

National Library of Scotland

Records Management Plan

In respect of the Public Records (Scotland) Act 2011

Document status: Final

BCS: 06.08.006

Covering statement

Information is at the centre of what we do as a national library and as an organisation. I recognise good records management as a core function of the Library. I am therefore committed to ensuring that we manage records that are authentic, reliable, of integrity, and useable.

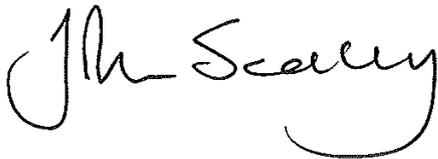
This Records Management Plan has been developed to meet the requirements of the Public Records (Scotland) Act 2011.

Our plan sets out how we will manage our records to a high standard. The plan details the practices we have in place for managing records and demonstrations of this are included with our submission.

I recognise that there is scope for improving our records management practices. Therefore, with this plan we are introducing new and revised policies and procedures. We are also detailing planned future developments in respect of records management. I am committed to seeing these put into practice and being effectively managed.

I am committed to ensuring that the Library implements this plan and meets our records management obligations in respect of the plan and relevant regulations. I am further committed to ensuring that our staff obtain and maintain appropriate records management competencies and have the tools and support they require for managing information to a high standard.

The Library has been the proud steward of information since our foundation in 1925. As we approach our centenary I recognise that we have the opportunity, as well as the obligation, to be equally diligent caretakers of our own information and records.

A handwritten signature in black ink, reading "John Scally". The signature is written in a cursive style with a large initial 'J' and a long, sweeping underline.

Dr John Scally
National Librarian and Chief Executive
May 2016

1. Senior management responsibility

Introduction	<p>Identify person at senior level who has overall strategic responsibility for records management</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act: Section 1(2)(a)(i)</p>
Statement of compliance	<p>The senior person who has overall strategic responsibility for records management is Dr John Scally, the National Librarian and Chief Executive.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[D] Covering statement</p>
Future developments	<p>There are no planned future developments in respect of element 1.</p>

2. Records manager responsibility

Introduction	<p>Identify individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act 2011: Section 1(2)(a)(ii)</p>
Statement of compliance	<p>The individual who has operational responsibility for records management is Fredric Saunderson, the Intellectual Property Specialist.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[J] Intellectual Property Specialist job description</p>
Future developments	<p>There are no planned future developments in respect of element 2.</p>

3. Records management policy statement

Introduction	<p>A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act 2011: Section 1 2(b)(i)</p>
Statement of compliance	<p>Records management is a core function and is vital to our business. Our commitment to good records management is set out in our Records Management Policy.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[P1] 2016 03 29 LLT Minutes March 2016</p> <p>[Q] Business policies on intranet (screenshot)</p>
Future developments	<p>The Records Management Policy was approved by the Library Leadership Team on 29 March 2016.</p> <p>We will be implementing the policy as part of our structured improvements to records management. This policy will be communicated to all staff and disseminated across the Library during FY 2016/17.</p>

