maturity Level				
	The SPCB will have in place organisational arrangements that support records management.	Phase 1 - Completed	Phase 2 - Completed	Future phases		
				Phase 3 +	Technology Phase	Final Phase
A1	RM is recognised as a core corporate function with defined roles and responsibilities at both a strategic and operational level.	Redacted	Redacted	Redacted	Redacted	Redacted
A2	All staff at all levels are provided with clearly defined instructions to create, keep and manage records. Induction and other training is provided to ensure that all staff (including temporary) are aware of the SPCB's records management policies, procedures and guidelines and understand their personal responsibilities.	Redacted	Redacted	Redacted	Redacted	Redacted
A3	Identification of information and business systems that hold records and provision of the resources needed to maintain and protect the integrity of those systems and the information they contain.	Redacted	Redacted	Redacted	Redacted	Redacted
A4	Consideration is given to records management issues when planning or implementing ICT systems, when extending staff access to new technologies and during restructuring or major changes to the SPCB.	Redacted	Redacted	Redacted	Redacted	Redacted
A5	The RM function within SPICe should be provided with the resources required to achieve the agreed objectives in the records management programme.	Redacted	Redacted	Redacted	Redacted	Redacted
A6	The SPCB should have a qualified records manager in post, a community of records management champions and its staff given opportunities for professional development.	Redacted	Redacted	Redacted	Redacted	Redacted

B	Records management policy	Maturity Level				
	The SPCB will have in place a records management policy.	Phase 1 - Completed	Phase 2 - Completed	Future phases		
				Phase 3 +	Technology Phase	Final Phase
B1	The SPCB will issue a policy covering records management. This should be publicly-available on our website, endorsed by the Clerk/Chief Executive and readily available via the intranet.	Redacted	Redacted	Redacted	Redacted	Redacted
B2	The policy should be kept up-to-date so that it reflects the current needs of the SPCB.	Redacted	Redacted	Redacted	Redacted	Redacted

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C	Keeping records to meet corporate requirements	Maturity Level				
	The SPCB will ensure it keeps the records it will need for business, regulatory, legal and accountability purposes.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
C1	The SPCB will decide – and staff must know – what records need to be created and kept to protect the interests of the organisation and its stakeholders.	Redacted	Redacted	Redacted	Redacted	Redacted
C2	Managers of offices, programmes and projects should take responsibility for ensuring that the agreed records of the office, programme or project's work are kept and are available for corporate use.	Redacted	Redacted	Redacted	Redacted	Redacted
C3	The SPCB will ensure that those records identified as being required to protect the interests of the organisation and its stakeholders are captured and kept appropriately to ensure they meet appropriate standards of usability, reliability, integrity and authority.	Redacted	Redacted	Redacted	Redacted	Redacted

D	Records systems	Maturity Level				
	The SPCB will keep records in systems that enable records to be stored and retrieved as necessary.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
D1	Records systems should be designed to meet the SPCB's operational needs and using them should be an integral part of business operations and processes. They should be easy to understand and use, enable easy retrieval of information and set up in a way that enables routine RM processes to take place. Records systems should enable the context of each record and its relationship to other records to be understood (e.g. through classification in a file plan and/or through the application of appropriate metadata) and for groups of like records to be managed together. Record systems should produce an audit trail recording all actions performed on its contents.	Redacted	Redacted	Redacted	Redacted	Redacted
D2	Record systems should provide secure storage to the level of protection required by the nature, contents and value of the information in them and should protect records in digital systems from accidental or unauthorised alteration, copying, movement or deletion.	Redacted	Redacted	Redacted	Redacted	Redacted
D3	Records systems should be documented to facilitate staff training, maintenance of the system and its reconstruction in the event of an emergency.	Redacted	Redacted	Redacted	Redacted	Redacted
D4	Record systems should enable the closure of folders, files and similar records at an appropriate time according to the specific nature and function of the records in question and should be supported by processes designed to identify and act upon such triggers for closure.	Redacted	Redacted	Redacted	Redacted	Redacted

Records Management Maturity Model & Road Map

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E	Storage and maintenance of records	Maturity Level				
	The SPCB will know what records it holds and where they are, and should ensure that they remain usable for as long as they are required.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
E1	The SPCB will gather and maintain data on the records and information assets its holds and will consider publishing the details of types of record it holds to help members of the public planning to make a request for information under the Freedom of Information (Scotland) Act.	Redacted	Redacted	Redacted	Redacted	Redacted
E2	Storage facilities for records should provide protection to the level required by the nature, contents and value of the information in them and be appropriate for their level of use.	Redacted	Redacted	Redacted	Redacted	Redacted
E3	The whereabouts of records should be known at all times and movement of files and other physical records between storage areas and office areas should be logged.	Redacted	Redacted	Redacted	Redacted	Redacted
E4	Records should remain usable for as long as they are required. The SPCB should put in place a strategy for the continued maintenance of records stored in digital systems and regularly inspect vulnerable paper files (e.g. early photocopies).	Redacted	Redacted	Redacted	Redacted	Redacted
E5	Business continuity plans should identify and safeguard records considered vital to the organisation and backup copies of records in digital systems should be kept and stored securely in a separate location.	Redacted	Redacted	Redacted	Redacted	Redacted
E6	Metadata for records in any format should be kept in such a way that it remains reliable and accessible for as long as it is required, which will be at least for the life of the records.	Redacted	Redacted	Redacted	Redacted	Redacted

