



The National Archives

Applying the FOI records management code

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The National Archives



Overview of presentation

What? Good practice

Why? Compliance, accountability, risk

How? Next steps



**Why? Compliance,
accountability, risk**



Compliance with information legislation

Freedom of Information Act
2000

Data Protection Act 1998

Environmental Information
Regulations 2004

Public Records
Acts

Re-use of Public Sector
Information Regulations
2005



Records management implications

- Know what information you have, where it is, why you have it and the basis on which you acquired it
- Know how long you need to keep it – manage review and disposal
- Store it securely and ensure it remains accessible for as long as you need it
- Know who has a right to see it and control access to it
- Keep records of request-handling to ensure fair and consistent handling and enable you to deal with complaints and appeals



Accountability and records management

- Accountability depends on evidence
- Evidence depends on records
- But:
 - Are they comprehensive?
 - Are they reliable?
 - Are they accessible?



Risks of poor records management

- Non-compliance – missed deadlines, complaints
- Culture problems – staff don't bother to keep good records
- Unnecessary costs because information is not there when needed, or difficult to find
- Unreliable information for business or accountability use
- Critical information is not kept, cannot be found when needed, cannot be read or has been destroyed
- 'Sensitive' information disclosed
- ALL LEADING TO reputational damage and loss of public trust as well as operational problems



Benefits of good records management

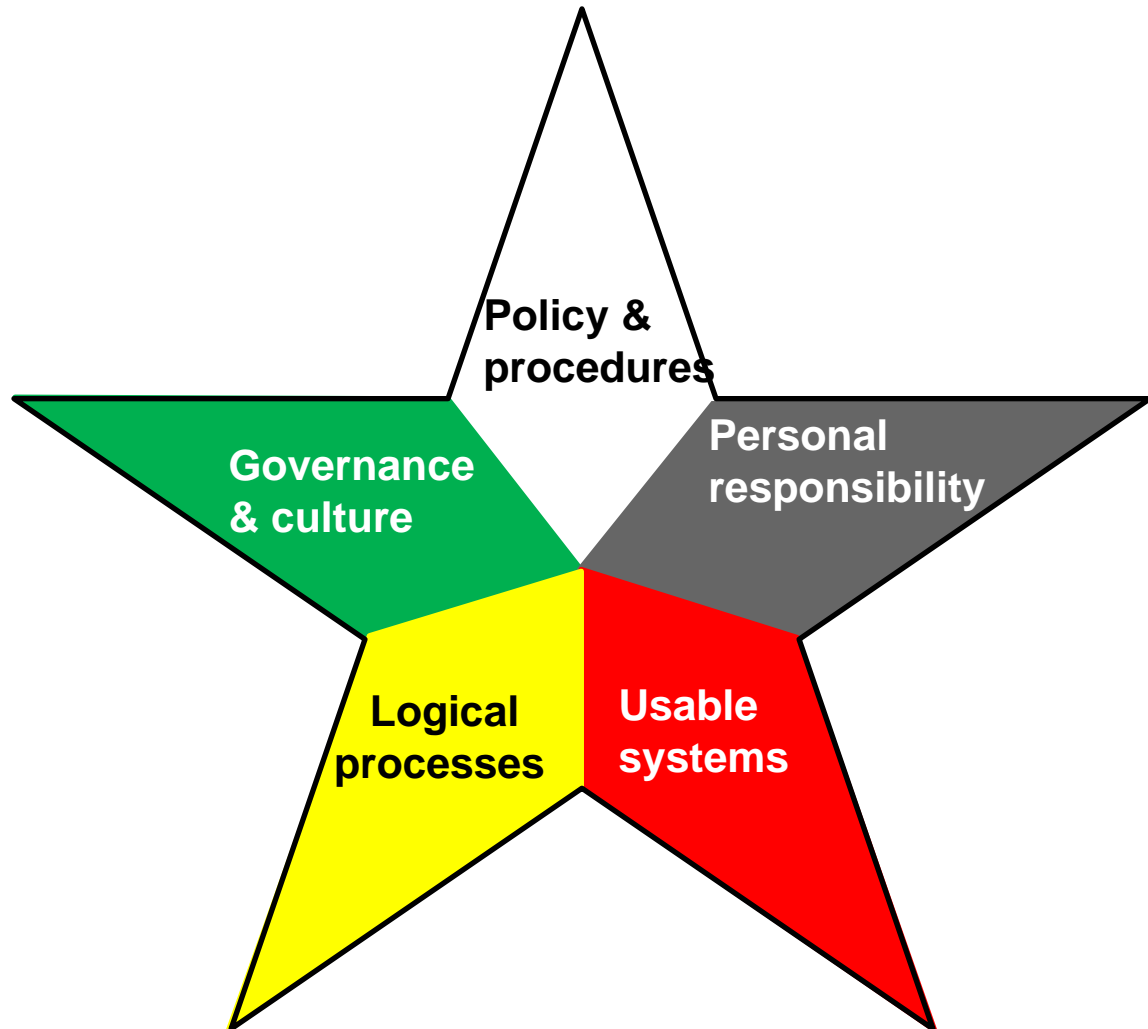
- Meet business needs - the right information is available to the right people at the right time and can be relied upon and used
- Efficiency – keeping what is needed, no more no less
- Accessibility – finding and using reliable information
- Consistent services – policies, precedents and previous dealings can be checked
- Accountability – the evidence can be produced
- Technology – used to improve conduct of business
- ALL LEADING TO good image and greater public trust



