

## Retention Project

### Document History and Change Control

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Revision Date	Previous Revision	Summary of Changes

### Approvals

Name	Title	Date of Issue	Version
	Programme Manager		
Malcolm Schaffer	Project Sponsor		
Marny Jackson	Project Manager		

### Related Documents

Reference	Author	Name & Location	Version

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## 1. Background and Business Need

The Retention Project is one of a number of projects which will come under the auspices of the Benefits Realisation Programme.

This Project Plan sets out the purpose of the Project - the project aims, scope, priorities, approach and resources along with its key dependencies.

The main focus of the Retention Project is how to deal with paper records following the implementation of the new Case Management System (CMS) which facilitates a paper light process.

With the commencement of the Benefits Realisation Programme, the Retention Project now has a structure within which it can fit, and connectivity with the developing operating culture. The Programme enables connectivity with the other projects which form part of the Programme – that is eCommunications, Workforce Planning, SMART Working, and the Reception projects.

## 2. Project Objectives and Goal Statement

The overall aims of the Benefits Realisation Programme were set out in a paper to the Change Board in December 2012. Each project within the programme must seek to deliver the following four objectives:

- Service improvement for children and families
- Positive impact on workload management and performance
- Service improvement to partners
- Financial and efficiency benefits realisation.

The aims of the Retention Project replicate those of the Programme, and also include important principles of SCRA's information governance culture which is guided by Data Protection; records management policy and most importantly, keeping the information of children and families safe.

Key aims:

- Ensure records and information on children and young people are held, used and appropriately destroyed in line with legislation, records management policy and operational needs.
- Ensure that our policy and practice supports the increased electronic medium of information and information exchange.

- Provide the vision and policy for the transition from paper based to electronic information.
- Ensure effective decision making is supported by the work of the project
- To implement the 'physical' shift away from paper dependency and implement a sustainable solution in line with Programme objectives, for example establishment of 'archival' facilities (locally or nationally).

### 3. Project Scope Summary

The Project will cover all paper held information across the organisation, including all Localities and HO.

The Project's primary focus will be the records of children and young people, but it will also carry responsibility for guiding and leading non-case-work information retention and records management.

Compliance with the new requirements of the Public Records Scotland Act will also fall within the remit of this project.

Project Outputs:

- Guidance will be developed on the retention of paper held information and the physical reduction of this paper.
- Guidance will also be developed on how to reduce paper-based case information in-line with above.
- File storage options (including archiving) will be investigated within the context of Locality offices and nationally and a benefits case developed.
- A proposal will be recommended to EMT about information currently only held on RAD to ensure it's availability in the longer term.
- A benefits case will be developed which will outline the benefits to each office of reducing the amount of paper information held and will be assessed in terms of the best use of space.

### 4. Risk Assessment

A project risk assessment was carried out and the Strategic Risk Register developed. This is attached at Appendix 1

## **5. Management and Organisation of Project**

It has been agreed that the Benefits Realisation Programme will not have Board but that governance, support, challenge and remitted decisions and approvals are provided by Maggie McManus, with formal reporting and strategic decision making by the Change Board. This gives a proportionate approach whilst ensuring the Programme is supported and cohesive.

The Retention Project will sit within SCRA's programme management framework and it will be managed along the principles of PRINCE2.

This Project will have two phases and although they will overlap for some Localities, each is distinct in its purpose. In Phase 1 the basic principles will be established: the criteria with which we will move forward; the guidance we will use in the second phase. Phase 2 is the implementation phase where the practical work is carried out. In summary:

### **Phase 1**

First 6 months priorities: May to September 2013

1. Assess impact of CMS on the use of paper case files and develop guidance to define the full extent of what needs to be retained in order to ensure consistency in information governance across the organisation.
2. Support the assessment by updating relevant Policies and guidance and ensure that this guidance is made available for teams for immediate action.
3. Consider the options for accessing information held on RAD, but not held on CMS or in paper case files. Develop a plan for this information.
4. Run a pilot project with one Locality, or office to help test the policy / guidance produced, to assess the reduction in paper, the impact and benefits before the project is rolled-out across the organisation.
5. Develop options for paper filing based on the findings of the pilot:

Locally store files

or

Store Centrally

6. Decision on the preferred option and development of the Project plan.

### **Phase 2**

Implementation Phase: October 2013 to March 2015

Look at each Locality, their current storage issues, opportunities and the implementation of the guidance on Retention of Files..

1. Prioritise each Locality or office and develop a plan for each one in partnership with local teams..
2. Scope out size of file storage by measuring what is stored in each Locality and office.
3. Help each Locality to plan and implement the weeding their files and to consider storage opportunities and potential benefits arising from the reduction of paper stored.