F	Security & access	Maturity Level				
	The SPCB will ensure that records are stored securely and that access to them is controlled.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
F1	The SPCB will ensure that their storage arrangements, handling procedures and arrangements for transmission of records (particularly outside of the SPCB's premises) reflect accepted standards and good practice in information security.	Redacted	Redacted	Redacted	Redacted	Redacted
F2	Access restrictions should be applied when necessary to protect the information concerned and should be kept up to date with external access being provided in accordance with relevant legislation.	Redacted	Redacted	Redacted	Redacted	Redacted

Records Management Maturity Model & Road Map

Maturity Levels - Summary Report

The Scottish Parliament
Pàrlamaid na h-Alba

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G	Disposal of records	Maturity Level				
	The SPCB will define how long it needs to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
G1	Records should not be kept after they have ceased to be of use to the SPCB unless they are known to be the subject of litigation or a request for information; or they have long-term value for historical or other research purposes.	Redacted	Redacted	Redacted	Redacted	Redacted
G2	Disposal of records should be undertaken only in accordance with clearly established policies incuding: a) An overall policy, stating in broad terms the types of records likely to be selected for permanent preservation; and b) retention schedules which identify and describe records to which a re-defined disposal action can be applied.	Redacted	Redacted	Redacted	Redacted	Redacted
G3	Retention schedules should contain sufficient details about the records to enable the records to be easily identified and the disposal action applied to them on a routine and timely basis. Retention schedules should be kept up to date. Retention schedules and disposal decisions should be implemented by properly authorised staff and should take account of variations caused by, for example, outstanding requests for information or litigation.	Redacted	Redacted	Redacted	Redacted	Redacted
G4	If any records are not included in retention schedules, arrangements should be made to review them and decide whether they can be destroyed or should be selected for permanent preservation.	Redacted	Redacted	Redacted	Redacted	Redacted
G5	All copies of records scheduled for destruction should be destroyed in as secure a manner as required by the level of confidentiality or security markings they bear, regardless of whether destruction is carried out 'in house' or by external contractor.	Redacted	Redacted	Redacted	Redacted	Redacted
G6	Details of destruction of records should be kept, either as part of the audit trail metadata or separately.	Redacted	Redacted	Redacted	Redacted	Redacted
G7	Records selected for permanent preservation and no longer required by the SPCB will be transferred to the National Archives of Scotland (NAS).	Redacted	Redacted	Redacted	Redacted	Redacted

Records Management Maturity Model & Road Map

Maturity Levels - Summary Report

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H	Records created in the course of collaborative working or through out-sourcing	Maturity Level				
	The SPCB will ensure that records shared with other bodies or held on their behalf by other bodies are managed in accordance with recognised standards, legislation and guidance issued by The National Archives of Scotland.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
H1	Records management controls should be applied to information being shared with or passed to other bodies or being held by another organisation on the SPCB's behalf.	Redacted	Redacted	Redacted	Redacted	Redacted
H2	When working in partnership with other organisations which includes sharing information and contributing to joint records systems, the SPCB will ensure that all participating staff are aware of the records management implications and that all parties agree protocols that specify: a) What information should be contributed and kept and by whom; b) What level of information security should be applied; c) Who should have access to the records; d) What disposal arrangements should be in place; and e) Which body holds the information for the purposes of the Act.	Redacted	Redacted	Redacted	Redacted	Redacted

I	Monitoring and reporting on records management	Maturity Level				
	The SPCB will monitor compliance with recognised standards, legislation and guidance issued by NAS and assess the overall effectiveness of the programme.			Future phases		
		Phase 1 - Completed	Phase 2 - Completed	Phase 3 +	Technology Phase	Final Phase
I1	The SPCB will identify performance measures that reflect their information needs and put in place the means by which performance can be measured. Monitoring should be undertaken on a regular basis and the results reported to the person with lead responsibility for records management so that risks can be assessed and approprite action taken.	Redacted	Redacted	Redacted	Redacted	Redacted

Maturity model based on model developed by JISC infoNet
Original available from:
http://www.jiscinfonet.ac.uk/records-management/measuring-impact

A	Organisational arrangements to support records management
	The SPCB will have in place organisational arrangements that support records management.

Statement A1

RM is recognised as a core corporate function with defined roles and responsibilities at both a strategic and operational level.	
Level 0	Responsibility for RM is not defined or allocated within the SPCB and is not considered as part of its strategic planning processes.
Level 1	Various departmental staff given nominal operational responsibility for addressing specific local RM-related issues alongside their existing role.
Level 2	Departmental staff operate in a coordinated fashion receiving instruction from the core corporate RM function which in turn reports to senior responsible officers.
Level 3	RM-related issues are viewed as an ongoing strategic priority for the SPCB and are routinely considered during strategic and operational decision making. The core RM function work with a network of local co-ordinators to work towards agreed strategic objectives. Members of management at all levels are aware that they are directly responsible for ensuring recordkeeping standards within their areas.
Notes:	
Score:	R e d a c t e d

