National Records of Scotland

Public Records (Scotland) Act 2011

**Highlands and Islands Airports Ltd
Assessment Report**

The Keeper of the Records of Scotland

17 March 2017

Contents

1. Public Records (Scotland) Act 2011

The Public Records (Scotland) Act 2011 (the Act) received Royal assent on 20 April 2011. It is the first new public records legislation in Scotland since 1937 and came fully into force on 1 January 2013. Its primary aim is to promote efficient and accountable record keeping by named Scottish public authorities.

The Act has its origins in *The Historical Abuse Systemic Review: Residential Schools and Children's Homes in Scotland 1950-1995* (The Shaw Report) published in 2007. The Shaw Report recorded how its investigations were hampered by poor record keeping and found that thousands of records had been created, but were then lost due to an inadequate legislative framework and poor records management. Crucially, it demonstrated how former residents of children's homes were denied access to information about their formative years. The Shaw Report demonstrated that management of records in all formats (paper and electronic) is not just a bureaucratic process, but central to good governance and should not be ignored. A follow-up review of public records legislation by the Keeper of the Records of Scotland (the Keeper) found further evidence of poor records management across the public sector. This resulted in the passage of the Act by the Scottish Parliament in March 2011.

The Act requires a named authority to prepare and implement a records management plan (RMP) which must set out proper arrangements for the management of its records. A plan must clearly describe the way the authority cares for the records that it creates, in any format, whilst carrying out its business activities. The RMP must be agreed with the Keeper and regularly reviewed.

2. Executive Summary

This report sets out the findings of the Keeper's assessment of the RMP of Highlands and Islands Airports Ltd by the Public Records (Scotland) Act 2011 Assessment Team following its submission to the Keeper on 22 April 2016.

The assessment considered whether the RMP of Highlands and Islands Airports Ltd was developed with proper regard to the 14 elements of the Keeper's statutory Model Records Management Plan (the Model Plan) under section 8(3) of the Act, and whether in this respect it complies with it and the specific requirements of the Act.

The outcome of the assessment and the Keeper's decision on whether the RMP of Highlands and Islands Airports Ltd complies with the Act can be found under section 7 of this report with relevant recommendations.

3. Authority Background

Highland and Islands Airports Limited (HIAL) is a public corporation wholly owned by Scottish Ministers. The company operates and manages 11 Airports at Barra, Benbecula, Campbeltown, Dundee, Islay, Inverness, Kirkwall, Stornoway, Sumburgh, Tiree and Wick. HIAL's airports are vital to the social and economic welfare of the areas they serve, but are loss making, and are supported by subsidies from the Scottish Government in accordance with Section 34 of the Civil Aviation Act 1982.

HIAL is wholly owned by Scottish Ministers and owns two subsidiary companies, Air Management Services Limited (AMSL) and Dundee Airport Limited (DAL). While the two subsidiaries are technically not subject to most legislation that applies to the public sector, all three companies are subject to the same internal policies and procedures, and use the same systems. Therefore any reference to HIAL should be assumed to refer to the collective of companies unless it is specifically stated otherwise.

4. Keeper's Assessment Process

The RMP was assessed by the Public Records (Scotland) Act Assessment Team on behalf of the Keeper. Assessors used the checklist elements listed in section 5, to establish whether Highlands and Islands Airports Ltd's RMP was developed with proper regard to the elements of the Model Plan and is compliant with the Act. The assessment also considered whether there was sufficient supporting evidence of such compliance.

Key:

G	The Keeper agrees this element of an authority's plan.	A	The Keeper agrees this element of an authority's plan as an 'improvement model'. This means that he is convinced of the authority's commitment to closing a gap in provision. He will request that he is updated as work on this element progresses.	R	There is a serious gap in provision for this element with no clear explanation of how this will be addressed. The Keeper may choose to return the RMP on this basis.

