



south ayrshire
health & social care
partnership

South Ayrshire Integration

Joint Board

Records Management Plan

Submitted in Accordance with the Public Records

(Scotland) Act 2011

2019

Document Control

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Authorised By	
Source Location	
Published Location	
Other documents referenced	
Related documents	
Acknowledgements	
Classification	

Document Revision

Version	Date Issued	Last Review Date	Author	Update Information
0.1	November 2018	N/A	R. Queen & D McVey	<i>Initial draft of IJB RMP for review</i>
0.2	December 2018	N/A	R. Queen and D McVey	<i>Updates to reflect new evidence and processes</i>
0.3	January 2019	N/A	R Queen & D McVey	<i>Updated tracked changes made by Bill Gray</i>
0.4	January 2019	N/A	R Queen & D McVey	<i>Updates made as per BG Tracked changes.</i>
0.5	January 2019	N/A	R. Queen & D McVey	<i>Minor updates and inserting contract clause to allow draft to be reviewed by NRS</i>
0.6	January 2019	N/A	D McVey & R Queen	<i>Amendments following NRS Feedback</i>

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Introduction

About South Ayrshire Integration Joint Board

South Ayrshire Integration Joint Board (hereinafter referred to as “the Board”) was established under the Public Bodies (Joint Working) (Scotland) Act 2014. The South Ayrshire Integration Scheme received Royal Assent on 1st April 2015 and the Board was formally established on 2nd April 2015.

From 2nd April 2015 the Board became responsible for the planning and oversight of delivery of health and social care functions, delegated to it by NHS Ayrshire & Arran and South Ayrshire Council. These include Adult Social Care Services, Community Health and Social Care Services for Children and Families, Justice Services, Adult Health, Community and some hospital services. The area covered by the Board is coterminous with the South Ayrshire Council Local Authority.

The Board operates as a separate legal entity from NHS Ayrshire & Arran and South Ayrshire Council, acting independently from both. It consists of eight voting members appointed in equal number by NHS Ayrshire & Arran and South Ayrshire Council, with a number of representative members drawn from other sectors, including the independent and third sectors, and to represent other stakeholders including staff, carers, service users and some professions. The Board is advised by a number of professionals including the Chief Officer, Clinical Director, Nurse Director, Chief Social Work Officer and Chief Finance Officer.

The key Board functions are to:

- **Prepare a Strategic Commissioning Plan for integrated functions that is in accordance with national and local outcomes and integration principles;**
- **Allocate the integrated budget in accordance with the this Plan;**
- **Oversee the delivery of services that are within the scope of the Partnership;**

The Board recognises the importance information and recordkeeping plays in underpinning its over-arching strategic objectives and helping it to meet national and local outcomes.

The Public Records (Scotland) Act 2011

The Public Records (Scotland) Act 2011 (hereafter referred to as ‘the Act’) came into force in January 2013. The Act obliges the Board and other public authorities to prepare and implement a Records Management Plan (RMP). The RMP sets out proper arrangements for the management of records within the Board

The Board’s Records Management Plan is based on the Keeper’s published Model Records Plan. The model plan has 14 Elements:

- Element 1: Senior Management Responsibility
- Element 2: Records Manager Responsibility
- Element 3: Records Management Statement
- Element 4: Business Classification Scheme
- Element 5: Retention Schedule
- Element 6: Destruction Arrangements
- Element 7: Archiving and Transfer Arrangements
- Element 8: Information Security
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- Element 10: Business Continuity and Vital Records
- Element 11: Audit Trail
- Element 12: Competency Framework for Records Management Staff
- Element 13: Assessment and Review
- Element 14: Shared Information

This Plan relates to records throughout their lifecycle, from creation and acquisition to archive and destruction. It encompasses all records held across the Board, whether electronic or physical. The Board recognises and acknowledges that its records are held on South Ayrshire Council's systems (hereinafter referred to as "the Council") and the Board's Plan therefore reflects in many ways the Council's Records Management Plan ([SAC Records Management Plan](#)) which was approved by the Keeper on an Improvement Model basis on 1st September 2017 ([SAC RMP Keeper Assessment Report](#)).

The following Plan demonstrates the intent of the Board to be committed to continuous improvement in the way in which we manage and use our records. This Plan will be regularly and formally reviewed, in order to report to the Keeper on the adoption of each element of the scheme. The review and assessment arrangements are explained more fully in relation to Element 13.

Element 1: Senior Management Responsibility

Identify person at senior level who has overall strategic responsibility for records management

- 1.1 The confirmation of senior management responsibility for the Records Management Plan is a compulsory element under the Public Records (Scotland) Act 2011. The Senior Manager who has overall strategic responsibility for records management is Tim Eltringham:

Tim Eltringham

Chief Officer, South Ayrshire Integration Joint Board
Elgin House
Ailsa Hospital
Dalmellington Road
Ayr
KA6 6AB
Tel: 01292 612419
Email: tim.eltringham@south-ayrshire.gov.uk

- 1.2 As recognition of the importance of senior management championing good records management practice, the Chief Officer fully endorses the Records Management Plan and takes senior responsibility for the full compliance and implementation of the records management procedures detailed in this Plan across the Board.
- 1.3 The Chief Officer acknowledges all Board records are held on Councils systems and will ensure, when required, improvements to records management procedures are implemented corporately and monitored by the Council's Records and Data Officer through the assessment and review process.

Evidence:

1. Appendix 1 - SAIJB E01 - Letter of Responsibility from Chief Officer, dated 15th January 2019

Element 2: Records Manager Responsibility

Identify an individual within the organisation, answerable to senior management, to have operational responsibility for records management within the organisation

2.1 The confirmation of operational management responsibility for the Records Management Plan is a compulsory element under the Public Records (Scotland) Act 2011. The Records Manager who has senior accountability for the day-to-day implementation and compliance with this Plan is Deborah McVey, Team Leader (Information Governance), South Ayrshire Council:

Deborah McVey

Team Leader (Information Governance)

Regulatory Services

South Ayrshire Council

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Wellington Square

Ayr

KA7 1DR

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2.2 The Team Leader works in close collaboration with the Records and Data Officer, and the Co-ordinator (Registration, Records and Information) and this appointment is endorsed and formally acknowledged by the South Ayrshire Integration Joint Board on 27th June 2018. The minute of this meeting can be found at the following link, under agenda item 16, <https://www.south-ayrshire.gov.uk/health-social-care-partnership/documents/item%203%20-%20ijb%20minutes%202018%2006%2027.pdf>.