Statement A2

All staff at all levels are provided with clearly defined instructions to create, keep and manage records. Induction and other training is provided to ensure that all staff (including temporary) are aware of the SPCB's records management policies, procedures and guidelines and understand their personal responsibilities.	
Level 0	No training or guidance provided on RM issues with the SPCB content to leave individuals to make up their own working practice.
Level 1	Some training is given to new starters in some departments based on agreed local practice.
Level 2	Training is provided on request to local teams/staff. Limited mention is made of RM policies and procedures as part of standard staff induction.
Level 3	A detailed session(s) on RM policies and procedures is provided to *all* new staff shortly after joining the SPCB as part of the induction programme. Training on a range of RM issues is also available at various levels of expertise on demand to all staff as part of the regular staff development programme.
Notes:	
Score:	R e d a c t e d

Statement A3

Identification of information and business systems that hold records and provision of the resources needed to maintain and protect the integrity of those systems and the information they contain.	
Level 0	A proliferation of local systems exist whose contents and whereabouts are unknown to all but their immediate users.
Level 1	Unco-ordinated attempts to rationalise the number and remit of record keeping systems within certain departments for operational reasons.
Level 2	A systematic audit undertaken across the SPCB to record the existence, purpose, contents and management of all systems holding records and information.
Level 3	An authoritative database of recordkeeping systems and their 'owners' is centrally compiled and actively maintained. Procedures exist to ensure this database is kept up to date. The database is used to help prioritise and plan routine maintenance and to allocate resources accordingly. An authoritative database of recordkeeping systems and their 'owners' is centrally compiled and actively maintained. Procedures exist to ensure this database is kept up to date. The database is used to help prioritise and plan routine maintenance and to allocate resources accordingly.
Notes:	No records management system is in place.
Score:	R e d a c t e d

Records Management Maturity Model Road Map

End Phase 2

A	Organisational arrangements to support records management
	The SPCB will have in place organisational arrangements that support records management.

Statement A4

Consideration is given to records management issues when planning or implementing ICT systems, when extending staff access to new technologies and during restructuring or major changes to the SPCB.	
Level 0	Changes to systems or processes happen in a haphazard manner with no consideration of their record management implications.
Level 1	Some consideration of the likely impact of change on local record and information use and ad hoc attempts to plan local responses (mainly reactive in nature). For example considering measures to address the reduction in record storage capacity following a move to new office accommodation.
Level 2	Attempts made to predict and prepare for the RM related implications of process, system or organisational change in a joined-up fashion across the SPCB For example, working groups established in advance to consider the implications for the SPCB's information assets following a proposed merger.
Level 3	RM representation on major relevant project planning and senior management advisory groups. All other such groups are formally required to actively consider and consult on records management issues as and when they arise. Decisions regarding system choice or other proposed changes are actively influenced by consideration of RM issues. For example not selecting an otherwise preferred information system due to deficiencies in its records management capabilities.
Notes:	
Score:	R e d a c t e d

Statement A5

The RM function within SPICe should be provided with the resources required to achieve the agreed objectives in the records management programme.	
Level 0	No funds, staff or facilities devoted to the RM programme.
Level 1	Small 'one off' sources of funding found on an ad hoc basis (for example when a budget under spend is identified towards the end of the financial year) to enable small scale local improvements.
Level 2	An appropriate annual budget is allocated for funding the SPCB's RM programme which covers both ongoing 'core activity' and additional special projects.
Level 3	Records management is given its own budget code within the SPCB and provided with appropriate funds to be able to meet its agreed strategic and operational objectives. Staff working within the RM function are encouraged to undertake further professional development and/or qualifications and to apply this learning within the SPCB.
Notes:	
Score:	R e d a c t e d

Statement A6

The SPCB should have a qualified records manager in post, a community of records management champions and its staff given opportunities for professional development.	
Level 0	No records manager or champion community is in place.
Level 1	Records management is recognised as a function but has not been assigned a specific role with responsibility for records management.
Level 2	The SPCB has a dedicated records manager post with responsibility for records management.
Level 3	The SPCB has a records manager in post and a community of records management champions in place. Professional develeopment is available and encouraged.
Notes:	
Score:	R e d a c t e d

B	Records management policy
	The SPCB will have in place a records management policy.

Statement B1

The SPCB will issue a policy covering records management. This should be publicly-available on our website, endorsed by the Clerk/Chief Executive and readily available via the intranet.

Level 0	No appetite for developing an RM policy, or including elements of it within other relevant policies is evident within the SPCB, the subject is not on senior management's 'radar'.
Level 1	Individual departments have established local policies covering aspects of RM in response to local need and reflecting local circumstance (not generally publicly available).
Level 2	Moves afoot to draft and agree the required elements of an RM policy for the entire SPCB. Discussions include input from across the SPCB at a managerial level as well as professional RM engagement.
Level 3	The required elements of the SPCB's RM policy has been endorsed by senior management and are widely available, either as a stand alone document or as part of other relevant policies. The policy(s) is also made publicly available to any interested parties via the Parliament's website.
Notes:	
Score:	R e d a c t e d

Statement B2

The policy should be kept up-to-date so that it reflects the current needs of the SPCB.