4. Business classification

Introduction	A business classification scheme describes the business activities the authority undertakes – whether alone or in partnership.
Statement of compliance	<p>The Library has a business classification scheme (introduced from 2008). Although application has been minimal, the scheme is used to organise certain folders and documents on our Sharepoint system and some parts of our shared drives. The classification has not been consistently monitored or controlled in the period since 2008.</p> <p>We significantly updated our business classification in 2016 and incorporated it into our new Business Classification and Retention Scheme (BCRS). The BCRS will replace our 2008 classification scheme as the applicable classification standard from 2016.</p> <p>The BCRS combines our classification and our retention schedules (see element 5) and maintains and modifies our pre-existing classification structure. Although various classifications have changed, been removed, or been added, the BCRS has been designed to ensure that existing records continue to be classified appropriately. Variations between the existing classification and the BCRS have been accommodated by the use of notes in the BCRS and the exclusion of certain classification numbers in order to avoid confusion.</p>
Evidence of compliance	<p>[B] Business Classification and Retention Scheme (BCRS)</p> <p>[L] Use of the existing business classification (example – screenshot)</p> <p>[P1] 2016 03 29 LLT Minutes March 2016</p> <p>[P2] 2016 04 26 LLT Minutes April 2016 (draft)</p>
Future developments	<p>The BCRS was approved by the Library Leadership Team on 29 March 2016.</p> <p>Beginning in FY 2016/17, we will be implementing the BCRS as part of our structured improvements to records management. We will be phasing in the revised classification structure for records held in all formats and on all systems as far as possible. We will begin by applying the new classifications to our most organised and most vital electronic records, which are largely classified on Sharepoint under the existing classification.</p> <p>We will be applying the BCRS classification to records across the Library over the coming years, although we recognise that this will take time. We also recognise that there may be records, particularly older paper records, that will be difficult or impossible to appropriately classify.</p> <p>We will be consciously implementing the BCRS in a structured manner in order to ensure that it is applied correctly and is afforded sustainability. Implementation of the BCRS will be monitored by the Library Leadership Team, through quarterly records management progress report sessions (at which full attendance will be required).</p>

5. Retention schedules

Introduction	A retention schedule is a list of records for which pre-determined disposal dates have been established.
Statement of compliance	The Library has specified organisation-wide retention schedules as part of our new Business Classification and Retention Scheme (BCRS), which combines our business classification and retention schedules (see element 4).
Evidence of compliance	<p>[B] Business Classification and Retention Scheme (BCRS)</p> <p>[C] Data Protection Policy</p> <p>[P1] 2016 03 29 LLT Minutes March 2016</p> <p>[P2] 2016 04 26 LLT Minutes April 2016 (draft)</p>
Future developments	<p>The BCRS was approved by the Library Leadership Team on 29 March 2016.</p> <p>The Library has not previously maintained or followed particular retention schedules. Certain sections of the organisation have from time to time made ad hoc use of retention guidance and disposed of records accordingly. At other time records have been disposed of without recourse to specific schedules. In many cases records have not been disposed of.</p> <p>Beginning in FY 2016/17, we will be implementing the BCRS as part of our structured improvements to records management. Implementation of the BCRS will be monitored by the Library Leadership Team, through quarterly records management progress report sessions (at which full attendance will be required).</p> <p>From FY 2016/17 we will begin disposing of records in accordance with the BCRS.</p> <p>In order to dispose of records under the BCRS we need first to identify and classify material correctly. Therefore, we will be phasing in our implementation of the retention schedule alongside, and following on from, our phasing in of the business classification.</p> <p>Due to the lack of sufficient schedules prior to 2016, the Library has a sizeable bulk of legacy records, paper and electronic, that need to be disposed of. We expect clearing this backlog to take time and resource, and we recognise that, accordingly, in the interim the Library will retain legacy records that should otherwise be disposed of.</p>

6. Destruction arrangements

Introduction	<p>It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented.</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act 2011 Section 1 2(b)(iii)</p>
Statement of compliance	<p>The Library's Records Disposal Procedures detail the processes for destroying records upon disposal. The Library has contracts in place with third parties for the secure destruction of paper records and IT hardware. The Library cannot currently guarantee that networked electronic records are destroyed when required, but we will be working to address this over coming years.</p>
Evidence of compliance	<p>[B] Business Classification and Retention Scheme (BCRS)</p> <p>[F] Records Disposal Procedures</p> <p>[G1] Notice of award of contract for waste management services (Changeworks Recycling)</p> <p>[G2] Recycling guidance – Changeworks Recycling</p> <p>[G3] Confidential paper recycling invoice – Changeworks Recycling (example)</p> <p>[P2] 2016 04 26 LLT Minutes April 2016 (draft)</p>
Future developments	<p>The Library's Records Disposal Procedures are new and will take time and resource to implement fully and effectively, particularly in relation to electronic records. Implementation of the procedures will be monitored by the Library Leadership Team, through quarterly records management progress report sessions (at which full attendance will be required).</p> <p>The Library's IT systems are currently backed up onto magnetic tape storage at frequent (e.g. daily) intervals. Tape backups are not always overwritten. Electronic records can be removed from our live IT systems through simple deletion procedures. However, it is likely that deleted records continue to be retained on non-overwritten tapes. The Library recognises that this is inadequate.</p> <p>The Library plans to review our processes for storing electronic data and to make suitable adjustments as required to enable the proper destruction of records. We expect to begin this review by the end of 2018. This will enable the Library to ensure that all copies of electronic records, including backups, are destroyed when required.</p>