Project meetings will be held every 4-6 weeks. Initially a Pilot will be set up to help establish guiding principles and criteria for the Project. Following the Pilot, each Locality will be involved and teams will be set up to deal with the Project at Locality and office level. This will initially involve establishing a priority list but in time, will develop into the practical phase of weeding, clearing and possible relocation of files.

## 6. Key Roles

Project Sponsor: Malcolm Schaffer, with budget and governance responsibilities.

Project Manager: Marny Jackson, with responsibility for the day-to-day running of the project.

Project Team: Gillian Henderson & Katie Brownlee (Information Governance & Data Protection), Pauline Proudfoot (Operational input & LRM for Pilot project), Kirsty MacDiarmid (links with CMS), Lesley Siewert (Operational - LRM for South East Locality), Gordon Brechin (Operational - LRM for Glasgow Locality). The team will be supported by other Support Services colleagues from time to time.

## 7. Budget, Resources and other project requirements

This section will be developed as the resource requirements become apparent, in particular at the conclusion of the Pilot.

## 8. Project Milestone Schedule & Products

Milestone schedule outlined below. A project gant chart is included in Appendix C.

Retention pilot in Ochil House completed and evaluation produced.	30 Sept '13
Produce interim option appraisal on future storage options	31 Oct '13
Produce final business case on future storage options	30 Nov '13
Publish final version of file retention model	30 Nov '13
Complete phase 1 file storage arrangements in 3 localities (Central, Glasgow & Edinburgh)	28 Feb '14
Complete phase 2 file storage arrangements in 3 localities (Localities tbc)	31 July '14
Complete phase 3 file storage arrangements in final 3 localities (Localities tbc)	28 Nov '14

### Retention Project Products

(Deliverables)

	<u>Timescale</u>
1 Guidance on file retention	April '13
2 Guidance on carrying out weeding & development of 'File Retention Model'	30 Nov '13
3 Option appraisal on file storage solutions	31 Oct '13
4 Benefits Case (office by office) assessing the potential benefits in reducing the size of paper files and dependancy generally on paper case files.	throughout
5 Proposal to EMT re. information held on RAD	

## APPENDIX A – Detailed Project Risk Register

Risk No.	Reference to SCRA objectives	Risk type	Risk description	Risk owner	Inherent risk score L*I	Key mitigating controls	Residual Risk Score L*I	Trend	Actions & timescales	Risk Appetite	Target risk score L*I	Next Review Date
1	SCRA Businss Plan Objective 2: 11	Operational / Reputational	The findings of the pilot may not translate directly to other offices or Localities.	MJ	1/3 = 3	Robust set up & analysis of Pilot	1/2 = 2	▼	Complete Pilot & Evaluation Sept. '13		2	18/09/2013
2	SCRA Businss Plan Objective 2: 11	Financial / Operational	Lack of available resource and capacity to undertake the practical work across the Locality	MJ	3/4 = 12	Assessment of flexibility within each team & support where required	3/4 = 12	▷	Close liaison with Localities & prepare Business Case/s Nov. '13		8	18/09/2013
3	SCRA Businss Plan Objective 2: 11	Joint	Work related to this project may not be seen as a priority.	MJ	2/2 = 4	Phasing and timing of work plan so non priority teams go last	2/1 = 2	▼	Analysis of offices in terms of: property, Data Protection, Locality Oct'13		2	18/09/2013
4	SCRA Businss Plan Objective 2: 11	Operational / Reputational	Important information may be destroyed by mistake.	MJ	2/4 = 8	Ensure clear guidance is given	2/3 = 6	▼	Produce guidance July '13 and Train & manage staff On-going timescale		4	18/09/2013
5	SCRA Businss Plan Objective 2: 11	Operational / Reputational	Data breaches may occur if file destruction is not handled properly.	MJ	2/4 = 8	Ensure guidance is followed	2/3 = 6	▼	Ensure proper security controls during weeding Sept '13		4	18/09/2013
6	SCRA Businss Plan Objective 2: 11	Operational	Potential negative impact on Reporter decision-making due to information only held on RAD not being readily available.	MJ	4/4 = 16	Involve IT colleagues to develop solutions	3/3 = 9	▼	DMF & ND history extracted into spreadsheet. Monitor usage. Dec'13		4	18/09/2013
7			Removed - RAD data not being integrated into CMS. See 6 above					□				



APPENDIX B – Project Issues Log

No.	Project Issue	Raised by/ Date raised	Action/Decision Taken	Date of action/ decision taken	Issue Owner	Open/Closed

## APPENDIX C – Project Gant Chart