Level 0	No policy(s) to update.
Level 1	Updates tend to be unscheduled and sporadic and only occur when a particular event brings the issue to light or following the enthusiasm of an individual member of staff.
Level 2	The policy(s) is included amongst many others in periodic wide scale policy review initiatives.
Level 3	A review date is included within the new policy(s) to trigger a future review of the policy(s) after a stated period of time; or following a major organisational or technological change affecting its contents. A post-holder is identified as being responsible for enacting the review and any subsequent amendments.
Notes:	
Score:	R e d a c t e d

C	Keeping records to meet corporate requirements
	The SPCB will ensure it keeps the records it will need for business, regulatory, legal and accountability purposes.

Statement C1

The SPCB will decide – and staff must know – what records need to be created and kept to protect the interests of the organisation and its stakeholders.	
Level 0	No set rules exist. The identification and capture of business records is sporadic and down to the judgement and best efforts of individuals.
Level 1	Local rules are defined within some departments covering capture of the most important record series and defining responsibility for their capture. Such rules are uncoordinated and may be contradictory between local areas.
Level 2	Concerted efforts are underway to define business rules for identifying, capturing and managing records across the SPCB.
Level 3	Business rules are defined, agreed and enacted for all record series created across the SPCB. As a result the 'master copy' of each record has been identified and a responsible owner assigned. Procedures are in place to ensure records are managed according to these rules as part of 'business as usual'. For example the routine capture, weeding and central storage of a pre-defined set of project records as part or the project closure process. Attempts to tie the responsibility for creating records to specific posts underway.
Notes:	
Score:	R e d a c t e d

Statement C2

Managers of offices, programmes and projects should take responsibility for ensuring that the agreed records of the office, programme or project's work are kept and are available for corporate use.	
Level 0	Managers reluctant (or refuse) to acknowledge responsibility; either because of a lack of understanding of the issues and/or a mistaken belief that any such responsibilities lie elsewhere.
Level 1	Some managers aware of their responsibilities in this regard and have concerns regarding potential consequences but lack the knowledge and/or time to devise appropriate local strategies.
Level 2	Responsibility for ensuring appropriate RM controls is formally added to the job descriptions/list of responsibilities for all levels of junior, middle and senior management across all areas of the SPCB.
Level 3	Managers have a sound grasp of RM considerations and their particular relevance within their own specific area of control. Managers proactively consider the implications of change (e.g. the introduction of new technology) on their areas ability to fulfil their required RM responsibilities and seek to initiate appropriate local strategies in response (e.g. issuing guidance defining when the use of Instant Messenger is or isn't appropriate for conducting operational business).
Notes:	
Score:	R e d a c t e d

C	Keeping records to meet corporate requirements
	The SPCB will ensure it keeps the records it will need for business, regulatory, legal and accountability purposes.

Statement C3

The SPCB will ensure that those records identified as being required to protect the interests of the organisation and its stakeholders are captured and kept appropriately to ensure they meet appropriate standards of usability, reliability, integrity and authority.

Level 0	No minimum 'quality standards' regarding the records usability, reliability, integrity or authority have been determined and consequently no measures are in place to ensure they are met.
Level 1	Procedures and business rules exist within some departments but relate only to a limited number of specific records of high importance (e.g. finance records).
Level 2	Business rules exist for all record series across the SPCB. These include attempts to identify the 'single source of truth', who owns it and how it should be managed throughout its lifecycle. Work is also underway to achieve a degree of standardisation in areas such as file naming and record titling.
Level 3	Where possible agreed business rules aimed at ensuring the quality of records are applied 'automatically' (e.g. record keeping systems which automatically capture copies of records after pre-defined events have taken place). All staff are provided with instruction regarding general responsibilities for record capture as part of regular IT or operational training. Business rules and guidance ensures that any remaining ephemeral information is routinely discarded after an appropriate period.
Notes:	
Score:	R e d a c t e d

Records Management Maturity Model Road Map
End Phase 2

D	Records systems
	The SPCB will keep records in systems that enable records to be stored and retrieved as necessary.

Statement D1

Records systems should be designed to meet the SPCB's operational needs and using them should be an integral part of business operations and processes. They should be easy to understand and use, enable easy retrieval of information and set up in a way that enables routine RM processes to take place. Records systems should enable the context of each record and its relationship to other records to be understood (e.g. through classification in a file plan and/or through the application of appropriate metadata) and for groups of like records to be managed together. Record systems should produce an audit trail recording all actions performed on its contents.

Level 0	Systems do not have the capacity to manage information as records. Systems holding records are (instead) either chosen for their operational functionality or on other grounds (e.g. cost, ubiquity etc). As a result the records they contain are poorly and inconsistently managed with little chance of improvement within the constraints of the existing systems.
Level 1	Local attempts to reconfigure existing systems or discover ways of better using existing systems to improve the management of records. For example improving the naming of files within a shared drive or devising an agreed metadata schema. These systems tend to be 'stand alone' applications, accessed and used by a limited number of staff and not integrated into regular business processes.
Level 2	Work is underway to define SPCB-wide standards to govern the arrangement, description and capture of records, for example by establishing a business classification scheme and file plan. Plans are underway to implement SPCB-wide systems based on these standards and for them to be accessible by all those with a need to use them.
Level 3	The SPCB has an integrated suite of record systems, all subject to the same management controls and all based on the same, shared corporate standards. These systems include both structured and unstructured data, are accessible by all those who need to use them and are fully integrated into the business processes they support. Any proposed new systems must demonstrate how they will integrate into this suite before being considered.
Notes:	
Score:	R e d a c t e d

Statement D2

Record systems should provide secure storage to the level of protection required by the nature, contents and value of the information in them and should protect records in digital systems from accidental or unauthorised alteration, copying, movement or deletion.