Evidence:

1. Appendix 2 - SAIJB E02 - Job Description: Team Leader (Information Governance)
2. Appendix 3 - SAIJB E03 – Minute of South Ayrshire Integration Joint Board, dated 27 June 2018

Element 3: Records Management Policy Statement

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

- 3.1 The Board's records are held on Council systems. On this basis, it was formally agreed by the Board on 12th December 2018 that it would follow the Council's records and data policies and procedures, including adopting the Council's Records Management retention scheduling recommendations (Item 10) <https://www.south-ayrshire.gov.uk/health-social-care-partnership/integration-joint-board/integrationjointboard2018.aspx>. The Board is committed to effective records management as set out in the Council's Records Management Policy Framework, which was approved by South Ayrshire Council on 12th May 2016: <https://www.south-ayrshire.gov.uk/ext/committee/CommitteePapers2016/South%20Ayrshire%20Council/12%20May/MSAC120516.pdf>

The Board acknowledges all records created and received during the conduct of business, and all information systems used to create, hold and manage records, must be subject to robust records management policies, procedures and best practice. This Council Policy Framework provides the overarching framework for all other supporting Council records management policies, practices or guidelines, also adopted by the Board on 12th December 2018.

A commitment to effective records management allows the Board to meet its statutory, regulatory, administrative and accountability requirements including compliance with the Public Records (Scotland) Act 2011. Utilising the Council's Policy Framework supports all members of staff understand their responsibilities in relation to the information they produce and handle on behalf of the Board. This Policy Framework is available on both the Council's internal intranet and its external public website at: <https://www.south-ayrshire.gov.uk/foi/policy.aspx>, resulting in all Board recordkeeping staff and stakeholders being able to easily access this key Council records management policy.

- 3.2 The Council's Records Management Policy Framework is based on the following principles:

"Effective records management delivers the following significant benefits:

- (i) it allows the Council to know what records it has, and how to locate them easily;
- (ii) increased administrative efficiency and effectiveness;
- (iii) improved information security as records are accessed on the 'need to know' principle;
- (iv) improved transparency and accountability;

- (v) improved achievement of business objectives and targets; Supports decision making;
- (vi) improved compliance with legislation or guidelines governing the retention of local authority records;
- (vii) identification, at the earliest possible moment, of records with historical value for permanent retention as archives; and
- (viii) improved compliance with legislation such as the Freedom of Information (Scotland) Act 2002, Environmental Information Regulations 2004, and the General Data Protection Regulation 2016 (as supplemented by the Data Protection Act 2018).

3.3 The Board has formally agreed to adopt all Council Records, Information and Data policies and procedures on 12th December 2018 (Item 10) <https://www.south-ayrshire.gov.uk/health-social-care-partnership/integration-joint-board/integrationjointboard2018.aspx> showing a real commitment to effective records management. As all Board recordkeeping staff are Council employees, they have access to all policy and procedures produced by Council as and when required through the Council intranet.

Evidence:

1. Appendix 4 – SAIJB E04 - South Ayrshire Council Records Management Policy Framework 2018
2. Appendix 5 – SAIJB E05 - Minute of SA Integration Joint Board, dated 12th December 2018
3. Appendix 6 – SAIJB E06 - Extract of Minute of South Ayrshire Council Meeting approving Records Management Policy Framework, dated 12th May 2016
4. Appendix 7 – SAIJB E07 - SAC Records Management Intranet Area (Screenshot)

Element 4: Business Classification Scheme

A Business Classification Scheme describes the functions the authority undertakes – whether alone or in partnership

- 4.1 The Council has developed a business classification scheme encompassing all the functions of the Council, South Ayrshire Licensing Board and the Board, arranged into relevant functions and activities. The scheme is based on and operates in conjunction with the Scottish Council on Archives Records Retention Schedule (SCARRS), which the Council has adapted to meet business requirements. The Board's records form part of the Council's Business Classification scheme.
- 4.2 The Board recognises that a comprehensive business classification scheme is crucial to compliant records management for records held in all formats. With the increase in electronic records in recent years, effective records management must take into account the classification, storage, retention and audit of electronic records as well as paper records. The Council's function based business classification scheme ensures consistency within records management regardless any future changes to the structure of the organisation.
- 4.3 At the present time electronic records held by both the Board and the Council are stored on Council servers under file folder. No electronic document records management system is currently implemented. In this environment, in order to implement the business classification scheme to Board records, the Council's Records and Data Officer and other members of the Council's Information Governance team have worked closely with Board recordkeeping staff to rationalise records management practice to ensure electronic records are stored under the file folder structure of the business classification scheme, promoting easy location of Board records.
- 4.4 These Board staff members have followed the Council's Business Classification scheme and the Council's Guide to Organising Electronic Folders (which is currently in draft format and being piloted across Council services), resulting in Board records now being organised in a file folder structure to meet the Council's Corporate Scheme. This will assist staff in knowing where our information is held and how long it requires to be retained, as the function and activity levels of the file folder structure replicate those of the Boards relevant parts of the Council's retention schedule.

Evidence:

1. Appendix 8 – SAIJB E08 - IJB Business Classification Scheme
2. Appendix 9 – SAIJB E09 – IJB File Folder Business Classification Scheme (Screenshot)
3. Appendix 10 – SAIJB E10 – SAC Records Management Guide to Organising Electronic Folders V0.1 (Draft)

Element 5: Retention Schedule

A Retention Schedule is a list of records for which pre-determined disposal dates have been established

- 5.1 Records retention scheduling for the Board's records is undertaken by following the Council's Corporate Retention schedule, which is based on the Scottish Council on Archives Record Retention Schedule (SCARRS). The Council has adapted their retention schedule to reflect the specific records produced and held not only by the Council but also the Board, as well as South Ayrshire Licensing Board.
- 5.2 The Council's adoption of the SCARRS model of retention scheduling was approved by South Ayrshire Council at its meeting on 6th October 2016: <https://ww20.south-ayrshire.gov.uk/ext/committee/CommitteePapers2016/South%20Ayrshire%20Council/6%20October/MSAC061016.pdf> The Board fully supports and agrees to follow the Council's records retention schedule, which was formally agreed by the Integration Joint Board on 12th December 2018 (Item 10) <https://www.south-ayrshire.gov.uk/health-social-care-partnership/integration-joint-board/integrationjointboard2018.aspx>. The Retention Schedule applies to all records created and held by the Board, in all formats.
- 5.3 The Records and Data Officer, from the Council's Information Governance Team, has met with Board staff to discuss which of the function, activity and transaction sections of SCARRS are relevant, and agreed the appropriate retention period, given different business needs. This engagement with individual staff in the Board ensures that Board recordkeeping staff are aware of our statutory requirements for records management and the importance of accurate records retention. Furthermore, this engagement ensures that records retention is given a high priority and gives ownership and understanding of the Board's records management practice. The Retention Schedule applies to all records created and held by the Board, in all formats. The Board recognises the statutory and business requirements to define how long records should be kept, to dispose of them when they are no longer needed for business use and to give explanation as to the decision to destroy or retain records.
- 5.4 The relevant mapping of the Board's records into the Council's Retention Schedule has been agreed by the Senior Manager of Planning and Performance (Health & Social Care Partnership) on behalf of the Board on 2nd November 2018. Any future amendments to this will be progressed between the Board and the Council's Records and Data Officer, with support from the Team Leader (Information Governance). The Council's retention schedule is published both on the external Council website at: <https://www.south-ayrshire.gov.uk/foi/policy.aspx> and the Council's internal intranet, to which Board staff have access. This is a working document that is subject to amendment to reflect business functions and requirements.