7. Archiving and transfer arrangements

Introduction	<p>This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act 2011 Section 1 2(b)(iii)</p>
Statement of compliance	<p>The Library's Records Disposal Procedures detail the processes for archiving, organising and listing records upon disposal. The Library functions as its own archive service. Records for permanent retention and archiving are transferred to the care of the internal Library Archive upon disposal, and the Records Disposal Procedures are being introduced to formalise this process. Archived records are securely stored in archive-standard facilities with relevant environment, access, security, and threat controls. Archived records can be accessed by Library employees by contacting the Library Archive and by members of the general public by use of the Library's Special Collections Reading Room, which is a secure and invigilated public space specifically designed to facilitate access to archive material (nls.uk/using-the-library/reading-rooms/special).</p>
Evidence of compliance	<p>[B] Business Classification and Retention Scheme (BCRS)</p> <p>[F] Records Disposal Procedures</p> <p>[P2] 2016 04 26 LLT Minutes April 2016 (draft)</p> <p>[S1] Environment guidelines for temperature and relative humidity</p> <p>[S2] Environment guidelines for light</p> <p>[S3] Security briefing (extract)</p> <p>[S4] Images of the Library Archive</p> <p>[U] Digital Preservation Policy</p>
Future developments	<p>The Library's Records Disposal Procedures are new and will take time and resource to implement fully and effectively. In FY 2016/17 we will begin putting into place the processes required for archiving records correctly under the Records Disposal Procedures. We aim to have the Records Disposal Procedures fully in place within two years of implementation, subject to resource allocation and the outcome of sampling work to be undertaken at the start of implementation in FY 2016/17.</p> <p>The Library's archiving of non-electronic records has been ad hoc. The Library's archive of non-electronic records is minimally organised and is not catalogued or listed. Some material may have been placed into archive spaces which should no longer be retained. The Library will undertake to remove such material from the Library Archive and will begin work to organise and catalogue non-electronic archives. Through implementation of the Records Disposal Procedures we plan to begin generating a listing of our non-electronic archive holdings. We will be undertaking work, starting in FY 2016/17, to retrospectively organise, weed and list (to a high level at least) existing non-electronic archive holdings. We anticipate that this will take a number of years. Progress on implementing the Records Disposal Procedures and retro-organisation of the current archive will be monitored by the</p>

	<p>Library Leadership Team, through quarterly records management progress report sessions (at which full attendance will be required).</p> <p>The Library's archiving of electronic records has been inconsistent with the requirements of the BCRS and appropriate records disposal. The Library does not currently operate retention triggers on electronic records. Most electronic information is retained on tape backups, which are not always overwritten. Therefore, records for archiving and for destruction are not separated and it is not always possible to verify correct disposal. Tape backups are not stored centrally or to archive standards, and are not listed or catalogued. As a priority, the Library will consider from FY 2016/17 how to reconfigure our technical setup to enable proper archiving of electronic records in accordance with the BCRS. Through implementation of the Records Disposal Procedures we plan to begin generating a listing of our electronic archive holdings.</p> <p>The approach to preserving electronic records currently detailed in the Records Disposal procedures is temporary. We will begin work to replace this approach with a more robust one that accords with the requirements of the Records Management Policy. We expect this work to begin with the agreement of a list of suitable archival file formats and the set-up of a dedicated, secure and backed-up archival storage drive or location that is independent from any particular proprietary system (such as SharePoint). We expect to begin this review by the end of 2018 in conjunction with the review outlined under element 6 of this Plan.</p> <p>Progress on implementing the Records Disposal Procedures and reconfiguration of our electronic records management systems and backups (as required) will be monitored by the Library Leadership Team, through quarterly records management progress report sessions (at which full attendance will be required).</p>
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8. Information security