Level 0	Systems have no or just simple, single-level authentication only, with no multi-level access rights. Once within the system each user can see and do as they wish.
Level 1	Local departments have identified what they consider to be the most sensitive/confidential records and implemented the best level of protection that current systems can provide. Levels of protection and control vary dependent on the attitudes of individual staff members and the functionality of the systems in question.
Level 2	A concerted effort is underway to understand the nature of the records held and the level of security, access and control they must be subject to. Any systems not considered to be offering an appropriate level of protection are flagged for rapid modification/replacement.
Level 3	Access to all record systems is closely controlled, with users only having access to the records they need as part of their role and with all user behaviour within systems monitored and security breaches flagged to the administrator. Non-reversible actions (e.g. record deletion) can only be performed by a small number of administrators and are impossible to undertake accidently.
Notes:	Systems used to manage information as records have limited access rights and control. Users can see and do as they wish.
Score:	R e d a c t e d

D	Records systems
	The SPCB will keep records in systems that enable records to be stored and retrieved as necessary.

Statement D3

Records systems should be documented to facilitate staff training, maintenance of the system and its reconstruction in the event of an emergency.	
Level 0	Documentation relating to records systems is incomplete and difficult/impossible to locate.
Level 1	Some local record systems have a limited amount of 'official' documentation, but often not complete, up to date or centrally accessible. New users are left to 'pick up' the system themselves after limited, informal training.
Level 2	All documentation on existing systems located and brought under central management. Handbooks, FAQs and help sheets are made available to relevant staff.
Level 3	All record systems fully documented with relevant documentation managed centrally and copies of key system descriptions stored separately alongside other disaster recovery records. A range of audience-specific guidance is created and regularly updated for administrators and users to consult.
Notes:	
Score:	R e d a c t e d

Statement D4

Record systems should enable the closure of folders, files and similar records at an appropriate time according to the specific nature and function of the records in question and should be supported by processes designed to identify and act upon such triggers for closure.	
Level 0	No facility to 'close' records within record systems which consequently remain 'live' until removed from the system (or the withdrawal of the system).
Level 1	Closure of records within local systems requires significant manual intervention and is reliant on staff remembering to do it – if and when informed that the trigger-event has occurred.
Level 2	All records requiring event/time based closure have been identified. Trigger events/periods are mapped for all records and have been agreed but applying them is still a 'manual' and sporadic process.
Level 3	All record systems can automatically close records based on agreed, pre-defined triggers. There are clear lines of communication to inform all relevant systems when a closure trigger has occurred and, where possible, record actions occur automatically within systems when triggered. For example: records pertaining to a member of staff held in the HR, payroll and local administrative systems are all automatically updated and closed when their contract of employment is terminated.
Notes:	
Score:	R e d a c t e d

E	Storage and maintenance of records
	The SPCB will know what records it holds and where they are, and should ensure that they remain usable for as long as they are required.

Statement E1

The SPCB will gather and maintain data on the records and information assets its holds and will consider publishing the details of types of record it holds to help members of the public planning to make a request for information under the Freedom of Information (Scotland) Act.	
Level 0	Staff know about records they use in their daily work but have neither knowledge of - nor interest in - other records, including older ones.
Level 1	Staff know what information is held within their local area through a combination of tacit knowledge and some limited local registers but no central registers exist.
Level 2	An information audit is carried out to identify the location of all records and information assets. The depth of detail documented varies according to the perceived importance/relevance of the records audited.
Level 3	The information audit is used to compile a central register of record types, their content and location, an edited summary of which is publicly available via the website. The register is constantly updated with clear lines of communication established with all departments to inform future updates.
Notes:	
Score:	R e d a c t e d

Statement E2

Storage facilities for records should provide protection to the level required by the nature, contents and value of the information in them and be appropriate for their level of use.	
Level 0	Records are stored wherever there happens to be spare available space with little or no regard for the nature of the records in question or the suitability of the storage environment.
Level 1	Local arrangements in place to ensure that all sensitive or confidential records (based on local interpretation) are stored securely in restricted electronic areas, locked cupboards, filing cabinets or rooms.
Level 2	Official, purpose-equipped record storage facilities established across the SPCB for the long term/permanent storage of records held in all formats.
Level 3	All staff have access to lockable storage areas for current records and clear desk policies are enforced in all areas. All official record storage facilities are safe, clean and secure, make maximum use of the available space and provide appropriate environmental conditions for the long term/permanent storage of the media in question.
Notes:	
Score:	R e d a c t e d

Statement E3

The whereabouts of records should be known at all times and movement of files and other physical records between storage areas and office areas should be logged.	
Level 0	Staff are free to access and 'borrow' records at will and regularly remove them from the building/site for remote use.
Level 1	Some local areas operate an 'honesty system' requiring people to 'sign out' records they borrow on a self-service basis.
Level 2	Policies agreed governing which records are/are not suitable for removal from defined storage areas. Access to these records is controlled and subject to standardised logging processes.
Level 3	Procedures control when, how and by whom certain record types (e.g. those containing personal data) can be moved.
Notes:	
Score:	R e d a c t e d

Records Management Maturity Model Road Map
End Phase 2

E	Storage and maintenance of records
	The SPCB will know what records it holds and where they are, and should ensure that they remain usable for as long as they are required.

