

TRAFFORD COUNCIL

Report to: Accounts and Audit Committee
Date: 20 November 2013
Report for: Information
Report of: Records and Information Systems Manager

Report Title

Annual Governance Statement 2012/13 – update on significant governance issue : Records and Information Management

Summary

<p>This brief report provides an extract from the 2012/13 Annual Governance Statement outlining one of the significant governance issues identified for further development through 2013/14 i.e. Records and Information Management.</p>

<p>It includes a brief update on work undertaken to date and further work planned in respect of this issue which will be referred to by the Records and Information Manager at the Committee meeting.</p>

Recommendation

<p>The Accounts and Audit Committee is asked to note the report for information which the Records and Information Systems Manager will make reference to when attending the Committee to update members on the current position.</p>

Contact person for access to background papers and further information:

Name: Paula Titterington – Records and Information Manager
Extension: 3212

Background Papers:

2012/13 Annual Governance Statement

Annual Governance 2012/13 Statement – Significant Governance Issue : Records and Information Management

1. Introduction

Detailed below is an extract from the 2012/13 Annual Governance Statement followed by a brief update on actual progress made to date in respect of records and information management.

2. Annual Governance Statement 2012/13 Extract

The following detail was included in sections 5.3 and 5.4 of Trafford Council's 2012/13 Annual Governance Statement :

The Council is committed to achieving its objectives through good governance and continuous improvement. Going forward, the Council will continue to transform service delivery arrangements, to ensure the Council effectively delivers its objectives and manages its resources to meet the ongoing financial challenges being faced.

Detailed below are significant governance issues and a summary of the actions planned to address these in 2013/14.

2012/13 Issues and Action Planned 2013/14

1. Records Management

As part of the records management programme the Council tendered for an EDRMS solution but the initial solution identified was found not to meet the Council's requirements so the process of obtaining a suitable solution is still in progress.

This has not stopped the programme of works as work is continuing to improve business processes around managing the lifecycle of Trafford Council records, reviewing the current security model and implementing changes to meet 'best practice'. All work carried out to date on the cutover activities will be used in this next phase and therefore it has been a 'value added' activity as part of the journey to improve our records management practices.

The Information Security Governance group is now fully formed and a number of work streams are in progress including reviews of current policies and procedures, gap analysis, registration with ICT connections for working with Health teams plus a number of bespoke training packages to improve the education and understanding of employees regarding information security and information governance.

3. Updated position (November 2013)

Significant work took place during 2012/2013 to prepare teams for the cutover activities associated with the implementation of an Electronic Document and

Records Management solution (EDRMS). These activities included records and information management practices, policies and procedures and assistance with meeting legal and statutory obligations placed on the Council.

A procurement exercise was carried out and a supplier and solution was chosen to deliver the Council's requirements. A strict milestone payment regime was set to ensure that the Council had a solution delivered which was 'fit for purpose'. During the implementation phase the supplier was only able to reach milestone one as ICT carried out vigorous testing of the solution against criteria of Information Governance and the end user experience and concluded that the supplier was unable to deliver to the original requirements. Consequently, the contract was cancelled and all monies paid to date recovered.

Due to the delay of the project and the move back into the Town Hall imminent, the requirement to reduce the paper footprint was high on the agenda. Therefore, a digitisation project has taken place to scan all HR, Finance, Legal Services, and Children, Families and Wellbeing operational records and host these on a temporary platform with a plan to migrate these into the EDRMS. These records currently stand at 1.2 million.

In addition to the digitisation project the Council have secured a contract for offsite storage/retrieval and destruction of records that are no longer required for operational reasons but are required for legal or statutory obligations to be kept in accordance with the Council's Records Retention and Destruction Policies.

A new Project Executive has joined Trafford Council overseeing the CRM and EDRMS Projects. The current status of procuring a solution is at the Soft Market Testing Phase, where the Project Team have taken on board lessons learned from the previous project and are looking at the solutions available in the market place that will meet both the Council's technical and functional requirements. After which a procurement exercise will take place to re-tender for a partner to help us deliver a solution. There will be a staged delivery resulting in a softer rollout ensuring that teams gain the most benefit from the new improved processes that will be delivered by the EDRMS. The expected timeframe for the first implementations is May 2014.