Introduction	<p>Information security is the process by which an authority protects its records and ensures they remain available. It also maintains privacy where appropriate and provides for the integrity of the records.</p> <p>This is a compulsory element under the terms of the Public Records (Scotland) Act 2011 Section 1 2(b)(ii)</p>
Statement of compliance	<p>Information is a core asset to the Library's functions. We recognise that our records must be secure. A variety of steps are taken across the organisation to ensure that our information assets remain available, accurate, and protected against unintended loss, damage, or exposure.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[C] Data Protection Policy</p> <p>[E1] Hardware recycling process - Haven Recycle</p> <p>[E2] Hardware data wiping process (Blancco) – Haven Recycle</p> <p>[E3] Hardware recycling invoice - Haven Recycle (example)</p> <p>[H] Information Security Policy</p> <p>[Q] Business policies on intranet (screenshot)</p> <p>[S3] Security briefing (extract)</p> <p>[V] Acceptable Use Policy</p>
Future developments	<p>During FY 2016/17 we will review and revise our Information Security Policy.</p> <p>We expect improvements to our management of documents and records as otherwise outlined in this plan will contribute to improving our information security.</p>

9. Data protection

Introduction	An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.
Statement of compliance	The Library processes personal data fairly, lawfully, and in compliance with the Data Protection Act 1998. The Library is registered with the Information Commissioner's Office (ref: Z6457975).
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[C] Data Protection Policy</p> <p>[I] Certificate of registration with the Information Commissioner's Office</p> <p>[Q] Business policies on intranet (screenshot)</p>
Future developments	The Library plans to revise or redraft the Data Protection Policy, and related procedures and guidance, as required, in accordance with planned regulatory changes on matters of data protection during the period 2016-2018 (i.e. introduction of the General Data Protection Regulation).

10. Business continuity and vital records

Introduction	A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority.
Statement of compliance	The Library maintains detailed Business Continuity Plans (BCP), which address a range of potential inhibitors and threats at each of the Library's physical premises (e.g. loss of building access, water ingress).
Evidence of compliance	<p>[H] Information Security Policy</p> <p>[M1] Business Continuity Planning organisational structure</p> <p>[M2] Rivo Safeguard BCP file structure (example – screenshot)</p> <p>[M3] BCP procedure – Loss of building (example)</p>
Future developments	<p>The Library does not maintain BCPs that are specific to business information and records. The Library's current BCPs focus on restoring public services and protecting the national collections. In practice, many of the Library's plans would – if put into place – support the recovery of business functions and the protection of business records.</p> <p>The Library will consider the design and implementation of BCPs specific to records management, such as a plan for handling loss of IT systems, including the setting of relevant recovery point objectives (RPOs) and recovery time objectives (RTOs). This will be done during FY 2016/17.</p>

11. Audit trail

Introduction	An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities.
Statement of compliance	<p>Access to the Library's electronic records is internally restricted through permissions on the Active Directory system. The Active Directory logs access to files and can be used to establish when records have been accessed and by whom.</p> <p>The Library's primary information management system is Sharepoint, which allows version control and provides a clear audit trail of edits. Sharepoint allows previous versions of a record to be restored if required.</p> <p>There is minimal audit control around the Library's non-electronic records. Access to paper records is physically restricted in most cases (e.g. by the use of card-access doors, locked rolling storage, and locked filing cabinets – see evidence under element 10). Implementation of the Library's Records Disposal Procedures will improve the audit trail of our paper records (see elements 6 and 7).</p>
Evidence of compliance	<p>[H] Information Security Policy</p> <p>[F] Records Disposal Procedures</p> <p>[N1] Sharepoint version control (example – screenshot)</p> <p>[N2] Active Directory date and author fields (example –screenshot)</p> <p>[O] File Naming Convention (draft)</p>
Future developments	<p>The Library's ability to maintain an audit trail has scope for improvement. This is particularly the case for non-electronic records and electronic records that are not on Sharepoint.</p> <p>The Library's Records Disposal Procedures are new and will take time and resource to implement fully and effectively. However, it is expected that as these are put into place the audit trail around disposed records will improve.</p> <p>Implementation of the Business Classification and Retention Scheme (BCRS) and the File Naming Convention are also expected to improve the audit trail.</p> <p>The Library continues to transition management of information from shared drives (e.g. our X Drive) to Sharepoint. As this process continues the audit trail will improve.</p>