Statement E4

Records should remain usable for as long as they are required. The SPCB should put in place a strategy for the continued maintenance of records stored in digital systems and regularly inspect vulnerable paper files (e.g. early photocopies).	
Level 0	No preservation strategy or measures are in place. Records have become unrecoverable as technology changes or storage media degrade.
Level 1	Local offices have undertaken 'emergency' remedial activities to recover records in danger of being permanently lost.
Level 2	The SPCB is aware of which digital records are at risk and is working proactively towards ensuring their preservation through a combination of practical measures coordinated by a comprehensive policy framework.
Level 3	A comprehensive preservation strategy is in place devised and managed by both IT and RM staff. The strategy provides for the maintenance/updating of the storage media and migration of the software format within which the information and metadata are held, and for regular monitoring of integrity and usability. Preservation issues are raised and addressed as part of each new system selection and implementation. For example: ensuring the successful migration from the existing system to its replacement.
Notes:	
Score:	R e d a c t e d

Statement E5

Business continuity plans should identify and safeguard records considered vital to the organisation and backup copies of records in digital systems should be kept and stored securely in a separate location.	
Level 0	Business continuity plans either do not exist or do not identify vital records.
Level 1	Offices have formulated their own business continuity plans in which they have attempted to identify what they consider to be their 'vital records'. No central coordination or join-up between local areas evident.
Level 2	A central register of vital records exists and is actively maintained. Copies of vital records are taken according to a planned schedule and stored remotely. All records stored in digital systems are similarly backed up with copies stored and readily accessible from an offsite location(s).
Level 3	Vital records and other back ups are checked regularly to ensure that the storage medium has not degraded and the information remains intact and capable of being restored to operational use. Backups should be managed in a way that enables disposal decisions to be applied securely without compromising the SPCB's capacity to recover from system failures and major disasters
Notes:	
Score:	R e d a c t e d

Statement E6

Metadata for records in any format should be kept in such a way that it remains reliable and accessible for as long as it is required, which will be at least for the life of the records.	
Level 0	No (or very limited) metadata is associated to the majority of records held by the SPCB.
Level 1	The degree to which metadata is captured and retained is wholly dependent upon the functionality of individual local systems employed. The peculiarities of individual systems make the application of common metadata standards difficult to achieve.
Level 2	Common metadata standards agreed for all record keeping systems across the SPCB specifying capture, format and retention.
Level 3	Metadata for digital systems stored in XML or other 'open formats' to facilitate long term preservation. It is possible to retain metadata even after the deletion of the records to which it pertains (as proof that the record in question once existed even after its deletion). All proposed new systems must prove that they are able to adhere to agreed standards as part of the system selection process.
Notes:	
Score:	R e d a c t e d

F	Security & access
	The SPCB will ensure that records are stored securely and that access to them is controlled.

Statement F1

The SPCB will ensure that their storage arrangements, handling procedures and arrangements for transmission of records (particularly outside of the SPCB's premises) reflect accepted standards and good practice in information security.	
Level 0	Record storage is primarily ad hoc and unmanaged. There are few controls on access and staff are largely free to move or distribute records as they see fit.
Level 1	Local departments are introducing 'clear desk policies', controlling the use of USB storage devices and are taking other practical measures to improve information security within their areas.
Level 2	An information security policy is agreed for the SPCB which covers the storage, handling and transmission of records (in both paper and electronic form).
Level 3	SPCB-wide guidance on the storage and transmission of information introduced. Procedures for assessing the risk associated with data transfer and accompanying approval processes agreed. A range of information transfer mechanisms/media available appropriate for different levels of security (e.g. encryption, courier services, password protected USB drives etc).
Notes:	
Score:	R e d a c t e d

Statement F2

Access restrictions should be applied when necessary to protect the information concerned and should be kept up to date with external access being provided in accordance with relevant legislation.	
Level 0	No consistent control of access to records with staff able to access confidential/sensitive records and a general (mistaken) belief that the public have little or no right of access to records held.
Level 1	Records stored on local shared drives rely on standard Windows access restrictions for rudimentary access control. Little standardisation within or between local departments as to what records should have their access restricted and to whom.
Level 2	Information audit has identified sources of personal and confidential information across the SPCB. A standard range of security and access levels is agreed and implemented across the SPCB Procedures for handling FOI/EIR/Data protection requests are established.
Level 3	Access restrictions and controls applied consistently across all record keeping systems. A post/team within the SPCB have responsibility for either overseeing or actively applying and maintaining access restrictions and for considering requests for information received from outside the SPCB.
Notes:	
Score:	R e d a c t e d

G	Disposal of records
	The SPCB will define how long it needs to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.