Evidence:

1. Appendix 11 – SAIJB E11 - South Ayrshire Council Records Retention Schedule
Appendix 12 – SAIJB E12 - Minute of South Ayrshire Council, dated 6th October 2016 [Item 8]
2. Appendix 13 - SA IJB E13 - Retention Schedule Approval form, dated 2nd November 2018
3. Appendix 5 – SA IJB E05 - Copy of Minute of SA Integration Joint Board, dated 12th December 2018

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Element 6: Destruction Arrangements

It is vital 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 proper destruction arrangements

- 6.1 The destruction of Integration Joint Board records will occur at the end of retention periods as set out in South Ayrshire Council's retention schedule (which incorporates the South Ayrshire Integration Joint Board). The retention schedule stipulates the length of time records should be retained. Unless subject to a review or an exemption, records should be destroyed within the prescribed timescale. This includes backup copies stored on alternative media. Failure to destroy such records will bring the Integration Joint Board into conflict with Data Protection and Freedom of Information legislation. The Integration Joint Board has a number of destruction arrangements in place. For the purpose of the Records Management Plan, destruction or destroyed means either the destruction of paper records or the deletion of electronic records.
- 6.2 The Integration Joint Board follows all of South Ayrshire Council's policies and procedures in relation to Records Management as agreed by the Integration Joint Board's meeting of 12th December 2018. Guidance on the Council's policies for the destruction of records is available on the Council's internal intranet, Re-Wired, which all Integration Joint Board recordkeeping staff have access to. The Council's Records Disposal Policy gives guidance for the destruction of all types of records. An E-Learning training module for GDPR/Data Protection and Information Security underlines the importance of adhering to destruction arrangements and is a mandatory requirement for completion by all Council and Integration Joint Board staff. This ensures that all staff can understand their responsibilities for the security of records and the appropriate method and time of destruction, particularly in relation to personal information.
- 6.3 Regardless of the format of records, the Integration Joint Board is required to keep a Disposal Schedule, detailing the records disposed of, the date of disposal, and the member of staff carrying out disposal. Decisions to dispose of records at service area level are taken by relevant Senior Management, only after the minimum retention period has been exceeded, as outlined in the relevant section of the Council's Records Retention Schedule and where we are satisfied that no useful purpose can be served by further retention. Support is provided to Integration Joint Board staff by the Council's Information Governance Team, particularly the Council's Records and Data Officer, with guidance to the Board's recordkeeping staff on the Council's requirements for the disposal of records, together with a sample recommended Disposal Schedule being available within the Disposal Policy on the Council's intranet.
- 6.4 A Disposal Schedule is also maintained by Council Records Management staff recording those records that have been disposed of at the Council's Corporate Records Management Centre. The Integration Joint Board can consign non-current records to the Council's Records Management Centre. The Council's Corporate Records Management Service requires a Destruction of Records Authorisation Form to be completed by the relevant depositing service prior to the destruction of consigned

records. The form is signed by the authorising service manager within the Board authorising destruction of records no longer required for business purposes and that are out-with their retention period. Once destroyed, the Council's Records and Data Officer will provide confirmation to the relevant depositing service manager of the record destruction date by using a Destruction of Records Confirmation Form.

- 6.5 In order to protect records that may have archival significance, these records are noted as having potential archival significance at the time of consignment via the retention schedule disposal action. The Archive Service is consulted by Records Management where the records have potential archival significance. The Board uses Ayrshire Archives for any archival services that are required, which is explained in greater detail within Element 7.
- 6.6 The Council has prepared an Information Classification Guide and Information Classification Procedure, which are currently being considered for formal adoption by the Council. These Guides and procedures outline how records can be classified as OFFICIAL and OFFICIAL-SENSITIVE, and assist Board staff in establishing where information contained within documents is of a personal, sensitive or confidential nature. Board staff have access to these procedures and guidelines through the Council's Intranet.

Paper Records:

- 6.7 The operational base for the Integration Joint Board is Elgin House, Ailsa Hospital, Ayr. As this is a NHS Ayrshire and Arran location, the Board has adopted NHS processes and procedures to destroy confidential paper records. NHS Ayrshire and Arran currently use an in-house shredding service operated at both the Ailsa Hospital and Crosshouse Hospital. All confidential waste is collected by NHS Ayrshire and Arran's porter service and transported to either Crosshouse Hospital or Ailsa Hospital where it is shredded by NHS Ayrshire and Arran staff. As this process is carried out by in-house staff it therefore means no third party has access to any confidential information and the destruction is carried out in a controlled, secure and irretrievable manner.

Electronic Records:

- 6.8 The introduction of the business classification scheme to the Board's file folder structure on the Council server aids the correct destruction of electronic records as the Scheme reflects the functions and activities of the Council's SCARRS records retention schedule. Further, the Council's Records Management Service has developed a draft Guide to Organising Electronic Folders which is being piloted across Council services and the Board, to guide staff in implementing the Business Classification Scheme into their electronic file folder structures at service level.
- 6.9 The Council's Records Management Service has also developed a Guide to Record Naming Conventions and Managing Emails, which are also being piloted across Council Services in conjunction with the Guide to Organising Electronic Folders. This

pilot across services will allow Records Management to elicit feedback and develop content prior to formal implementation. The Board is currently involved in this pilot process. It is anticipated the introduction of standardised naming conventions will aid accurate destruction of electronic records, as records will be easily identifiable and will contain the date of creation in the file name, with the Guide to Managing Emails supporting staff in retaining their emails in a centralised location for improved retention scheduling and access.

Information Technology:

- 6.10 Board staff are required to follow Council Information Security Policies, which are available on the Council's Intranet. In addition to manual or automatic destruction of electronic records, Council computer hardware is suitably cleansed of any trace of records that had been stored on the device, which includes Council hardware utilised by Board staff (who are Council employees). This service is undertaken by Computer Components (North) Limited (CCL), who dispose of all components which can carry Council information to a standard that complies with UK government standards for the disposal of public sector information. CCL then provide a log of the destroyed material, which is kept by the Council's ICT Service for audit purposes. The Council's contract with CCL has recently been renewed in December 2018.
- 6.11 Records stored on Council network file servers or within database systems are backed up nightly. Back-ups are stored for an agreed period of time before being destroyed. As all Board records are held on Council systems, they are backed up in accordance with this regime.