12. Competency framework for records management staff

Introduction	<p>A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance.</p>
Statement of compliance	<p>All employees (temporary and permanent), Board members, the Chair of the Board, and contractors have a responsibility to manage records effectively and are expected to maintain the Library's Core Competencies in relation to information assets.</p> <p>The Intellectual Property Specialist role includes responsibility for coordinating records management practices across the Library. These responsibilities are specified in the role's job description.</p> <p>The Intellectual Property Specialist is the Records Management Coordinator (see element 2) and is therefore expected to maintain level 3 records management competency under the Records Management Policy and as detailed further by the Records Management Coordinator competency framework.</p> <p>The Library maintains internal communication on matters related to records management and the development of this plan. Relevant policies, plans and procedures are available and accessible to staff.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[D] Covering statement</p> <p>[J] Intellectual Property Specialist job description</p> <p>[K] Records Management Coordinator competency framework</p> <p>[R] Cascade 39 – May 2016</p> <p>[T1] Core competencies framework</p> <p>[T2] Core competencies on intranet (screenshot)</p> <p>[W1] DataProtectionManagerBriefing201610</p> <p>[W2] DataProtectionRefresherShort20161108</p> <p>[W3] Data Protection guidance for reading room staff April 2016</p> <p>[W4] Permission to consult material containing personal and sensitive data (form) April 2016</p> <p>[W5] Reader guidance on consulting material containing personal and sensitive data October 2016</p>
Future developments	<p>Internal communication on matters related to records management will continue. There will also be internal communication starting in FY 2016/17 in relation to the implementation action plan associated with this records management plan.</p> <p>As a priority, external training or development opportunities will be investigated for the Records Management Coordinator.</p> <p>Consideration will be given to providing training opportunities for staff, particularly for</p>

	<p>roles with sufficient records management responsibilities.</p> <p>Consideration will be given to adding information management to team, divisional, and/or individual staff competencies/assessments (particularly for manager roles) as appropriate.</p>
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13. Assessment and review

Introduction	Regular assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.
Statement of compliance	<p>The Library's policies contain specified review periods.</p> <p>Senior responsible managers under the Business Classification and Retention Scheme (BCRS) are responsible for assessing and reviewing the application of the BCRS in relation to the information classes for which they are responsible.</p> <p>The Library Leadership Team expects quarterly reports on implementation of the elements of this plan, which the Records Management Coordinator will be responsible for delivering using the Records Management Assessment Tool. Full attendance is required at relevant quarterly meetings of the Leadership Team.</p> <p>In addition to scheduled reviews of individual policies and procedures, the Records Management Coordinator will oversee a review of this plan by at least 31 March 2018. At that review, and each subsequent review, the Records Management Coordinator will set future review timeframes, which will initially be at least every two years, and will review the required frequency of reports issued using the Records Management Assessment Tool.</p> <p>The Library will use the Records Management Assessment Tool to produce assessment reports. The tool is based on the JISC Records management maturity model. Reports will be coordinated by the Records Management Coordinator, with data entry and/or input from colleagues as appropriate.</p>
Evidence of compliance	<p>[A] Records Management Policy</p> <p>[P2] 2016 04 26 LLT Minutes April 2016 (draft)</p> <p>[X] RecordsManagementAssessmentTemplate20161207V04Draft</p>
Future developments	In the fourth quarter of FY 2016/17 (January-March 2017) the Library will produce the first assessment report. This first report will serve as the baseline for future reports and for ongoing assessment.