5. Model Plan Elements: Checklist

Element	Present	Evidence	Notes
1. Senior Officer *Compulsory element*	**G**	**G**	The Records Management Plan (RMP) of Highlands and Islands Airports Ltd (HIAL) identifies Inglis Lyon, Managing Director, as the senior officer responsible for records management. This appointment is confirmed in a covering letter from Mr Lyon, which shows a strong commitment to implementing the provisions set out in the RMP. Section 7.3 of the Records Management Policy (Appendix E) also confirms that the Chief Executive has strategic responsibility. Mr Lyon is supported by a Board and Audit Committee who are supportive of the

			aim of complying with the Public Records (Scotland) Act 2011 (PRSA). An extract from the minutes of a Board meeting on 19 January 2016 (Appendix A) shows that the RMP has been approved. Also submitted as evidence is HIAL's Information Management Strategy 2015-2020 (Appendix B). This outlines HIAL's high-level approach to information management and describes the development and implementation of the RMP will help to deliver this strategic aim. One of the key objectives of the Strategy was to develop an Information Asset Register and this has been submitted as evidence (Appendix C). The Keeper agrees that a suitable individual has been identified to take senior management responsibility for records management as required by the PRSA.
2. Records Manager *Compulsory element*	**G**	**G**	The RMP identifies Liz Taylor, Information and Records Manager, as having operational responsibility for records management within HIAL. This is confirmed in the Covering Letter from the Chief Executive (see Element 1). Section 7.2 of the Records Management Policy (Appendix E) also confirms that the records manager is responsible for the operation of records management systems, policies and procedures in HIAL, as well as ensuring staff are aware of their responsibilities. Submitted as evidence is Ms Taylor's Job Description (Appendix D). This clearly shows that Ms Taylor has responsibility for developing and implementing information and records management systems, policies and procedures within HIAL. Another key objective is to deliver training to HIAL staff. **The Job Description mentions that Ms Taylor's post is for a fixed term. The Keeper requests that he is informed if/when Ms Taylor's contract expires and that another individual is**

			allocated to fulfil her responsibilities. The Keeper agrees that an appropriate individual has been appointed to take operational responsibility for records management as required by the PRSA.
3. Policy *Compulsory element*	**G**	**G**	HIAL have developed a Records Management Policy and this has been submitted as evidence (Appendix E). The title of the Policy describes this as version 1.0 dated 16 January 2016. The Policy clearly outlines its purpose and scope, defines responsibilities, describes the compliance and business efficiency benefits of compliance with its requirements, and demonstrates a commitment to complying with the requirements of the PRSA. It also states that a Records Management Working Group will be created with representatives from across the organisation. It also shows a clear commitment to providing information governance training to all staff, which the Keeper commends. Screenshots of the information management section of HIAL's intranet site have been provided (Appendix G) which show the location of the Policy and other key information and records management documents and guidance. A Project Implementation Plan (Appendix F) has been developed in order to take forward the requirements set out in the Policy and RMP. Some of the key tasks are the development and implementation of a Business Classification Scheme, retention schedules and the implementation of SharePoint. The Keeper agrees that HIAL has an operational records management policy which outlines its corporate approach to records management. Staff are able to access this policy and are therefore aware of their responsibilities.
4. Business Classification	**G**	**G**	HIAL have developed an Information Asset Register (IAR) (Appendix C) which identifies the business areas of the organisation and the types of information and

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<tr><td></td><td></td><td></td><td>records created by these. It also identifies the high-level and operational owners of these classes of information, their security levels and which retention schedule the information is covered by.

The IAR was developed as a result of the work undertaken to create a Business Classification Scheme (BCS) (Appendix H). The BCS is a 5-level functional scheme which outlines the functions, processes, activities, tasks and information. Although this must remain a business decision for authorities the Keeper recognises that a functional classification scheme is currently considered as best practice.

The RMP states that HIAL currently uses SharePoint for managing some of its information. HIAL intends to use the BCS to guide its work on developing SharePoint for the management of its records, in particular, with regards to developing metadata, naming conventions and transferring electronic records from shared drives. The Project Implementation Plan (Appendix F) gives a completion date for this project of the end of 2017. The Keeper requests that he is kept informed of the progress of this project.

The BCS will also be used to determine whether hard-copy records could be digitised to support business processes.

The Keeper agrees that HIAL has a BCS that comprehensively identifies records and information created in the course of carrying out its functions.</td></tr>
<tr><td>5. Retention schedule</td><td>**A**</td><td>**G**</td><td>The RMP states that HIAL is in the process of developing and implementing retention schedules based on the Scottish Council on Archives Records Retention Schedules (SCARRS). These were primarily designed for use by Scottish local authorities but can be adapted to meet any organisations requirements.

