

Business Classification Scheme CMT PAPER

A business classification scheme describes what business activities the authority undertakes - whether alone or in partnership.

In line with the Keeper of the Records of Scotland's obligations under the Public Records (Scotland) Act 2011 (the Act) the following guidance is issued about an authority's Business Classification Scheme:

It is expected that an authority's records management plan (RMP) submitted for agreement with the Keeper confirms that the authority has developed or is in the process of developing a business classification scheme.

We are using the term 'business classification' to refer to a representation of an authority's hierarchy which shows the functions of the organisation.

The purpose of this element is to demonstrate that the records management plan takes account of the complete organisation and all its various business functions. This process will assist an authority in making good retention or disposal decisions under each of these business functions. To properly fulfil this element, an authority will need to demonstrate that its business classification scheme can be applied to the record management systems which it operates.

The Keeper is open to receiving schemes based on different methodologies, completed or being developed, but any proposed scheme should aim to better allow an authority to document its activities, identify records, retrieve records, apply disposal markings and meet statutory and regulatory requirements.

It is understood that, particularly for more complex organisations, the expansion of the formal records management system to encompass an authority in its entirety may take many years. If an authority is not able to fully satisfy this element when submitting their model plan for agreement, the Keeper will expect to see evidence that senior management acknowledge the importance of expanding the records management provision throughout the organisation. The Keeper will also expect to see progress in this respect when plans are reviewed. This review cannot be initiated by the Keeper for five years after an authority's RMP is agreed. (under section 5.2 of the Act 'The Keeper must not determine a review date...which is earlier than five years after the date on which the authority's records management plan was last agreed'). However, it is suggested that authorities should schedule their own review in the intervening period.

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Current best practice guidance advises that:

A Business Classification Scheme is the keystone of a records management programme. A functional approach to records management focuses on managing records according to their business context (why they exist) rather than their content (what they are about) or their location (which business unit or person holds them). It links records management activities clearly and firmly to business functions and activities.

Evidence

As evidence of a business classification the Keeper would expect to see a hierarchical representation of the functions of an authority and a clear indication of the business areas responsible for delivering these functions to the public.

The Keeper does not initially require authorities to provide him with evidence down to file plan or information asset register level for each business area. He does, however, expect an authority to be able to classify its functions, the areas of the authority delivering these to the public and an indication of the classes of records being created or held by each business area.

The format of this representation is not prescribed but might appear as a hierarchical chart showing the divisions, departments or branches the authority is divided into.

Clearly, if an authority has a detailed and mature business classification scheme that provides a functional or organisational overview of all the authority's information assets the Keeper would be happy to receive it. However, at this early stage of implementation a clear indication that an authority understands where its record creating areas are and the types of record they create or hold will suffice. Any improvement plan, supported by senior accountable officer sign-off, and committing the authority to the development of a robust business classification scheme in the future, will attract the agreement of the Keeper.

Element 4: Business classification

A business classification scheme describes what business activities the authority undertakes – whether alone or in partnership.

The Keeper expects an authority to have properly considered business classification mechanisms and its RMP should therefore reflect the functions of the authority by means of a business classification scheme or similar.

A business classification scheme usually takes the form of a hierarchical model or structure diagram. It records, at a given point in time, the informational assets the business creates and maintains, and in which function or service area they are held. As authorities change the scheme should be regularly reviewed and updated.

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A business classification scheme allows an authority to map its functions and provides a structure for operating a disposal schedule effectively. Some authorities will have completed this exercise already, but others may not. Creating the first business classification scheme can be a time-consuming process, particularly if an authority is complex, as it involves an information audit to be undertaken. It will necessarily involve the cooperation and collaboration of several colleagues and management within the authority, but without it the authority cannot show that it has a full understanding or effective control of the information it keeps.

Although each authority is managed uniquely there is an opportunity for colleagues, particularly within the same sector, to share knowledge and experience to prevent duplication of effort.

All of the records an authority creates should be managed within a single business classification scheme, even if it is using more than one record system to manage its records.

