

REPORT TO: Audit and Governance Committee

MEETING DATE: 19 November 2013

BY: Depute Chief Executive – Resources & People Services

SUBJECT: Internal Audit Report – Electronic Document and Records Management System (EDRMS)

1 PURPOSE

- 1.1 To inform the Audit and Governance Committee of the recently issued audit report on the Electronic Document and Records Management System (EDRMS).

2 RECOMMENDATION

- 2.1 That the Audit and Governance Committee note the contents of the Executive Summary and Action Plan for EDRMS.

3 BACKGROUND

- 3.1 A review of EDRMS was undertaken as part of the audit plan for 2012/13.
- 3.2 The objective of the audit was to ensure that the internal controls in place were operating effectively.
- 3.3 The main findings from our audit work are outlined in the attached report.

4 POLICY IMPLICATIONS

- 4.1 None

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and Equality Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial - None
6.2 Personnel - None
6.3 Other - None

7 BACKGROUND PAPERS

- 7.1 None

AUTHOR'S NAME	Mala Garden
DESIGNATION	Internal Audit Manager
CONTACT INFO	01620 827326
DATE	5 September 2013

**EAST LOTHIAN COUNCIL – INTERNAL AUDIT
ELECTRONIC DOCUMENT AND RECORDS MANAGEMENT SYSTEM (EDRMS)**

1. EXECUTIVE SUMMARY

1.1 Introduction

As part of the Audit Plan for 2012/13, a review was undertaken of the Electronic Document and Records Management System (EDRMS). A summary of our main findings is outlined below.

1.2 Areas where Expected Controls were Met

- An Information and Records Management Policy is in place, which provides a framework for the creation and management of records within the Council.
- There is adequate separation of duties – the responsibility for managing user access controls within EDRMS is assigned to specific members of staff.
- Users with access to sensitive or confidential information are required to sign an Access and Confidentiality Agreement prior to access being granted to EDRMS – the Agreement clearly outlines employees' responsibilities in respect of confidentiality.
- An adequate audit trail exists of all tasks undertaken on EDRMS.

1.3 Areas with Scope for Improvement

- For users who were granted access to EDRMS during the implementation stage, there was a lack of evidence to demonstrate that access levels granted were appropriate to the individual user's roles and responsibilities. *Risk – inappropriate access levels may be granted.*
- There was a failure to ensure that all documents had been properly imported on to EDRMS during the implementation stage. *Risk – information held may be incomplete.*
- The batch processing of documents during the scanning process requires review – the batch header sheets in use fail to fully capture all key information required to ensure the completeness of documents scanned. *Risk – errors may occur and remain undetected.*
- For records held on EDRMS, retention periods have yet to be set up on the system. *Risk – failure to ensure effective records management.*

1.4 Summary

Our review of EDRMS identified a number of areas with scope for improvement. Detailed recommendations and opportunities for improvement are contained in our main Audit Report.

**Mala Garden
Internal Audit Manager**

August 2013

ACTION PLAN

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.1.3	Management should ensure that procedures are drawn up covering key aspects of the use of EDRMS, including the scanning and indexing of documents, to ensure that a consistent approach is adopted throughout the Council.	Medium	Project Manager EDRMS	Agreed – will explore the possibility of guidance being issued, where processes are similar.		Ongoing
3.2.2	For all employees granted access to EDRMS during the implementation stage, evidence should be held to demonstrate that the access levels granted are appropriate to the employees' roles and responsibilities.	Medium	Project Manager EDRMS	Agreed		In Place
3.2.4	Management should explore the possibility of introducing a stage within the EDRMS process to inform System Administrators of employees changing positions within the Council.	Medium	HR Manager Operational Services	Agreed – HR to explore the possibility of building an additional stage within EDRMS when processing staff changing positions within the Council.		Ongoing

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.3.2	<p>Management should explore the possibility of exception reports being produced, which may assist in identifying inappropriate user activity.</p>	Medium	Project Manager EDRMS	Agreed – will explore with system provider.		Ongoing
3.4.1	<p>Management should ensure that all failed documents have now been correctly transferred on to EDRMS.</p>	Medium	Project Manager EDRMS	Agreed		Ongoing
3.4.2	<p>Management should ensure that the batch header includes an additional box to record the total number of pages to be scanned in each batch.</p> <p>For each batch, a reconciliation should be carried out between the number of physical copies recorded on the batch header and the number of scanned pages recorded on EDRMS.</p> <p>Management should ensure that the 'checked by' box on the batch header is fully completed – the batch header should be retained as evidence of checks being carried out.</p>	Medium	Project Manager EDRMS	Agreed – batch header will be changed to reflect this.		Ongoing

PARA REF	RECOMMENDATION	GRADE	RESPONSIBLE OFFICER	AGREED ACTION	RISK ACCEPTED/ MANAGED	AGREED DATE OF COMPLETION
3.4.3	Management should ensure that all scanned documents are indexed – where documents do not relate to HR processes these should be assigned to the correct area and a clear audit trail should exist.	Medium	Project Manager EDRMS	Agreed – current practice of dealing with scanned, but un-indexed documents to be reviewed.		Ongoing
3.5.1	Management should ensure that retention periods are applied to all records held on EDRMS – these should be consistent with the Council’s agreed retention schedules.	Medium	Records Manager/Project Manager EDRMS	Agreed		Ongoing
3.6.1	For all areas where EDRMS has been implemented, a training needs analysis should be undertaken to identify gaps in the training provided to staff – all training needs identified should be addressed.	Medium	Project Manager EDRMS	Agreed		Ongoing

GRADING OF RECOMMENDATIONS

To assist Management in using our reports, our recommendations are categorised according to their level of priority as follows:

Level	Definition
High	Recommendations which are fundamental to the system and upon which Management should take immediate action.
Medium	Recommendations which will improve the efficiency and effectiveness of the existing controls.
Low	Recommendations concerning minor issues that are not critical, but which may prevent attainment of best practice and/or operational efficiency.