Statement G1

Records should not be kept after they have ceased to be of use to the SPCB unless they are known to be the subject of litigation or a request for information; or they have long-term value for historical or other research purposes.	
Level 0	Records are kept without rationale or control. The SPCB retains large volumes of records in both paper and electronic format without justification.
Level 1	Local pressure on space and/or the problems caused by legacy data during system change leads to sporadic 'clear out exercises'. General confusion and inconsistency regarding what to keep/remove.
Level 2	A corporate retention/retention schedule is defined. Each department has access to the guidance for the functions within their area and uses it to inform regular disposal actions.
Level 3	Disposal actions within record systems are triggered automatically and relevant records flagged for review/disposal. There is an established approval process for agreeing disposal actions. There are procedures in place for notifying all relevant areas/systems to suspend scheduled disposal actions on selected records until further notice if required as a result of litigation or ongoing FOI requests.
Notes:	No records management system is in place.
Score:	R e d a c t e d

Statement G2

Disposal of records should be undertaken only in accordance with clearly established policies incuding: a) An overall policy, stating in broad terms the types of records likely to be selected for permanent preservation; and b) retention schedules which identify and describe records to which a re-defined disposal action can be applied.	
Level 0	In the absence of guidance, policies or controls the disposal of records is unmanaged and left to the judgement of individuals.
Level 1	Some local departments have developed their own formal or informal rules regarding how long certain key records should be kept for operational purposes. Interpretation and application of local rules often left to individuals and inconsistently applied both within and between areas.
Level 2	Information audit carried out to identify records required for permanent preservation and to inform a future retention schedule.
Level 3	Preservation policy and retention schedules reflect the SPCB's continuing need for access to the information or the potential value of the records for historical or other research. These are based on consultation between records management staff, staff of the relevant business unit and, where appropriate, others such as legal advisers, archivists or external experts and have been formally adopted by the SPCB. These policies and schedules are applied by properly authorised staff as part of routine 'business as normal' and take account of security and confidentiality needs.
Notes:	
Score:	R e d a c t e d

G	Disposal of records
	The SPCB will define how long it needs to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.

Statement G3

Retention schedules should contain sufficient details about the records to enable the records to be easily identified and the disposal action applied to them on a routine and timely basis. Retention schedules should be kept up to date. Retention schedules and disposal decisions should be implemented by properly authorised staff and should take account of variations caused by, for example, outstanding requests for information or litigation.

Level 0	No retention schedules in place.
Level 1	Retention schedules or similar do exist in some local departments. However, these were often produced some time ago and/or reflect generic models which have been unaltered for the SPCB's specific circumstances. As a consequence their accuracy, currency and reliability is not always certain. Staff are encouraged to consult these sources but are then largely left on their own to carry them out.
Level 2	A concerted attempt to produce consistent and authoritative retention schedules for each function or office within the SPCB has been undertaken. These schedules are informed by established good practice and/or generic models but have been modified significantly to reflect the specific needs of the SPCB. The schedules are reviewed and updated regularly.
Level 3	A recognised team/post has responsibility for updating the schedules and for coordinating the actions they mandate. Support is provided to local staff when it comes to taking disposal actions, which are scheduled on a frequent basis. Communication channels and procedures are in place for coordinating retention actions across the SPCB and for preventing the destruction of records which are the subject of outstanding requests for formation or litigation. In addition to regular scheduled updates there are mechanisms in place to identify and act on changes required as a result of changing circumstances.
Notes:	
Score:	R e d a c t e d

Statement G4

If any records are not included in retention schedules, arrangements should be made to review them and decide whether they can be destroyed or should be selected for permanent preservation.

Level 0	No retention schedules in place nor special arrangements to help fill the void.
Level 1	Some local guidance exists within departments intended to aid the decision making process where no formal schedule exists. For example: generic criteria on what kinds of records are routinely kept within that area. This is largely on a 'best efforts' basis and without professional input.
Level 2	Consistent guidance issued across the SPCB from the team/post with recognised authority in this area. This includes information on how to identify records of historic value and guidance to aid decision-making when it comes to what records should be retained/destroyed.
Level 3	Decisions of this nature are documented and kept to provide evidence of which records have been identified for destruction, when the decision was made, and the reasons for the decision, where this is not apparent from the overall policy.
Notes:	
Score:	R e d a c t e d

G	Disposal of records
	The SPCB will define how long it needs to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.

Statement G5

All copies of records scheduled for destruction should be destroyed in as secure a manner as required by the level of confidentiality or security markings they bear, regardless of whether destruction is carried out 'in house' or by external contractor.	
Level 0	Destruction activity often leaves multiple copies behind. Most items disposed of are added to the regular recycle or waste paper bin. Apparently deleted digital records remain stored in 'Recycle bins' and on various removable storage media and backup facilities.
Level 1	Staff given (limited) instruction on what constitutes personal and/or confidential information and how to dispose of it appropriately within their area.
Level 2	Definitions of personal and confidential information agreed and understood across the SPCB and used to inform the correct method for the disposal of information. Measures in place to ensure the total and irrevocable deletion of data stored on PCs and other digital media.
Level 3	The SPCB moves towards achieving a 'Single Source of Truth' for information stored, facilitating the total deletion of records due for destruction. Contractual agreements in place with commercial storage providers and/or shared service providers to ensure the secure and appropriate destruction of records held elsewhere.
Notes:	
Score:	R e d a c t e d

Statement G6

Details of destruction of records should be kept, either as part of the audit trail metadata or separately.	
Level 0	No record of destroyed records is retained.
Level 1	Simple (and partial) lists kept locally of records destroyed and the circumstances, but with little consistency regarding information captured and with significant gaps in coverage.
Level 2	An agreed set of metadata is defined as being required for every record destroyed. This will be enough to identify the subject matter of the document, its date, when and why it was destroyed and under whose authority.
Level 3	Procedures exist for ensuring that some evidence of destruction is kept indefinitely because the previous existence of records may be relevant information. Such evidence is stored in formats which help facilitate their long term/permanent preservation.
Notes:	
Score:	R e d a c t e d

G	Disposal of records
	The SPCB will define how long it needs to keep particular records, should dispose of them when they are no longer needed and should be able to explain why records are no longer held.