14. Shared information

Introduction	Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records.
Statement of compliance	The Library complies with the Data Protection Act 1998. The Library makes information publicly available, in particular in relation to the Freedom of Information (Scotland) Act 2002.
Evidence of compliance	[C] Data Protection Policy [H] Information Security Policy
Future developments	There are no planned future developments in respect of element 14.

Appendix A: Evidence schedule

Element		Evidence – Source	Evidence – Details
1	Senior management responsibility	[A] Records Management Policy	Section 4 Roles and responsibilities
		[D] Covering statement	Whole document
2	Records manager responsibility	[A] Records Management Policy	Section 4 Roles and responsibilities
		[J] Intellectual Property Specialist job description	Whole document
3	Records management policy statement	[A] Records Management Policy	Section 3 Policy statement
			Whole document
		[P1] 2016 03 29 LLT Minutes March 2016	Item 7
		[Q] Business policies on intranet (screenshot)	Green arrow
4	Business classification	[B] Business Classification and Retention Scheme (BCRS)	Whole document
		[L] Use of the existing business classification (example – screenshot)	Whole document
		[P1] 2016 03 29 LLT Minutes March 2016	Item 6
		[P2] 2016 04 26 LLT Minutes April 2016 (draft)	Item 6
5	Retention schedules	[B] Business Classification and Retention Scheme (BCRS)	Whole document
		[C] Data Protection Policy	Section 12 Retention and disposal of personal data
		[P1] 2016 03 29 LLT Minutes March 2016	Item 6
		[P2] 2016 04 26 LLT Minutes April 2016 (draft)	Item 6
6	Destruction arrangements	[B] Business Classification and Retention Scheme (BCRS)	Whole document
		[F] Records Disposal Procedures	Section 3 Destruction

			Procedures
		[G1] Notice of award of contract for waste management services (Changeworks Recycling)	Whole document
		[G2] Recycling guidance – Changeworks Recycling	pp. 2-3
		[G3] Confidential paper recycling invoice – Changeworks Recycling (example)	Whole document
		[P2] 2016 04 26 LLT Minutes April 2016 (draft)	Item 6
7	Archiving and transfer arrangements	[B] Business Classification and Retention Scheme (BCRS)	Whole document
		[F] Records Disposal Procedures	Section 2 Permanent Retention and Archiving Procedures (and related appendices)
		[P2] 2016 04 26 LLT Minutes April 2016 (draft)	Item 6
		[S1] Environment guidelines for temperature and relative humidity	Whole document
		[S2] Environment guidelines for light	Whole document
		[S3] Security briefing (extract)	Whole document
		[S4] Images of the Library Archive	Whole document
	[U] Digital Preservation Policy	Whole document	
8	Information security	[A] Records Management Policy	Section 3.12 Information security
		[C] Data Protection Policy	Section 5 Data security
		[E1] Hardware recycling process - Haven Recycle	Whole document
		[E2] Hardware data wiping process (Blancco) – Haven Recycle	Whole document
		[E3] Hardware recycling invoice - Haven Recycle (example)	Whole document
		[H] Information Security Policy	Whole document

		[Q] Business policies on intranet (screenshot)	Red arrow
		[S3] Security briefing (extract)	Whole document
		[V] Acceptable Use Policy	Whole document
9	Data protection	[A] Records Management Policy	Section 3.11 Data protection
		[C] Data Protection Policy	Whole document
		[I] Certificate of registration with the Information Commissioner's Office	Whole document
		[Q] Business policies on intranet (screenshot)	Blue arrow
10	Business continuity and vital records	[H] Information Security Policy	Section 7 Business Continuity Planning
		[M1] Business Continuity Planning organisational structure	Whole document
		[M2] Rivo Safeguard BCP file structure (example – screenshot)	Whole document
		[M3] BCP procedure – Loss of building (example)	Whole document
		[F] Records Disposal Procedures	Section 2 Archiving and permanent retention procedures (and related appendices)
11	Audit trail	[H] Information Security Policy	Section 2 Access controls
			Section 6.2 Audit logging
		[N1] Sharepoint version control (example – screenshot)	Whole document
		[N2] Active Directory date and author fields (example – screenshot)	Whole document
		[O] File Naming Convention (draft)	Whole document
12	Competency	[A] Records Management Policy	Section 3.13