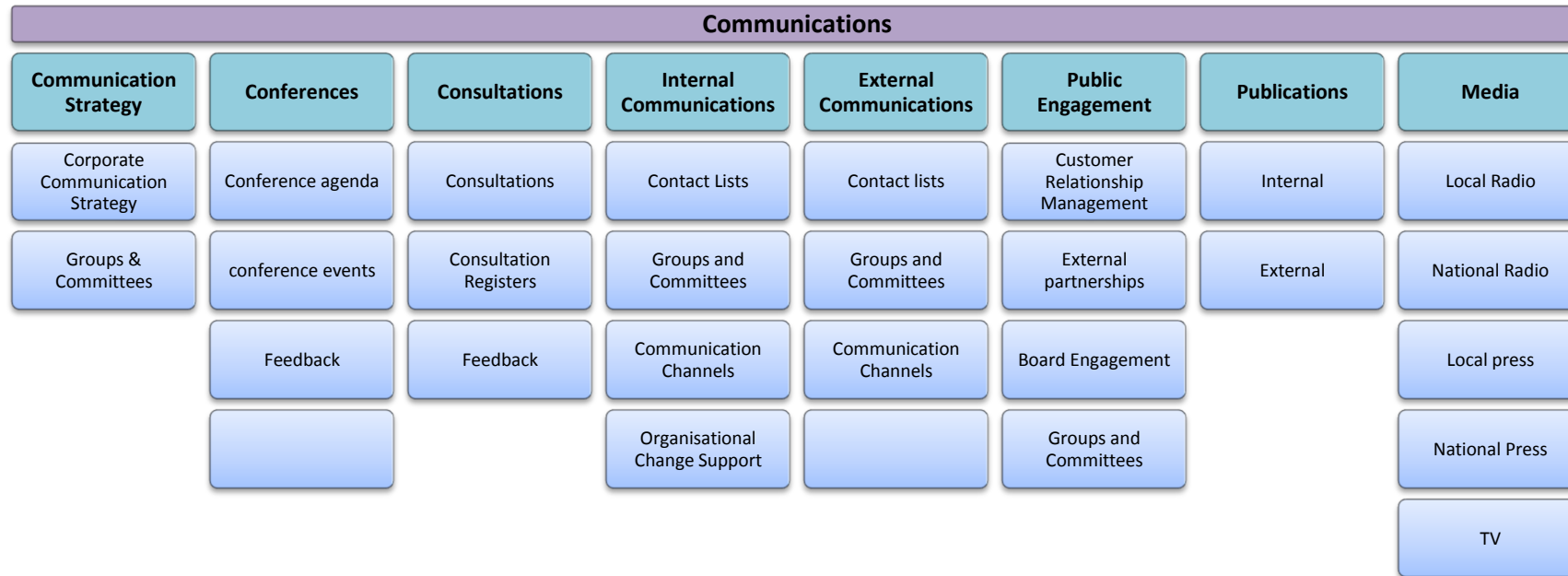
An authority will need to demonstrate that its business classification scheme can be applied to the record systems which it operates.

Key to diagrams below: **Functions** **Activity Level 1** **Activity Level 2**

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NHS Orkney Corporate Functions						
Communications	Corporate Governance	Estates, Facilities & business support	Financial Management	HR	eHealth and ICT	Clinical Support
Strategy	Board and Formal Decision Making	Health and Safety	Accounting and Reporting	Administering Employees	strategy	Health Intelligence and Clinical Governance
Conferences	Audit	Maintenance of Property	Asset Management	Employee Engagement	Telecommunications	Infection Control
Consultations	Clinical Governance	Property and Land Management	Financial Systems	Employee Performance Management	Infrastructure	Public Health
Internal Communications	Strategic Planning	Property Transactions	Financial Transactions Management	Recruitment	System Support	Health Promotion
External Communications	Staff Governance	Property Development	Fraud Prevention	Ts & Cs of Employment	Contract support	Clinical Admin
Public Engagement	Equality and Diversity	Hotel Services	Payroll and Pensions	Training and Development		
Media	Corporate/senior Management		Procurement	Workforce Planning		
	Feedback		Taxation			
	Information Governance					
	Research Governance					
	Programme/project Management					
	Risk Management					
	Quality and Performance					
	Enquiries					
	Legal Support					