Statement G7

Records selected for permanent preservation and no longer required by the SPCB will be transferred to the National Archives of Scotland (NAS).	
Level 0	Records with historic value are not routinely identified and are kept in situ - or moved to cheaper, less suitable storage (e.g. a basement or garage).
Level 1	Local departments create their own unofficial 'archives' to house records they consider to have enduring value. Selection criteria and storage conditions are on a 'best efforts' basis and vary considerably.
Level 2	A central archive service is established for the SPCB as the official place of deposit for its historic records and any special collections it may own. Awareness of the service and its remit is patchy, as is knowledge of what constitutes an archival record. The transfer of records to the archive is sporadic and often in response to local need (e.g. after the retirement of a member of staff or the relocation of an office).
Level 3	Transfer of archival records to NAS takes place in an orderly (and wherever possible pre-scheduled) manner and with a level of security appropriate to the confidentiality of the records. The archive facility is managed by appropriately trained staff and all new records received are catalogued and stored appropriately with records being made available upon request in a secure and controlled manner.
Notes:	
Score:	R e d a c t e d

H	Records created in the course of collaborative working or through out-sourcing
	The SPCB will ensure that records shared with other bodies or held on their behalf by other bodies are managed in accordance with recognised standards, legislation and guidance issued by The National Archives of Scotland.

Statement H1

Records management controls should be applied to information being shared with or passed to other bodies or being held by another organisation on the SPCB's behalf.	
Level 0	Records are passed freely and without restraint or control to other organisations as required by the work in hand.
Level 1	Lack of centralised guidance leaves individual staff members to make their own assessment of the appropriateness of data transfer. Some local agreements to mitigate risk (e.g. only using reputable, quality-assured commercial storage companies).
Level 2	The SPCB knows what information is being shared with whom. Generic 'data sharing' and 'data processor' agreements have been agreed and are used as part of the contractual agreement with all new and current partners.
Level 3	In addition to a robust contractual framework the SPCB is able to actively control the management of the records it owns, but does not hold as if they were in their actual possession. For example, ensuring a consistency of security and access and applying retention and disposal actions even when stored offsite.
Notes:	
Score:	R e d a c t e d

Statement H2

When working in partnership with other organisations which includes sharing information and contributing to joint records systems, the SPCB will ensure that all participating staff are aware of the records management implications and that all parties agree protocols that specify: a) What information should be contributed and kept and by whom; b) What level of information security should be applied; c) Who should have access to the records; d) What disposal arrangements should be in place; and e) Which body holds the information for the purposes of the Act.	
Level 0	No agreements or protocols regarding the management of records are agreed as part of partnership arrangements. Little or no awareness of the issues amongst project staff.
Level 1	Lack of central guidance tends to limit project teams contributions to being purely reactive: happy to acknowledge the issues and abide by any agreements imposed by partners; but less able to comment on the appropriateness of what has been suggested or to contribute measures of their own.
Level 2	The SPCB has established a default set of management controls to be adopted by all staff when exchanging records with project partners and to be agreed as part of the partnership agreement (e.g. defining ownership, stating minimum storage requirements and securing their assistance when responding to FOI requests for data held by them etc).
Level 3	In addition to the agreed management controls project staff have access to expert records management guidance and advice to enable them to discuss and resolve specific issues relevant to their proposed project. Responsibility for records management is defined as a core element of the role of the project manager and forms part of the quality assurance checks within the standard project management processes.
Notes:	
Score:	R e d a c t e d

Records Management Maturity Model Road Map
End Phase 2

I	Monitoring and reporting on records management
	The SPCB will monitor compliance with recognised standards, legislation and guidance issued by NAS and assess the overall effectiveness of the programme.

Statement I1

The SPCB will identify performance measures that reflect their information needs and put in place the means by which performance can be measured. Monitoring should be undertaken on a regular basis and the results reported to the person with lead responsibility for records management so that risks can be assessed and appropriate action taken.	
Level 0	No performance measures for records management identified.
Level 1	Some local management teams have set targets and review points for the records management initiatives they are carrying out within their area based only on local priorities.
Level 2	A range of Key Performance Indicators (KPIs) relating to the main objectives of the SPCB's records management programme have been agreed. These are in tune with the SPCB's overall strategic objectives.
Level 3	Records management KPIs form part of the SPCB's overall performance measurement procedures. Performance against these KPIs is monitored regularly and the results (plus underlying real-time data) is communicated to senior management via an information 'dashboard'.
Notes:	
Score:	R e d a c t e d