The RMP indicates that there are areas of HIAL, for example the Finance Department, that have been using retention schedules for some time. These</td></tr>
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			have been adapted in relation to the requirements of the RMP. The completed retention schedules covering Finance, Human Resources, Procurement and Operations have been submitted (Appendix I). The Project Implementation Plan (Appendix F) shows a completion date of December 2017 for developing and implementing the remaining retention schedules and for imposing these onto records stored in SharePoint. Due to the nature of HIAL's business, some schedules may require consultation with and approval from regulatory authorities such as the Civil Aviation Authority. The Keeper requests that he is kept informed of the progress of this project. Tied up in the project to implement the schedules is the requirement to review and dispose of a considerable quantity of paper records across a wide range of storage facilities. This work is also factored into the Project Implementation Plan. **The Keeper can agree this Element of the RMP on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of retention schedules covering the whole organisation) but has evidenced how it intends to close this gap in provision.**
6. Destruction Arrangements *Compulsory element*	**A**	**G**	The RMP sets out the following destruction arrangements: **Paper records –** The RMP states that there is a contract in place for the secure destruction of paper records, which includes confidential waste. The contract (Appendix J) states that secure bins are provided to HIAL and these are collected routinely. **Electronic records – The RMP recognises that there is a lot of work to do in the destruction of electronic records although there are areas of good practice, particularly in the Finance Department. Local business areas are responsible for the deletion of records held on shared drives in line with the requirements of the retention schedules. The Future Developments section of**

			this Element states that the implementation of SharePoint is intended to automate the destruction of electronic records and information. The Keeper requests that he is kept informed of the work in this area as it moves forward. **Hardware –** The RMP indicates that records stored on hard drives and other equipment are usually destroyed in-house by HIAL's IT department. The equipment is then disposed of by either one of two contractors. Receipts of collection and a certificate of destruction have been provided (Appendices K1-4) showing that the procedures in place are operational. **Back-ups –** The RMP states that HIAL has started to incorporate clauses into contracts and data processing agreements covering systems and information not held or backed-up by HIAL. A sample data processing agreement has been submitted Appendix L. The RMP also outlines the back-up timescales. The Primary disk back-up is retained for 28 days, the basic daily back-up tape is retained for 7 days, the full weekly back-up tape is retained for 30 days, the full monthly back-up tape is retained for 180 days and the full yearly back-up tape is retained for 7 years before being overwritten. **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of a consistent method for the destruction of electronic records) and has identified how it intends to close this gap. As part of this agreement, the Keeper will need to be kept informed of the progress to close this gap.**
7. Archiving and Transfer *Compulsory element*	**G**	**G**	The RMP indicates that HIAL has been in contact with the Client Management Team at National Records of Scotland (NRS) with regards to making arrangements to deposit records selected for permanent preservation. The Project Implementation Plan (Appendix F) shows a target date of December 2016 for transferring records to

			NRS. This also shows a commitment to being able to transfer electronic records to NRS. The Keeper commends the consideration of this important area of archiving. HIAL has also entered into a formal Memorandum of Understanding (MoU) which will govern the arrangements for transferring records selected for permanent preservation to NRS. The signed MoU has been submitted as evidence. The Future Developments area of this Element states that procedures will be implemented to allow the transfer to happen as and when required. **The Keeper requests sight of these procedures when they become available.** The Keeper agrees that HIAL has identified an appropriate archive (NRS) and has entered into a formal arrangement to transfer records selected for permanent preservation when appropriate.
8. Information Security *Compulsory element*	**G**	**G**	HIAL has submitted its Information Security Policy, dated 7 January 2016 (Appendix N). The Policy highlights the importance of ensuring that information is protected irrespective of the format. The Policy also covers social media, information sharing, using personal devices and training. The Policy is available to HIAL staff on the corporate intranet site. A screenshot of its location has been provided (Appendix G). **A number of areas are being changed/developed and provisions relating to these will be added as Appendices to the Policy. The Keeper requests that he is sent the revised policy reflecting the additional areas when it becomes available.** The Policy states that all staff must undergo the IT e-learning package which will include information security and other information management topics. New members of staff will receive training at induction and refresher training will be provided every two years. Training will be delivered electronically and by seminar. The Keeper commends the commitment to providing staff with training and making them aware of their responsibilities with regards to information security. HIAL have