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Corporate Governance													
Board and formal decision making	Audit	Clinical Gov	Strategic planning	Staff Gov	Equality & Diversity	Corp/Sen mgnt	Feedback	Info. Gov	Research Gov	Prog /project mgt	Risk Mgt	Quality & Performance	Legal Support
Admin	External	Clinical audit	business cases	Action plans	Age	CEO office	Complaints	Audit & standards	procedures	Active projects	Business Continuity	Annual Review	CLO
Communications	Internal	Clinical effectiveness	Business planning	Groups & Committees	Disability	Directorate mgt	Complaints to Ombudsman	Confidentiality	requests	Closed projects	Emergency planning	Business performance	Advice
Development	Service	Clinical leadership	Corporate plan	Healthy Working Lives	monitoring	Senior Mgt	compliments	Data protection	authorisation	Consultancy & support	Insurance	Quality reviews	Litigation
Meetings		Groups & committees	LDP	OH&S	Faith / belief	department Mgt	Patient Surveys	Environmental info regs	Groups & committees	Resource Mgt	CNORIS	Healthy working lives	
Members role & remit		Patient experience	SLA's	Staff Survey	Gender	Team Mgt		Communications		Co-ordination	Corporate risk register	Performance measures	
Code of Conduct		Patient safety	Groups & committees	Partnership Forum	Impact assessment	OH&C		FOI		Training		groups & committees	
Sub committees		Risk mgt			Race			Groups & committees				performance targets	
Register of interests		Accident & incident reporting			Sexual orientation			Info quality					
								Information security					
								Records Mgt					
								Policies & procedures					
								information sharing					

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Estates , Facilities & Business Support					
Health and Safety	Maintenance of property	Property and land mgt	Property Development	Property Transactions	Hotel Services
H&S inspections	Planned	Accessibility	Property Strategy	Acquisitions	Domestic services
Fire	Reactive	Building surveys	Live Projects	Deeds	Catering services
Asbestos	Refurbishment	Car parking	Completed Projects	Disposal	Infection Control
groups & Policies		Certification	Design & construction	Tenants	Portering services
Hazardous substances		Environment mgt	Suppliers & consultants		
Equipment		Estates services	Cost benchmark		
Accident & Incident Reporting		Security			
Risk Assessments		Utilities			
Legionella		Valuation and rates			
Medical Physics		Accommodation services			
		Distribution and allocation			
		SLA			
		Waste Disposal			