Evidence:

1. Appendix 5 – SAIJB E05 - Minute of SA Integration Joint Board, dated 12th December 2018
2. Appendix 7 – SAIJB E07 - SAC Records Management Intranet Area (Screenshot)
3. Appendix 14 – SAIJB E14 – SAC Records Disposal Policy 2018
4. Appendix 15 – SAIJB E15 – SAC Information Governance & and Information Security E-Learning Module (Screen Shots)
5. Appendix 16 – SAIJB E16 - SAC Example Disposal Register
6. Appendix 17 – SAIJB E17 – SAC Corporate Records Management Service Destruction of Records Authorisation Form
7. Appendix 18 – SA IJB E18 - SAC Corporate Records Management Service Destruction of Records Confirmation Form
8. Appendix 19 – SAIJB E19 – SAC Information Classification Overview (September 2016)
9. Appendix 20 – SAIJB E20 – SAC Information Classification Guide (September 2016)
10. Appendix 21 – SAIJB E21 – NHS Confidential Waste Posters
11. Appendix 22 – SAIJB E22 – NHS Confidential Waste Removal Process

12. Appendix 23 – SAIJB E23 – NHS Confirmation of Destruction Arrangements (16 Oct 2018)
13. Appendix 10 – SAIJB E10 – SAC Guide to Organising Electronic Folders V0.1 (Draft)
14. Appendix 24 – SAIJB E24 – SAC Guide to Record Naming Conventions V0.1 (Draft)
15. Appendix 25 – SAIJB E25 – SAC Guide to Managing Emails V0.1 (Draft)
16. Appendix 26 – SAIJB E26 – SAC Information Security Policy (2012)
17. Appendix 27 – SAIJB E27 – SAC CCL Contract Award Letter, December 2018
18. Appendix 28 – SAIJB E28 – SAC Protocol of Disposal of Computer Equipment 2017
19. Appendix 29 – SAIJB E29 – SAC ICT Back-up Regime

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Element 7: Archiving and Transfer Arrangements

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

- 7.1 In line with the Board's records retention schedule, some records are deemed to have historical significance and are to be retained permanently. Other records may be reviewed for the possibility of permanent retention, or have a sufficiently long retention period that it is efficient and effective for these records to be transferred to South Ayrshire Council's Records Management Centre until out-with retention. It has been agreed the records of the Board can be transferred to Council's Records Management Centre once they become semi-current, if appropriate.
- 7.2 The Council's Records Management Centre currently shares a building with Ayrshire Archives. However, the Council is committed to upgrading its Archive facilities to a new site within South Ayrshire by 2020 with offsite provision of records management storage also being considered. Any offsite provision will be subject to policies and procedures similar to those currently in place.
- 7.3 The Board follows Council's policies and procedures for transferring and archiving records. The procedures and policies for archiving and transfer to the Records Management Centre are available to recordkeeping staff of the Board, on the Council's intranet, which Board staff have access to.
 - 7.3.1 Records identified as an archive, or suspected to be of an archival nature, should be brought to the attention of the Council's Records and Data Officer in the first instance that will collect the records for appraisal by the Archivist at Ayrshire Archives. Once appraised, the archives will then be moved to a safe and secure environment at the Ayrshire Archives Centre for permanent preservation.
 - 7.3.2 If the Board requires records to be consigned to the Records Management Centre, the Council's Records Management team should be contacted via email to assign a consignment number. A records deposit form and a records transmittal list, detailing the contents and the retention period of each box to be transferred, should be completed by the service area and sent to the Records Management team via email. Once stored in the appropriate records management boxes, files can be transferred to the Council's Records Management Centre.

A master transmittal list is maintained by the Council's Records Management Service which details every record consigned to their Records Management Centre, ensuring an audit trail from consignment to destruction, so that every record can be accounted for. In the event that the Integration Joint Board requires records to be taken out of storage at the Records Management Centre for a period of time, a form is to be completed in triplicate, detailing the record removed, consignment number, employee requesting the record and

destination. These forms are kept in the file, by the Council's Records Management staff and in the box where the record was removed, or on the space in the shelf if the full box was removed. This ensures that consigned records are accounted for at all times and there is a clear audit trail for the location of the records.

- 7.4 A Memorandum of Understanding has been established between the Board and Ayrshire Archives. This MOU was agreed on 6th December 2018. The Memorandum formalises the arrangement for any records of archival value produced by the Board to be transferred to Ayrshire Archives, when appropriate.

Evidence

1. Appendix 30 – SAIJB E30 - Minute of Agreement between East Ayrshire Council, North Ayrshire Council and South Ayrshire Council, appointing Joint Body of Ayrshire Archives
2. Appendix 31 – SAIJB E31 - Ayrshire Archives Acquisition Policy
3. Appendix 32 – SAIJB E32 - SAC Records Transfer and Archives Policy 2018
4. Appendix 33 – SAIJB E33 - SAC Records Management Guide to Completing Records Deposit Form and Records Transmittal List
5. Appendix 34 – SAIJB E34 – SAC Records Management Example Transmittal List
6. Appendix 35 – SAIJB E35 – SAC Records Management Example Records Deposit Form
7. Appendix 36 – SAIJB E36 – SAC Records Management Frequently Asked Questions
8. Appendix 37 – SAIJB E37 – SAC Records Management Records Disposal to Archives Authorisation Form
9. Appendix 38 – SAIJB E38 – SAC Records Management Information Leaflet
10. Appendix 39 – SAIJB E39 – SAC Records Management Example Triplicate Retrieval Form
11. Appendix 40 – SAIJB E40 – Memorandum of Understanding between Ayrshire Archives and South Ayrshire Integration Joint Board, dated 6th December 2018
12. Appendix 41 – SAIJB E41 – SAC Capital Investment Report, dated March 2017 (Ayrshire Archives upgrading)
13. Appendix 7 – SAIJB E07 - SAC Records Management Intranet Area (Screenshot)

Element 8: Information Security

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

- 8.1 Due to the nature of the Board's statutory and business requirements, records that hold Board information should not be amended or deleted without appropriate authority, and be held on secure systems. The Board has adopted the Council's Information Security Policies and Procedures and Board staff has access to the Council's intranet which contains a mini-site dedicated to information security. The Council's Information Security Policy is readily available to staff through this site, as is the Council's Information Security Incident Management Procedure. The Council's Information Security Policy sets out how the information held on Council systems, including that of the Board, is held to take into consideration the "confidentiality, integrity and availability of information assets, whilst minimising business damage through the implementation of controls and procedures". Information Classification also ensures that sensitive material is appropriately marked and protected throughout its life cycle.
- 8.2 The Council's ICT Acceptable Use Policy guides all staff using Council systems on their responsibilities in terms of information security and the rules on use of email, internet and computer use on Council devices. This minimises the risk of data loss or corruption from malicious sites and software, and reduces the likelihood of sensitive data being distributed incorrectly. As the Board utilises Council ICT hardware and software it follows all the Council's policies and procedures in relation to ICT and Information Security.
- 8.3 Information Security training is compulsory for all staff members accessing Council systems in order to ensure that each employee understands the risks of failure to adhere to information security policies, their responsibilities to ensure information security, and to contact the Information Security Officer if they are concerned about potential breaches. This training is delivered to all staff through the Council's Information Governance COAST training module, through a joint GDPR and Information Security mandatory training course. Staff must be able to evidence they have understood the course, by completing an assessment which has a 100% pass mark requirement.
- 8.4 Guidance is also given to Board staff regarding the correct and most effective ways to store records to minimise the risk of loss of records due to poor storage. The Council's Records Management Guide to Staff is a comprehensive document advising on all aspects of records management, including the correct methods of storing electronic and paper records. The Council's Records Transfer and Archive Policy instructs as to the safest method of transporting records.