			provided a screenshot of a sample of this training (Appendix AC). The training covers an introduction to the IT Policy, user accounts and passwords, email and file storage. The Policy is supported by the IT Policy (Appendix O) and a Social Media Policy (Appendix P). HIAL also has procedures in place for creating and disabling IT accounts (Appendix Q). The Keeper agrees that HIAL has robust procedures in place to ensure the protection of the information it creates and manages.
9. Data Protection	**G**	**G**	HIAL is registered as a Data Controller with the Information Commissioner's Office. The registration number is Z6586183. Data Protection compliance was audited as part of the work to develop the BCS and areas of risk were identified and highlighted. This has led to the development of a new Data Protection Policy (Appendix R), which outlines HIAL's approach to complying with the Data Protection Act 1998. The Policy covers areas such as CCTV, information security, data sharing and training. Staff processing personal information are required to undergo online training. A screenshot (Appendix T) has also been submitted as evidence showing the location of the Policy and other guidance relating to Data Protection. Also submitted as evidence are an email from the HR Manager (Appendix U) informing all staff about the new Policy and another one targeted at managers and providing a link to the Information Commissioner's Office training. HIAL also has a Monitoring at Work Policy (Appendix S) which describes how it uses CCTV images. HIAL has also provided a template form and guidance for sharing information with

			law enforcement agencies (Appendix V). Guidance has also been produced for dealing with Subject Access Requests (Appendix W). Also supplied is a template CCTV Operating Procedures Guidance document (Appendix X) which is filled in by the relevant Airport Manager. There are areas of Data Protection which are still under development and are included in the Project Implementation Plan (Appendix F). These include reviewing IT contracts for potential requirements to enter into data processing agreements, a review of data held by HIAL to ensure it is not kept longer than necessary and delivery of training for staff dealing with sensitive personal information. **The Keeper requests sight of these once finalised.** The Keeper agrees that HIAL is aware of its responsibilities under the Data Protection Act 1998 and has policies and procedures in place to allow it to comply with the Act.
10. Business Continuity and Vital Records	**A**	**G**	**The RMP states that HIAL is in the process of developing Business Continuity Plans (BCPs) and part of this work will include the identification of vital records. The nature of the work required is set out in the Project Implementation Plan (Appendix F). The Keeper requests that he is kept informed as this work moves forward.** Audits conducted by the Civil Aviation Authority have highlighted the need for ensuring back-ups, including records and information, are available in the event of an emergency. Air Traffic Control is highlighted as an area of good practice. The Information and Records Manager (see Element 2) is involved in the work to develop BCPs and will ensure that PRSA requirements are integrated into the work

			when required. **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of BCPs across the organisation and the identification of records vital to its business) and has committed to closing this gap. As part of his agreement, the Keeper requests that he is regularly updated on the progress of this work.**
11. Audit trail	**A**	**G**	**The RMP acknowledges that a great deal of work needs to be undertaken with regards to improving the level of provision in audit trail functionality. The RMP states that some electronic records are trackable using SharePoint. HIAL's aim is to eventually manage all electronic records and information using the SharePoint system. The detailed steps for the transition to SharePoint are described in the Project Implementation Plan (Appendix F) with an estimated completion date of April 2018. This will be assisted by the development of file naming conventions, version control procedures and a fileplan.** **The RMP states that as part of the move to SharePoint and if beneficial for business requirements, some paper records will be scanned. At present, there is very little provision to allow paper records to be located when required although their destruction can be tracked. The Project Implementation Plan describes how HIAL intends to tackle this. The remaining paper records at the end of the project to implement SharePoint will be subject to controls to allow their movement to be monitored. Some records as part of the Safety Management System are subject to document control procedures and the guidance for ensuring this has been submitted (Appendix Y).** **The Keeper can agree this Element on an 'Improvement model' basis. This means that the authority has identified a gap in provision (the lack of audit trail information for electronic and paper records) and has identified how it intends to close the gap. As part of this agreement, the Keeper will require to**