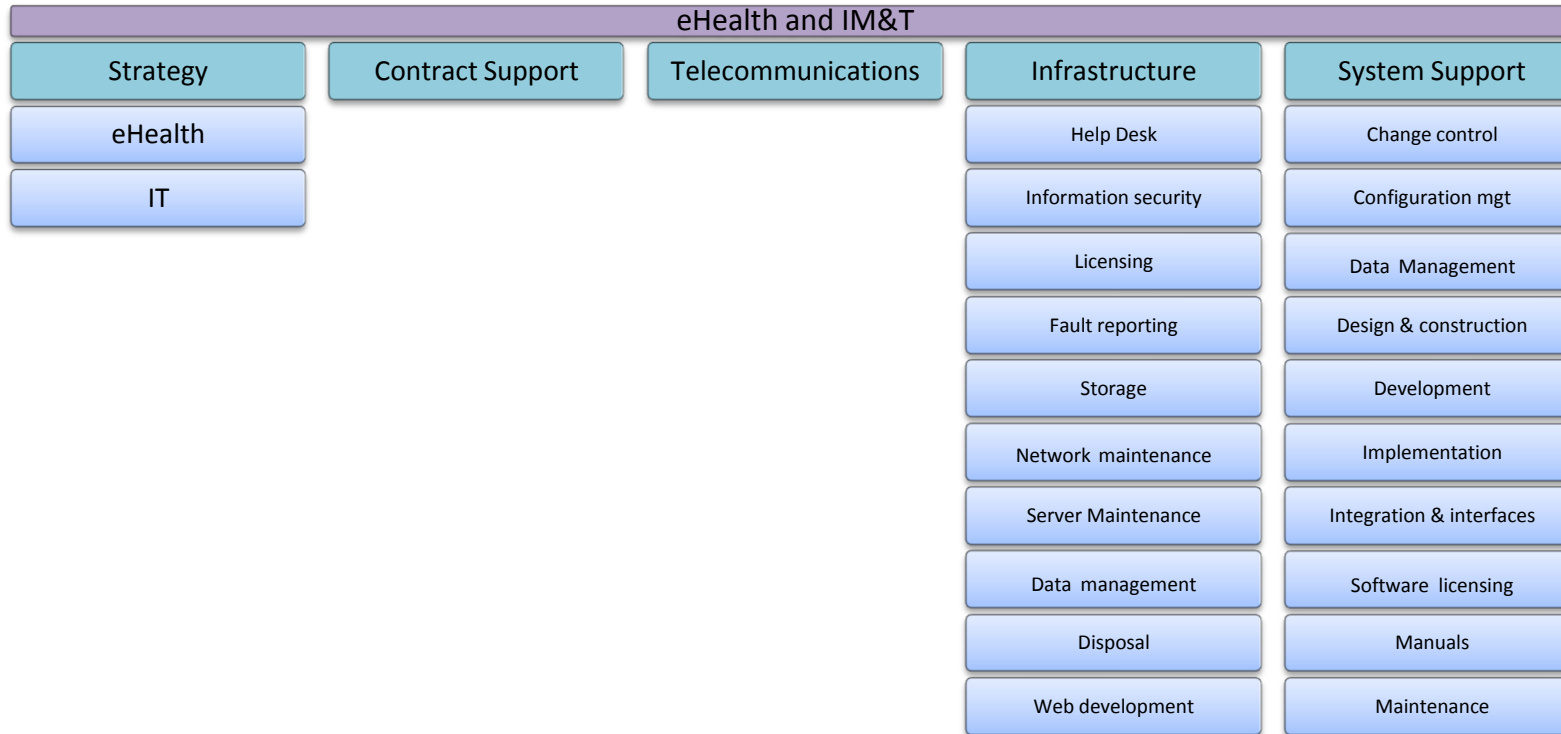
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Financial Management							
Accounting & reporting	Asset Management	Financial Systems	Financial transactions Mgt	Fraud prevention	Payroll and pensions	Procurement	Taxation
Annual Accounts	Maintaining assets	eFinancials	Accounts payable	Fraud Reporting	Pay	Service Contracts	VAT
Corporate Accounts		PECOS	Accounts receivable	Investigations	Pensions	Strategy & policy	PAYE
Financial accounts		eExpenses	Treasury	Procedures		Lease Cars	National Insurance
financial planning		ePayroll	Authorised signatories			Suppliers	
Mgt accounts		BOXI	Principal Finance			Tenders and quotations	
						Systems	
						Training	
						Guidance	
						Reports	
						Product evaluation	
						Product Information	
						Requisitions	
						Advertising	
						Purchase orders	
						Groups & Committees	

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Human Resources						
Administering Employees	Employee Engagement	Employee performance mgt	Recruitment	Ts & Cs of Employment	Learning and Development	Workforce Planning
Absence	Partnership working	Performance Review	Authorisation	Staff benefits	Accreditation	Establishment
PVG / Disclosure Scotland	Trade Union Liaison	Reporting lines	Interview guidance	Staff facilities	KSF	Development/succession planning
Counselling	HR Policies	Staff Directory	Job Descriptions	Staff recognition & awards	Support training	Reporting
Work permits	Staff Survey		Process	T&C	Training plan	Groups & Committees
P files	Groups & Committees		Redeployment	OHS	Training courses	
Induction			Secondment	OHS SLA	OD	
Leave			Volunteers		Groups and committees	
grievances			Work placement		reporting	
maternity/paternity/adoption			Medical staffing			
Job Evaluation			Groups & Committees			
Termination						
Exit Interviews						
Discipline						
Disclosure of interest						
Professional Registration						

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Clinical Support				
Health Intelligence & Clinical Governance	Infection Control	Public Health	Clinical Admin	Health Promotion
Datix	Decontamination	Port Health	Systems	Performance targets
Clinical documentation	Strategy, policy & procedure	Health Protection	records mgt	Healthy Working Lives
Risk mgt	Inspections	Screening programmes	Strategy, policy & procedure	ADP
Health data	Action plans	Civil Contingencies / Resilience	Performance Targets	Groups & Committees
Best practice	Groups & Committees	Performance targets	Groups & Committees	
Groups & committees	reporting	Vaccination programmes		
Clinical audit	Performance Targets	Groups & Committees		
Serious Adverse events				