	framework for records management staff		Competency, training and guidance
			Section 4 Roles and responsibilities
		[D] Covering statement	Whole document
		[J] Intellectual Property Specialist job description	Whole document
		[K] Records Management Coordinator competency framework	Whole document
		[R] Cascade 39 – May 2016	'Managing information at the Library'
		[T1] Core competencies framework	Whole document
		[T2] Core competencies on intranet (screenshot)	Whole document
		[W1] DataProtectionManagerBriefing201610	Whole document
		[W2] DataProtectionRefresherShort20161108	Whole document
		[W3] Data Protection guidance for reading room staff April 2016	Whole document
		[W4] Permission to consult material containing personal and sensitive data (form) April 2016	Whole document
		[W5] Reader guidance on consulting material containing personal and sensitive data October 2016	Whole document
13	Assessment and review	[A] Records Management Policy	Section 7 Monitoring and review
		[P2] 2016 04 26 LLT Minutes April 2016 (draft)	Item 6
		[X] RecordsManagementAssessmentTemplate20161207V04Draft	Whole document
14	Shared information	[C] Data Protection Policy	Section 5 Data security
		[H] Information Security Policy	Section 3 Data transfer

Appendix B: Evidence lists

Document reference	Document title	Link	Elements
A	Records Management Policy		1, 2, 3, 8, 9, 12, 13
B	Business Classification and Retention Scheme (BCRS)		4, 5, 6, 7
C	Data Protection Policy	http://www.nls.uk/media/1230686/2016-data-protection-policy.pdf	5, 8, 9, 14
D	Covering statement		1, 12
E1	Hardware recycling process - Haven Recycle		8
E2	Hardware data wiping process (Blancco) – Haven Recycle		8
E3	Hardware recycling invoice - Haven Recycle (example)		8
F	Records Disposal Procedures		6, 7, 11
G1	Notice of award of contract for waste management services (Changeworks Recycling)	http://www.publiccontractsscotland.gov.uk/search/show/search_via.aspx?ID=MAR203498	6
G2	Recycling guidance - Changeworks Recycling		6
G3	Confidential paper recycling invoice – Changeworks Recycling (example)		6
H	Information Security Policy		8, 10, 11, 14
I	Certificate of registration with the Information Commissioner's Office		9
J	Intellectual Property Specialist job description		2, 12
K	Records Management Coordinator competency framework		12
L	Use of the existing business classification (example – screenshot)		4
M1	Business Continuity Planning organisational structure		10

M2	Rivo Safeguard BCP file structure (example – screenshot)		10
M3	BCP procedure – Loss of building (example)		10
N1	Sharepoint version control (example – screenshot)		11
N2	Active Directory date and author fields (example – screenshot)		11
O	File Naming Convention (draft)		11
P1	2016 03 29 LLT Minutes March 2016		3, 4, 5
P2	2016 04 26 LLT Minutes April 2016 (draft)		4, 5, 6, 7, 13
Q	Business policies on intranet (screenshot)		3, 8, 9
R	Cascade 39 – May 2016		12
S1	Environment guidelines for temperature and relative humidity		7
S2	Environment guidelines for light		7
S3	Security briefing (extract)		7, 8
S4	Images of the Library Archive		7
T1	Core competencies framework		12
T2	Core competencies on intranet (screenshot)		12
U	Digital Preservation Policy		7
V	Acceptable Use Policy		8
W1	DataProtectionManagerBriefing201610		12
W2	DataProtectionRefresherShort20161108		12
W3	Data Protection guidance for reading room staff April 2016		12
W4	Permission to consult material containing personal and		12

	sensitive data (form) April 2016		
W5	Reader guidance on consulting material containing personal and sensitive data October 2016		12
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