Evidence

1. Appendix 42 – SAIJB E42 - Screenshot of SAC Intranet Information Security 2018
2. Appendix 43 – SAIJB E43 - Screenshot of SAC Intranet Information Governance 2018
3. Appendix 26 – SAIJB E26 – SAC Information Security Policy 2017
4. Appendix 44 – SAIJB E44 - SAC Information Security Incident Management Procedure V1.8 2015
5. Appendix 19 – SAIJB E19 – SAC Information Classification Overview 2016
6. Appendix 20 – SAIJB E20 – SAC Information Classification Guide 2016
7. Appendix 45 – SAIJB E45 – SAC Acceptable Use Policy 2017
8. Appendix 15 – SAIJB E15 – SAC GDPR/Data Protection and Information Security E-Learning Module (Screen Shots)
9. Appendix 46 – SAC Records Management Guide to Staff 2018
10. Appendix 32 – SAIJB E32 – SAC Records Transfer and Archives Policy 2018
11. Appendix 14 – SAIJB E14 – SAC Record Disposal Policy 2018

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Element 9: Data Protection

An authority that handles personal information about individuals has a number of legal obligations to protect that information under the General Data Protection Regulation 2016 as supplemented by the Data Protection Act 2018

- 9.1 The Board treats its obligations under the General Data Protection Regulation 2016 and the Data Protection Act 2018 very seriously and this Plan recognises the role robust records management practice has on the authority's ability to meet its obligations. As all records of the Board are held on Council systems any Data Protection concerns are addressed through the Council's Data Protection Officer and ICO registration. The Council's registration with the Information Commissioner's Office is available at: <https://ico.org.uk/ESDWebPages/Entry/Z5548592>.
- 9.2 Personal data is processed by the Board through our Complaints Handling procedure, our Freedom of Information process and the gathering of personal data to administer our Board meetings. This information is all stored on South Ayrshire Council systems, and has been included within the Council's GDPR Information Asset Register.
- 9.3 As with all Council policies referenced within this Plan, Board staff adhere to all of Council's policies and procedures in relation to Board records and data protection. The Board fully endorses and adheres to the Principles of data protection, as set out in the General Data Protection Regulation 2016, as supplemented by the Data Protection Act 2018. The Council's Data Protection Policy is available on the Council's website at <https://www.south-ayrshire.gov.uk/foi/documents/Data%20Protection%20Policy.pdf> and is available for staff to access on the Council intranet. This Policy was revised in compliance with the General Data Protection Regulation 2016 and approved by the Council's Leadership Panel on 22nd May 2018 [Item 7]. <https://www.south-ayrshire.gov.uk/ext/committee/committeepapers2018/Leadership%20Panel/220518/LP%20Mins%2022%20May%202018.pdf>
- 9.4 Further, the Council's Data Protection Code of Practice sets out in more detail all aspects of data protection and the Board staff's responsibilities in meeting all data protection principles, with this Code of Practice currently being updated by the Council to reflect the Principles as defined in the 2016 Regulation. The Council's intranet contains an Information Governance mini-site, accessible from the homepage, where the Data Protection Policy and Data Protection Code of Practice are available for employees.
- 9.5 Data Protection training is also compulsory for all employees, ensuring that each employee is aware of their obligations under the GDPR and the Data Protection Act 2018, with staff advised to contact the Council's Data Protection Officer in the event of a data breach and having the facilities to report a data breach through the Council's Intranet. Many of the elements of this Plan have a direct impact on the Board's responsibilities regarding data protection. Measures such as adherence to the Council's corporate records retention schedule and information security procedures, for example, assist the Board in ensuring that personal data held is accurate, is only held for as long as necessary and processed fairly and lawfully.

9.6 The Board's web page is hosted by South Ayrshire Council. The Council's external website sets out its privacy policy at <http://www.south-ayrshire.gov.uk/terms/policy/> which the Board adheres to. The Council's Data Protection Policy is also published on the external website, <https://www.south-ayrshire.gov.uk/foi/personal-data.aspx> which is recognised as the Policy staff supporting the Board will comply with and the again ensuring the public are informed of the measures taken by the Council to protect sensitive and personal information.

Evidence

1. Appendix 47 – SAIJB E47 – SAC ICO Registration 2018/19
2. Appendix 48 – SAIJB E48 – IJB Information Asset Register Entries (Screen Shots)
3. Appendix 49 – SAIJB E49 – SAC Data Protection Policy 2018
4. Appendix 50 - SAIJB E50 – SAC Minute Leadership Panel, date 22 May 2018
5. Appendix 51 – SAIJB E51 – SAC Intranet Data Protection Mini-Site (Screen Shot)
6. Appendix 52 – SAIJB E52 – SAC Data Protection Code of Practice 2016
7. Appendix 53 – SAIJB E53 – SAC Intranet Homepage (Info Gov. & Info Security) (Screen Shot)
8. Appendix 42 – SAIJB E42 – SAC Information Security Intranet (Screen shot)
9. Appendix 15 – SAIJB E15 – SAC Info Gov. COAST Module (Screen shots)
10. Appendix 54 – SAIJB E54 – SAC DP and Info Security Staff Guidance 2018
11. Appendix 55 – SAIJB E55 – SAC Internet Privacy Policy 2018

Element 10: Business Continuity and Vital Records

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.

- 10.1 It is essential that Board can continue to function in the event of an interruption to normal business procedures. The Board utilises the Corporate Business Continuity Plan of the Council as Board's records are held on Council systems. The Council's Business Continuity Plan aims to reduce the impact of a disruption to the Council, and in turn the Board, by restoring critical functions as soon as possible, keeping disruption to a minimum. It is recognised that such a plan needs to be flexible so that it can cater for all types of business continuity incidents or situations. The Plan incorporates a Corporate Business Impact Analysis, which the Board acknowledges reflects the importance of records management.
- 10.2 The Council's Vital Records Policy sets out the process of identifying which records should be classed as vital, how vital records should be stored and protected, and the responsibilities of managers, Board staff and Council Records Management staff regarding vital records. This policy operates in conjunction with business continuity policies and procedures as it defines and protects what records are needed for the Board to continue its operation in the event of an emergency or major disruption to normal service. This policy can be accessed by Board recordkeeping staff through the Council's Intranet.
- 10.3 To date Board Minutes have been classed as Vital records, and are being bound and transferred to the Ayrshire Archives on an annual basis, as part of the aforementioned Memorandum of understanding between the Board and Ayrshire Archives of 6th December 2018.
- 10.4 Further, the Ayrshire Archives Disaster Recovery plan has been developed to improve our ability to prepare for, respond to, and recover from, identified risks associated with disasters and will apply to any Board records held by the Archives.

