



COUNCIL: 19 July 2017

---

**Report of: Borough Solicitor**

**Contact for further information: Mr T Broderick (Extn. 5001)**  
**(E-mail: [terry.broderick@westlancs.gov.uk](mailto:terry.broderick@westlancs.gov.uk))**

---

**SUBJECT: ELECTRONIC RECORDS STORAGE AND MANAGEMENT**

---

Borough-wide interest

### **1.0 PURPOSE**

1.1 To inform members of necessary work in relation to the Council's electronic records storage and management and seek additional resources to complete this.

### **2.0 RECOMMENDATIONS**

2.1 That the report be noted.

2.2 That the appointment of a temporary Data Access and Storage Governance Project Officer and relevant funding for the project as set out at paragraph 7 of the report be approved.

---

---

### **3.0 BACKGROUND**

3.1 The Council has had in place electronic storage of information for many years. The systems have evolved over time and support business processes in nearly all functional areas of the Council. The structuring of this storage, and the processes which surround its use and access need to be carefully managed to improve efficiency and meet information governance requirements.

3.2 Currently there is no corporate document storage solution. Services may use the Council's network for storage, while some service areas make use of software storage facilities within applications, such as case management systems, for some or all of their information.

- 3.3 The Council has in place governance arrangements relating to the storage of information in several policy documents. These include:
- ICT and Data Security Policy;
  - Retention and Disposal Schedule;
  - Corporate Catalogue;
  - Data Quality Policy;
  - Data Protection Policy.

The policy framework is supplemented by the ICT Strategy and Senior Information Risk Owner (SIRO) arrangements. At present the development and management of storage is governed within each service, guided through these support mechanisms (policies and arrangements).

#### **4.0 ISSUES**

- 4.1 Recent officer work and a move to new server arrangements has highlighted the need to review, on a corporate basis, the electronic storage of information. This requirement was cited in the Council's Annual Governance Statement and by the SIRO Annual Governance Statement, as previously reported to Audit and Governance Committee.
- 4.2 There are large volumes of information held electronically. The systems of storage and procedures for use and access around these are not standardised on a corporate basis. The Council has a diverse range of functions and currently there is no corporate solution for document management in use. Ahead of any future consideration of this, there remains a need to conduct a coordinated corporate review of electronic storage, to ensure that there is a standardised approach to the management of the Council's electronic information and to demonstrate compliance with data management requirements within all areas. An action plan is in preparation although this can only be implemented with the identification of suitable resource.
- 4.3 Implementation of the review will assist in driving business efficiency and further improve governance arrangements.

#### **5.0 INITIAL STEPS**

- 5.1 Officers have put a project group in place: Digital Data Information Governance Group (DDIGP). This has a vision to provide a structured facility for storage of Council electronic records, facilitating business delivery and compliance with all relevant governance requirements.
- 5.2 A work plan has been developed and this is to be updated into an action plan for delivery.
- 5.3 A revised structure for the storage and access permissions on the Council's network has been developed in consultation with BTLS.

- 5.4 An improved process for "starters" and "leavers" is being produced to assist the Council's requirements for administering appropriate electronic access to systems and hardware and cessation of this access on leaving/moving.

## **6.0 FURTHER WORK**

- 6.1 A staff resource (see s.7.0 below) is required to assist officers in Services to review storage within their areas. This will require bespoke structuring of records founded upon corporate standards. The officer resource would be guided by the DDIGP and work in conjunction with Heads of Service.
- 6.2 The work will implement an improvement programme across all services, developing the infrastructure underpinning storage systematically and prioritising service areas with the most pressing need .The officer will be working across services to restrict future budget requirements.
- 6.3 A job description for the role has been prepared and a job evaluation exercise undertaken. The role is proposed to be undertaken on a temporary basis, for two years from appointment.
- 6.4 A secondary role for the post holder will be to facilitate progression of the delivery of the General Data Protection Regulation (GDPR), liaising between services reviewed and officers responsible for implementing the requirements of GDPR.

## **7.0 FINANCIAL AND RESOURCE IMPLICATIONS**

- 7.1 Progress in relation to the necessary work is subject to the approval of the resource provided by the temporary appointment. Officers supporting that role through a Project Board will be limited to existing resources which have to date been stretched in moving forward delivery of this initiative. The officer cost would be set at PO2, equating to £45K per annum (including on costs), funded from the Major Projects Reserve.
- 7.2 There are costs of the technical aspects of implementation of the proposals to be charged by BTLS. These are not identified at this time but shall not exceed £10K. These would cover additional work in revising file structures and permissions; support to the new starters, leavers and movers procedure for identified operational needs and tasks ancillary to the project. Again it is proposed that this be funded from the Major Projects Reserve. Other costs are projected to be met from within existing budgets.
- 7.3 Moving forward, the project will produce a more coherent corporate structure for electronic records and will ensure there is a reduction in the need for storage, thereby containing costs and improve overall governance of records.

## **8.0 RISK ASSESSMENT**

- 8.1 The electronic storage of records has been highlighted as a matter requiring attention in the Council's Annual Governance Statements for 2016-17, as

noted. Subject to approval, an action plan is to be created and implemented to improve governance and to ensure continuing compliance with legislation and Council policy. This will be monitored as part of the project and entries in the Council's risk register will be reviewed / augmented and updated as the project progresses.

---

---

### **Background Documents**

There are no background documents (as defined in Section 100D (5) of the Local Government Act 1972) to this Report.

### **Equality Impact Assessment**

The decision does not have any direct impact on members of the public, employees, elected members and / or stakeholders. Therefore no Equality Impact Assessment is required.

### **Appendices**

None