**What? Good
practice**

Good practice

- Governance & culture
- Policy & procedures
- Personal responsibility
- Usable systems
- Logical processes





FOIA section 46

“The Lord Chancellor shall issue, and may from time to time revise, a code of practice providing guidance to relevant authorities as to the practice which it would, in his opinion, be desirable for them to follow in connection with the keeping, management and destruction of their records.”

Code issued November 2002, re-issued July 2009 -

<http://www.justice.gov.uk/guidance/docs/foi-section-46-code-of-practice.pdf>



FOIA s 46 code pt 1 – good practice elements

1. Organisational arrangements to support records management
2. Records management policy
3. Keep records needed for business, regulatory, legal and accountability purposes
4. Systems enabling storage and retrieval
5. Know what is held and where and keep it usable
6. Secure storage and controlled access
7. Disposal arrangements
8. Cover records from collaborative working and out-sourcing
9. Monitor compliance and effectiveness



How? Next steps



Step 1 – Assessment

- Top level assessment

JISC records & information management maturity model – see

<http://www.jiscinfonet.ac.uk/records-management/measuring-impact/maturity-model>

Knowledge Council KIM maturity model

- Belly of the beast assessment:

TNA self-assessment tool – see

<http://www.nationalarchives.gov.uk/recordsmanagement/assessing-rm-public-authorities.htm>



JISC Maturity Model - example

A Organisational arrangements to support records management

Institutions should have in place organisational arrangements that support records management.

Statement A1

RM is recognised as a core corporate function with, a governance framework which defines roles and responsibilities at both a strategic and operational level. RM issues are an established element of the corporate risk management framework.

| | |
|---------|---|
| Level 0 | Responsibility for RM is not defined or allocated within the institution and is not considered as part of its strategic planning processes. |
| Level 1 | Various departmental/faculty staff given nominal operational responsibility for addressing specific local RM-related issues alongside their existing role. |
| Level 2 | Departmental/faculty 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 institution 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 institutional management at all levels are aware that they are directly responsible for ensuring recordkeeping standards within their areas. |
| Notes: | |
| Score: | Select level from list |



TNA - Snapshot of risk assessment

TNA

Self Assessment Questionnaire for compliance with the revised Records Management Code of Practice

Result charts

(Organisation/Division/Date are derived from your entries in the Contacts section of the Questionnaire)