Evidence

1. Appendix 56 – SAIJB E56 -SAC Corporate Business Continuity Plan 2017
2. Appendix 57 – SAIJB E57 SAC Vital Records Policy 2018
3. Appendix 11 – SAIJB E11 - South Ayrshire Council Records Retention Schedule
4. Appendix 58 – SAIJB E58 – SAC Corporate Business Continuity Strategy 2017
5. Appendix 59 – SAIJB E59 SAC Civil Contingencies Response & Recovery Plan 2017
6. Appendix 60 – SA IJB E60 SAC High Level Scan – Risk & Safety, Business Continuity and Civil Contingencies
7. Appendix 61 – SAIJB E61 – SAC Business Continuity Intranet Mini-Site (Screen Shot)
8. Appendix 40 – SAIJB E40 – Memorandum of Understanding between Ayrshire Archives and South Ayrshire Integration Joint Board, dated 6th December 2018
9. Appendix 62 – SAIJB E62 - Ayrshire Archives Disaster Recovery Plan 2017

Element 11: Audit Trail

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.

- 11.1 A key function of effective records management practice is the ability to monitor the life of a record in terms of edit and location history. The Council's procedures to transfer records to the Corporate Records Management Centre ensures that at all times a Board record can be accounted for in terms of where it is, which member of staff has requested it be consigned or retrieved, when it is out of retention, and whether or not it has been destroyed. Council Records Management staff will monitor requests for files from the Corporate Records Management Service ensuring appropriate metadata is completed to clearly outline the current location of all records consigned to the service.
- 11.2 The Council's Records and Data Officer is currently undertaking an audit of the records consigned to the Corporate Records Management Centre as part of a continuous audit process, ensuring that metadata held on these records is accurate and includes all relevant information, in particular information on retention and disposal. Discussions within the Board regarding record retention scheduling and business classification have also emphasised the importance of maintaining an accurate and up to date audit trail of records, in order to facilitate correct retention and destruction arrangements.
- 11.3 As the Board's records are held on Council's systems there is a requirement to follow the Council's Records Management Policy Framework. This framework states that the Council's Internal Audit service will periodically scrutinise record keeping practices to ensure compliance with this policy framework and as part of risk management. It also provides that the Council's Records and Data Officer will regularly audit the Council's records management practices, which will include the records of the Board, for compliance with this policy framework. The Board will also be expected to audit their own records management practices regularly in light of existing and future legislation and requirements. The Council's Internal Audit will include Information Management as an element in the Risk Register to be periodically scrutinised.
- 11.4 The implementation of the Board's business classification scheme has assisted in developing a corporate file plan that has been introduced across the Integration Joint Board's record keeping systems, with the Council's Records and Data Officer meeting with Board staff to implement this classifications scheme to electronic records held on file folders within Council systems. Additionally, the Board is working in collaboration with the Council's Records and Data Officer to introduce the Council's recommended corporate naming conventions to Board electronic records, which will also assist in facilitating an effective audit trail of records.
- 11.5 Key documents such as the Council's Records Management Policy Framework, Records Transfer and Archives Guidance, and Disposal Policy give clear guidance to the Board ensure accurate audit trails for records which are consolidated by procedures such as those relating to consignment, retrieval, classification and file

naming. The Board recognises these Council policy and procedural provisions are especially critical to monitoring electronic records of the Board stored on Council shared drives, where it is more challenging to ensure commonality and accuracy in the audit trail of records.

- 11.6 The Council's Records Management Policy Framework and the proposed Naming Conventions for records stipulate all employees are responsible for creating and maintaining authentic and reliable records by following guidance on naming conventions and storage of electronic records. The documents accessed by Board employees and submitted in evidence of this Plan assist Board staff to be able to carry out this responsibility.

The Council's Records Management Guide to Staff provides guidance and assistance in managing electronic records effectively. For example:

- It stipulates that staff should not create or store electronic records on a PC hard drive;
- It explains the risks associated with storing electronic records on a PC hard drive and confirms that such records are not backed up by ICT services;
- It explains that records stored on a PC hard drive cannot be accessed by other employees and are at risk of being lost; and
- It stipulates that metadata (i.e. the data about records) should be attached to electronic records when possible at the time of creation, which may include details of the author, context, and the document version.

The necessity of a clear audit trail is emphasised throughout by guiding staff to ensure a file tracking system is adopted within service areas therefore allowing hard copy records to be easily tracked and located. It recommends to Board staff that the record tracking system should be used when a record is removed from its filing structure and should detail the name of the person removing the file and the date.

Additionally the Board recognises advice and guidance provided by the Council's Information Governance team relating to version controls for electronic records, and how measures such as version control, file naming conventions, managing emails and having a clear file folder structure assists in the provision of providing an audit trail for both hard copy and electronic records.

Evidence

1. Appendix 4 – SA IJBE04 SAC South Records Management Policy Framework 2018
2. Appendix 8 – SAIJB E08 - IJB Business Classification Scheme
3. Appendix 9 – SAIJB E09 – IJB File Folder Business Classification Scheme (Screen shot)
4. Appendix 32 – SAIJB E32 – SAC Records Transfer and Archives Policy
5. Appendix 14 – SAIJB E14 – SAC Records Disposal Policy
6. Appendix 46 – SAIJB E46 – SAC Records Management Guide to Staff
7. Appendix 63 – SAIJB E63 – SAC Records Management Audit Form (Example)

8. Appendix 64 – SAIJB E64 – SAC Records Management Issues and Returns Spreadsheet (Example)
9. Appendix 65 – SAIJB E65 – SAC Record Issues and Returns Guidance 2017
10. Appendix 24 – SAIJB E24 SAC Records Naming Conventions V0.1 (Proposed)

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Element 12: Competency Framework for Records Management Staff

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.

12.1 The performance and skills of Council employees, which includes the Information Governance and staff supporting the recordkeeping functions of the Board, is measured against key themes within the Council's Performance and Development Review Process (PDR), namely:

- We take responsibility;
- We foster a culture of respect;
- We put customers at the heart of everything we do;
- We embrace change;
- We work as a team.

These new key themes were introduced to the Council in 2018, with staff being recruited based against competencies in each of these areas and their competency reviewed on an annual basis against each theme as part of the Council's PDR process. Both staff within Information Governance and those supporting recordkeeping for the Board will be reviewed based on these key themes over the coming year, with staff training and guidance provided through the Council's dedicated PDR Intranet site.

E-learning is also a key way that Board employees can maintain their skills and knowledge, with all staff completing the Council's mandatory GDPR and Information security online training module. Board staff also have access to guidance and training information on the Freedom of Information (Scotland) Act 2002 and Environmental Information (Scotland) Regulations 2004 through the Council's dedicated Intranet mini-site with the Council's Records Management Guide to Staff is readily available on the Council's intranet, which all Board staff also have access to. This provides advice on all aspects of records management, from records creation and management considerations, to archiving and disposal.

12.2 The Board recognises that records management is a separate function from general administrative tasks, and therefore the competencies and requirements of Council Records Management staff that support the Board are linked to records management-specific training and development. The Information Governance Team Leader holds a Postgraduate Diploma in Information and Records Management and the Records and Data Officer a Postgraduate Diploma in Records Management and Digital Preservation. Additionally the Council's Records and Data Officer and their Information Governance Team Leader are members of the Archives and Records Association (ARA), Archivists of Scottish Local Authorities Working Group (ASLAWG) and Information and Records Management Society (IRMS).