			be kept informed of progress as the work to close the gap continues.
12. Competency Framework for records management staff	**A**	**A**	HIAL has submitted the Job Description of the Information and Records Manager (see Element 2). This shows a clear responsibility for developing and implementing a RMP and associated records and information management policies and procedures. The RMP also shows a commitment to providing staff with appropriate training. Initial training with senior managers was commenced in November 2015. The session was designed to raise awareness of and highlight the benefits of compliance with PRSA, Data Protection and Freedom of Information legislation. The slides from the workshop have been submitted as evidence (Appendix Z). Staff who process personal information are required to undergo Data Protection training (see Element 9). **The Project Implementation Plan (Appendix F) has identified how further training could be added to the existing e-learning package and the timescales for achieving this. The Keeper requests that he is sent samples of this training once it has been rolled out.** **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of information and records management training for relevant staff) and has evidenced how it intends to close this gap. The Keeper requests that he is kept up to date with the progress of this work.**
13. Assessment and Review	**G**	**G**	The RMP states that HIAL will assess and review the RMP on an annual basis using a self-assessment mechanism. Each airport within HIAL will be required to complete a self-assessment at least on an annual basis which would provide evidence of compliance with policies and procedures at a local level. The self-assessment form

			is also based on the auditor's checklist submitted as Appendix AD. Section 8.8 of the Information and Records Manager's Job Description (Appendix D) showing a responsibility for ensuring that all aspects of information and records management practices within HIAL are reviewed. The results of the self-assessment will be reported to the Board of HIAL. A sample of the minutes of the meeting where the Board approved the RMP and Project Improvement Plan have been submitted (Appendix A). The RMP states that compliance with the elements of the RMP will be audited by HIAL's internal audit team. The questions used to evaluate compliance have been submitted as Appendix AD. The Keeper commends the involvement of auditors in measuring the levels of compliance with HIAL's RMP and associated records management policies and procedures. The Keeper agrees that there are measures in place to ensure that the RMP and supporting policies and procedures will be assessed and reviewed.
14. Shared Information	**G**	**G**	HIAL has submitted a template form and guidance covering the sharing of information with law enforcement agencies (Appendix V). Also submitted are the slides of a training session for senior managers (Appendix Z). This covers various aspects of the PRSA and information governance, including information sharing. **The draft guidance for information sharing (Appendix AA) has been submitted. This is still in draft format but provides the Keeper with an indication into the proposed procedures for sharing different types of information. The Keeper requests that he is sent the finalised version once it becomes operational.**

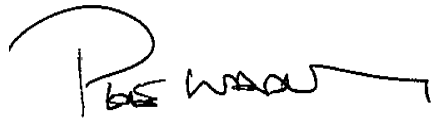|			
			HIAL has also developed a MoU to govern arrangements when information sharing takes place. The template MoU has been submitted (Appendix AB). This clearly covers the information governance requirements to be considered when sharing information. HIAL has been in discussions with the Information Commissioner's Office regarding the development of the guidance and MoU. The Keeper agrees that HIAL has arrangements in place to govern the sharing of information when required. As part of this agreement, the Keeper requests that he is sent the finalised guidance for information sharing (Appendix AA) once this has been approved and is operational.

6. Keeper's Summary

Elements 1-14 that the Keeper considers should be in a public authority records management plan have been properly considered by Highlands and Islands Airports Ltd. Policies and governance structures are in place to implement the actions required by the plan.

7. Keeper's Determination

Based on the assessment process detailed above, the Keeper agrees the RMP of Highlands and Islands Airports Ltd.

The Keeper recommends that Highlands and Islands Airports Ltd should publish its agreed RMP as an example of good practice within the authority and the sector.

This report follows the Keeper's assessment carried out by,

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Pete Wadley   **Robert Fotheringham**
Public Records Officer   Public Records Officer

8. Endorsement of Report by the Keeper of the Records of Scotland

The report has been examined and is endorsed under the signature of the Keeper of the Records of Scotland as proof of compliance under section 1 of the Public Records (Scotland) Act 2011, and confirms formal agreement by the Keeper of the RMP as submitted by Highlands and Islands Airports Ltd. In agreeing this RMP, the Keeper expects Highlands and Islands Airports Ltd to fully implement the agreed RMP and meet its obligations under the Act.

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Tim Ellis
Keeper of the Records of Scotland