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Iechyd Cyhoeddus
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Public Health
Wales

Name of Meeting
Audit and Corporate
Governance Committee
Date of Meeting
19th January 2023
Agenda item:
8.4

Update on Records Management

Executive lead: Rhiannon Beaumont-Wood, Executive Director of Quality, Nursing and Allied Health Professionals.

Author: John Lawson, Head of Information Governance

Stuart Silcox, Assistant Director of Integrated Governance

Approval/Scrutiny route: Business Executive Team/Audit and Corporate Governance Committee

Purpose

The purpose of this paper is to provide an update on the development of phase two of the Records Management project.

Recommendation:

APPROVE <input type="checkbox"/>	CONSIDER <input type="checkbox"/>	RECOMMEND <input type="checkbox"/>	ADOPT <input type="checkbox"/>	ASSURANCE <input checked="" type="checkbox"/>
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The Committee is asked to:

- Take **assurance** that the implementation of phase two of the Records Management project is progressing and is on track against expected timelines.

Link to Public Health Wales [Strategic Plan](#)

Public Health Wales has an agreed strategic plan, which has identified seven strategic priorities and well-being objectives.

This report contributes to the following:

Strategic Priority/Well-being Objective	All Strategic Priorities/Well-being Objectives
Strategic Priority/Well-being Objective	Choose an item.
Strategic Priority/Well-being Objective	Choose an item.

Summary impact analysis

Equality and Health Impact Assessment	Not required
Risk and Assurance	This report makes recommendations and provides updates on a system which if properly implemented will reduce risks across the organisation
Health and Care Standards	This report supports and/or takes into account the Health and Care Standards for NHS Wales Quality Themes Governance, Leadership and Accountability Choose an item. Choose an item.
Financial implications	None identified
People implications	None identified

1. Purpose / situation

The purpose of this paper is to provide an update on the development of phase two of the Records Management project and is informed by the report previously received by BET titled, '*A Business Case for a Records Management Solution*' which was produced by the firm of consultants, Data2Action, who were engaged by Public Health Wales through July and August 2021.

2. Background

Investment was committed to the Records Management project in response to the recommendations of the report which concluded that Public Health Wales '*falls short in all areas of the (Lord Chancellor's Code of Practice on Records Management)*'.

As a result, an internal business case was developed which recommended a phased approach to development of a Records Management System.

Phase one concluded in March 2022 which delivered a baseline assessment of the current organisational records management position and recommended an assessment of existing in house solutions (O365 & Sharepoint) and a market comparison with industry standard Electronic Document and Records Management Systems (EDRMS).

3. Description/Assessment

Investment for phase two of the records management project was approved in March 2022, however due to recruitment challenges posts were filled in October 2022.

Phase two consists of the development of a longer term business case for Records Management, key elements includes:

- Options appraisal for a digital records management solution including a cost/benefit analysis
- Training Needs Analysis for the recommended solution
- Ongoing development of the Information Asset Register and records management policy and procedures
- Document control system and processes
- Records Management Policies and procedures.

The phase two detailed project plan is available in appendix one.

Work has now commenced on phase two and a firm of consultants, Metataxis have been appointed to commence this work in early November.

Matataxis will produce an options appraisal, which is intended to inform the development of a final business case for the establishment of a Records Management System. This appraisal will be submitted to the Business Executive Team on 19th December 2022.

Once an appropriate option has been considered the longer term business case will be finalised for submission to the Business Executive Team in February 2023.

It should also be noted that the Records Management team are working closely with the Public Inquiry team to identify commonalities in order to utilise existing learning and remove any duplication.

4. Recommendation

The Committee is asked to:

- Take **assurance** that the implementation of phase two of the Records Management project is progressing and is on track against expected timelines.

Appendix 1: Records Management Programme Phase Two

Milestone(s) / Deliverables(s)	RAG Status	Owner	Lead	Start Date	End Date	Dependencies
Submission of 'Guidance on the Retention and Destruction'		JL	KD	26/09/2022	31/03/2023	Input and Support from individual Business areas
Continued Development of the organisation Information Asset Register (IAR)		JL	KD	26/09/2022	28/02/2023	Input and Support from individual Business areas
Understanding the current organisational use of SharePoint		JL	KD	01/10/2022	31/12/2022	Input and Support from individual Business areas
Consultancy review of suitable RM System		JL	KD	13/10/2022	09/12/2022	Collaboration from key stakeholders across PHW, delivery of agreed timescales by consultants
Submission of Consultancy Report to BET		JL	KD	10/12/2022	18/12/2022	Delivery of end report from Metataxis
Business case for ongoing Records Management Function		JL	KD	01/12/2022	28/02/2023	Outcome of Metataxis Report
Development of Records Management Policy		JL	KD	01/10/2022	01/02/2023	Outcome of Metataxis Report
Development of Records Management Procedure		JL	KD	01/10/2022	01/02/2023	Outcome of Metataxis Report
Delivery of Information Asset Register Procedure		JL	KD	01/10/2022	31/10/2022	Sign off from Information Governance Working Group

Milestone(s) / Deliverables(s)	RAG Status	Owner	Lead	Start Date	End Date	Dependencies
Framework for using SharePoint Online in Public Health Wales		JL	KD	01/01/2023	31/03/2023	Outcome of Metataxis Report. SharePoint is an app that is in use in PHW regardless of the recommended RM solution. It will require a governance structure, framework for site creation and procedure for requesting new sites
Development of Organisational Contracts Register		JL	KD	01/01/2023	31/03/2023	Delivery of other milestones. This work is not fully in scope of the Records Management, however a contracts register is required under the Code of Practice for the Management of Records
Contracts Register Procedure		TBC	TBC	01/01/2023	31/03/2023	Delivery of other milestones. This work is not fully in scope of the Records Management, however a contracts register is required under the Code of Practice for the Management of Records