Evidence

1. Appendix 66 – SAIJB E66 – SAC PDR Intranet Mini-Site Screenshot
2. Appendix 67 – SAIJB E67 – SAC PDR Form Sample
3. Appendix 2 – SAIJB E02 – Job Description: SAC Team Leader (Information Governance)
4. Appendix 68 – SAIJB E68 - Job Description: Records and Data Officer
5. Appendix 69 – SAIJB E69 PDR Team Leader (Information Governance) 2017 – Redacted
6. Appendix 15 – SAIJB E15 Information Governance & DP Training Screenshots
7. Appendix 70 – SAIJB E70 – SAC FOISA Intranet Mini-Site Screenshot
8. Appendix 71 – SAIJB E71 – ASLAWG Minute Issued 2018
9. Appendix 72 – SAIJB E72 – Information & Records Management Society Membership (D. McVey Screenshot)
10. Appendix 46 – SAIJB E46 – SAC Records Management Guide to Staff 2018
11. Appendix 73 – SAIJB E73 – Archives & Records Association Membership R. Queen

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Element 13: Review and Assessment

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

- 13.1 The Board recognises that a robust self-assessment mechanism is instrumental to the success of the implementation of the RMP. The Board's RMP Review Plan sets out the scheduling of regular, formal assessments of the Plan, which will report on the adoption of each element of the scheme, develop or amend the documentation as required, report on progress against the improvement plan, and develop and amend the improvement plan. Review will be carried out on an annual basis following agreement of the Plan by the Keeper of the Records of Scotland.
- 13.2 The assessment will primarily be carried out by the Council's Records and Data Officer, supported by their Information Governance Team Leader. This will ensure that the Plan will be assessed by staff members with records management skills, knowledge and qualifications, who were instrumental in the creation and implementation of the Plan itself. This will be carried out in conjunction with staff from the Integration Joint Board to further ensure that the Plan will be assessed by staff who know and work with the records on a regular basis. The assessment will be signed off by the Chief Officer of South Ayrshire Integration Joint Board, and will be reported to the Board's Performance Panel to ensure there is formal scrutiny of the Board's Records Management practices.
- 13.3 It is recognised that Board records are held on Council systems and accordingly the Council's Records and Data Officer will pro-actively meet with staff within the Board to undertake audit assessment checks to ensure records management practice throughout the organisation meets the Board's Records Management Plan and Council Policies. Council Records Management staff will provide Board staff members with a Records Management Compliance Self-Assessment Workbook, for completion prior to assessment, allowing identification of areas of record keeping practice that do not meet the requirements of the Records Management Plan and Policies, thus ensuring continuous improvement to meet legislation requirements.
- 13.4 Additionally, the Board anticipates the Council's Records Management staff will utilise the Archives and Records Management Service Quality Improvement Tool (ARMS) <http://www.scottisharchives.org.uk/arms> which is recognised as an effective management tool that will provide the necessary support to focus on key outcomes and performance indicators for the Council's Records Management service and therefore the Boards Records Management.
- 13.5 As Board records are held on Council systems, the Board recognises the Council's Internal Audit Service will also audit systems used to keep Board records. This audit includes Information Management as an element in the audit universe and will also

scrutinise record keeping practices during core system audit reviews to ensure compliance with the Council's Policy Framework and as part of Risk Management.

13.6 This combination of short, medium and long term assessment allows checks to be made as to the expected operation of the Plan, to support compliance and good practice.

Evidence

1. Appendix 74 – SAIJB E74 South Ayrshire Integration Joint Board's Assessment Review Plan, dated 6th December 2018
2. Appendix 75 - SAIJB E75 SAC Records Management Compliance Self-Assessment Workbook (V1.0).
3. Appendix 76 – SAIJB E76 SAC Internal Audit Records Management Hazard Identification Document
4. Appendix 77 – SAIJB E77 – SAC Internal Audit Information Security Audit Report (March 2017)

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Element 14: Shared Information

Good information governance requires compliance with, and observation of, numerous legal obligations that exist in relation to the gathering, processing, storage, provision of access to and sharing of information, including personal data, sensitive personal data and information that can more broadly be considered to be “confidential”.

- 14.1 The introduction of the Board between South Ayrshire Council and NHS Ayrshire & Arran in April 2015 resulted in the necessity of information to be shared when necessary to enable the redesign of services and their strategic development across the Health and Social Care Partnership. An effective information sharing protocol is essential to ensure the best and most effective level of care is given to service users across integrated services. Comprehensive guidance is available to staff working within the Board through the Health and Social Care Partnership’s Information Sharing Framework Guidance Document.
- 14.2 Controlled information sharing within the Board is required for effective and efficient delivery of services. Information is readily available to the Board staff on the Council’s intranet to advise staff of their obligations in terms of data protection and the procedures as to when and how information can and should be shared:
- The Data Sharing Checklist is an important resource in assisting employees in ascertaining whether or not specific information can be shared and if it can, what the best method is to ensure the protection of the data;
 - The Information Sharing Flowchart also provides guidance on how and when to share information, in an easy to understand, visual format;
 - The Information Sharing Briefing Note also provides succinct information for staff on the considerations around sharing information;
 - In addition, the Information Classification Guide also protects restricted and confidential records being distributed without authorisation and due consideration to data protection principles;
- 14.3 Access to shared electronic file folders is provided by the Council to Board staff and is controlled through the Council’s active directory. This ensures that information can be easily accessed by Board staff that require this information for their day to day responsibilities, within the parameters of the various legal obligations that exist.
- 14.4 The Council’s Co-ordinator of Registration, Records and Information together with the Council’s Information Governance Team Leader meet with other Information Governance Services of the NHS, and the Health and Social Care Partnerships of East Ayrshire and North Ayrshire on a regular basis through the Information Governance Pan Ayrshire Group (IGPAG) to discuss Information Governance issues affecting Health and Social Care, which includes data sharing. These meetings allow all parties involved to develop best practice and protocols to ensure legislative requirements for sharing data across the NHS and Councils is monitored and scrutinised on a regular basis.

Evidence

1. Appendix 78 – SAIJB E78 - Ayrshire and Arran Protocol for Sharing Information between East Ayrshire Council, North Ayrshire Council, South Ayrshire Council, NHS Ayrshire & Arran, Police Service of Scotland, Integration Joint Boards and Scotland Fire and Rescue Service.
2. Appendix 79 – SAIJB E79 - Health & Social Care Partnership Information Sharing Framework Guidance Document
3. Appendix 80 – SAIJB E80 – SAC Data Sharing Checklist
4. Appendix 81 – SAIJB E81 - SAC Information Sharing Flowchart
5. Appendix 82 – SAIJB E82 – SAC Information Sharing Briefing Note
6. Appendix 19 – SAIJB E19 – SAC Information Classification Overview 2016
7. Appendix 20 – SAIJB E20 – SAC Information Classification Guide 2016
8. Appendix 83 – SAIJB E83 – SAC IGPAI Invitation Screenshot

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Contracts

Section 3 of the Public Records (Scotland) Act 2011 defines:

- (1) In this Act (PRSA) “public records” in relation to an authority, means -
- (a) Records created by or on behalf of the authority in carrying out its functions;
 - (b) Records created by or on behalf of a contractor in carrying out the authority’s functions;
 - (c) Records created by any other person that have come into the possession of the authority or a contractor carrying out the authority’s functions.
- (2) In subsection (1) “contractor”, in relation to an authority, means a person to whom functions of the authority are delegated (whether under a contract or otherwise) by the authority.