Organisation: The National Archives

Division/branch: Archives Sector Development

Date: 40239

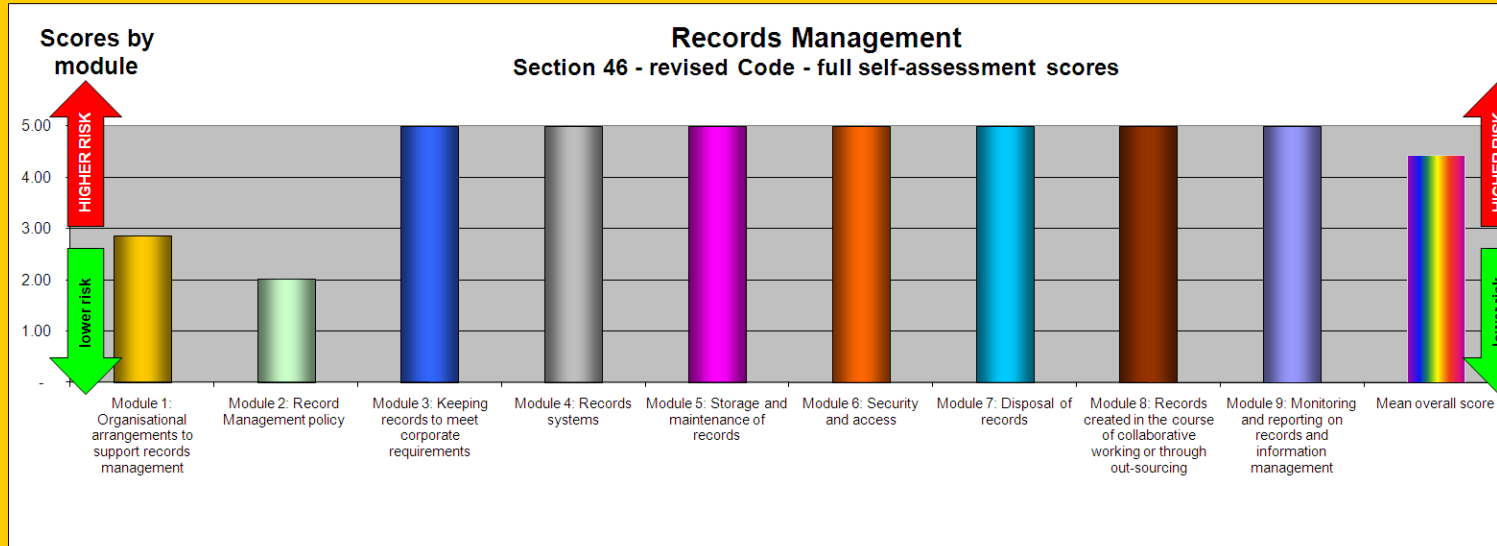


CHART LEGEND

- Module 1: Organisational arrangements to support records management
- Module 2: Record Management policy
- Module 3: Keeping records to meet corporate requirements
- Module 4: Records systems
- Module 5: Storage and maintenance of records
- Module 6: Security and access
- Module 7: Disposal of records
- Module 8: Records created in the course of collaborative working or through out-sourcing
- Module 9: Monitoring and reporting on records and information management

SKIP to Questionnaire

SKIP to Guidance

Results (weighted)

| Workbook section # | Workbook section name | Average score per Module |
|--------------------|--|--------------------------|
| 1 | Module 1: Organisational arrangements to support records management | 2.87 |
| 2 | Module 2: Record Management policy | 2.02 |
| 3 | Module 3: Keeping records to meet corporate requirements | 5.00 |
| 4 | Module 4: Records systems | 5.00 |
| 5 | Module 5: Storage and maintenance of records | 5.00 |
| 6 | Module 6: Security and access | 5.00 |
| 7 | Module 7: Disposal of records | 5.00 |
| 8 | Module 8: Records created in the course of collaborative working or through out-sourcing | 5.00 |
| 9 | Module 9: Monitoring and reporting on records and information management | 5.00 |
| | Mean overall score | 4.43 |

Questions not answered (displaying "Please select") = 228 of 307 questions

SCORE LEGEND

- RED for HIGHER RISK
- AMBER for Medium Risk
- GREEN for low risk



Step 2 – Plan remedial action if required

- Prioritise
- Get senior level support
- Align to the organisation's culture
- Use existing and forthcoming guidance

<http://www.nationalarchives.gov.uk/recordsmanagement/rm-implementation-guides.htm>



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nationalarchives.gov.uk