- C.1 Under the provisions of the Public Bodies (Joint Working) (Scotland) Act, 2014 the Board can enter directly into contracts for the provision of services. The provisions of Scottish Statutory Instrument 2014 No. 285 states: *“This Order sets out provisions which will apply in relation to the membership, proceedings and operation of all integration joint boards established under section 9 of the Public Bodies (Joint Working) (Scotland) Act 2014. Articles 19 provides for all integration joint boards to be able to enter into contracts for the purpose of carrying out their functions, for example to obtain administrative support, accounting or legal services.”*
- C.2 At the time of submission of this Plan the Board has not entered into any contracts as a separate legal entity. Records pertaining to such contracts for the Board would be held on South Ayrshire Council systems.
- C.3 The Board acknowledges that should it enter into a contract in the future as a public authority is must, when contracting out a function, be satisfied that a contractor can meet our statutory obligations under the Public Records (Scotland) Act 2011. On this basis, a contractor being appointed by the Board will be obliged under standard contract Terms and Conditions (T&Cs) to satisfy the requirements of the Board, to allow us to meet our statutory obligations under the 2011 Act.
- C.4 The Board intends to use the style wording developed by SOLAR for inclusion in contract conditions if they are required in the future. This is available on the Scottish Council on Archives website [Scottish Council on Archives Contract Clauses](#)

This Plan applies to all records created by the Board in carrying out its function and all records created by a contractor in carrying out the authority’s functions.

Evidence

1. Appendix 84 – SAIJB E84 – Scottish Council on Archives Records Management Clauses for Contracts.

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2. Appendix 2 - SAIJB E02 - Job Description: Team Leader (Information Governance)
3. Appendix 3 - SAIJB E03 – Minute of South Ayrshire Integration Joint Board, dated 27th June 2018
4. Appendix 4 – SAIJB E04 - South Ayrshire Council Records Management Policy Framework 2018
5. Appendix 5 – SAIJB E05 - Minute of SA Integration Joint Board, dated 12th December 2018.
6. Appendix 6 – SAIJB E06 - Extract of Minute of South Ayrshire Council Meeting approving Records Management Policy Framework, dated 12th May 2016
7. Appendix 7 – SAIJB E07 - SAC Records Management Intranet Area Screenshot
8. Appendix 8 – SAIJB E08 - IJB Business Classification Scheme
9. Appendix 9 – SAIJB E09 – IJB File Folder Business Classification Scheme (Screenshot)
10. Appendix 10 – SAIJB E10 – SAC Records Management Guide to Organising Electronic Folders V0.1 (Draft)
11. Appendix 11 – SAIJB E11 - South Ayrshire Council Records Retention Schedule
12. Appendix 12 – SAIJB E12 - Minute of South Ayrshire Council dated 6th October 2016 [Item 8]
13. Appendix 13 - SA IJB E13 - Retention Schedule Approval Form, dated 2nd November 2018
14. Appendix 14 – SAIJB E14 – SAC Records Disposal Policy 2018
15. Appendix 15 – SAIJB E15 – SAC Information Governance & and Information Security E-Learning Module (Screen Shots)
16. Appendix 16 – SAIJB E16 - SAC Example Disposal Register
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19. Appendix 19 – SAIJB E19 – SAC Information Classification Overview (September 2016)
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21. Appendix 21 – SAIJB E21 – NHS Confidential Waste Posters
22. Appendix 22 – SAIJB E22 – NHS Confidential Waste Removal Process
23. Appendix 23 – SAIJB E23 – NHS Confirmation of Destruction Arrangements (16 Oct 2018)

24. Appendix 24 – SAIJB E24 – SAC Guide to Record Naming Conventions V0.1 (Draft)
25. Appendix 25 – SAIJB E25 – SAC Guide to Managing Emails V0.1 (Draft)
26. Appendix 26 – SAIJB E26 – SAC Information Security Policy (2012)
27. Appendix 27 – SAIJB E27 – SAC CCL Contract Award Letter 2018
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29. Appendix 29 – SAIJB E29 – SAC ICT Back-up Regime
30. Appendix 30 – SAIJB E30 - Minute of Agreement between East Ayrshire Council, North Ayrshire Council and South Ayrshire Council, appointing Joint Body of Ayrshire Archives
31. Appendix 31 – SAIJB E31 - Ayrshire Archives Acquisition Policy
32. Appendix 32 – SAIJB E32 - SAC Records Transfer and Archives Policy 2018
33. Appendix 33 – SAIJB E33 - SAC Records Management Guide to Completing Records Deposit Form and Records Transmittal List
34. Appendix 34 – SAIJB E34 – SAC Records Management Example Transmittal List
35. Appendix 35 – SAIJB E35 – SAC Records Management Example Records Deposit Form
36. Appendix 36 – SAIJB E36 – SAC Records Management Frequently Asked Questions
37. Appendix 37 – SAIJB E37 – SAC Records Management Records Disposal to Archives Authorisation Form
38. Appendix 38 – SAIJB E38 – SAC Records Management Information Leaflet
39. Appendix 39 – SAIJB E39 – SAC Records Management Example Triplicate Retrieval Form
40. Appendix 40 – SAIJB E40 – Memorandum of Understanding between Ayrshire Archives and South Ayrshire Integration Joint Board dated 06 December 2018
41. Appendix 41 – SAIJB E41 – SAC Capital Investment Report, dated March 2017 (Ayrshire Archives upgrading)
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45. Appendix 45 – SAIJB E45 – SAC Acceptable Use Policy 2017
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74. Appendix 74 – SAIJB E74 South Ayrshire Integration Joint Board's Assessment Review Plan, dated 6th December 2018
75. Appendix 75 - SAIJB E75 SAC Records Management Compliance Self-Assessment Workbook (V1.0).
76. Appendix 76 – SAIJB E76 SAC Internal Audit Records Management Hazard Identification Document
77. Appendix 77 – SAIJB E77 – SAC Internal Audit Information Security Audit Report (March 2017)

78. Appendix 78 – SAIJB E78 - Ayrshire and Arran Protocol for Sharing Information between East Ayrshire Council, North Ayrshire Council, South Ayrshire Council, NHS Ayrshire & Arran, Police Service of Scotland, Integration Joint Boards and Scotland Fire and Rescue Service.
79. Appendix 79 – SAIJB E79 - Health & Social Care Partnership Information Sharing Framework Guidance Document
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