

Public Records (Scotland) Act 2011

Aberdeenshire Council and Aberdeenshire Licensing Boards Assessment Report

The Keeper of the Records of Scotland

12 November 2015

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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 Aberdeenshire Council and Aberdeenshire Licensing Boards by the Public Records (Scotland) Act 2011 Assessment Team following its submission to the Keeper on 31 July 2015.

The assessment considered whether the RMP of Aberdeenshire Council and Aberdeenshire Licensing Boards 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 Aberdeenshire Council and Aberdeenshire Licensing Boards complies with the Act can be found under section 7 of this report with relevant recommendations.

3. Authority Background

Aberdeenshire Council is headquartered at Woodhill House, in Aberdeen, making it the only Scottish council whose headquarters are located outside its jurisdiction, as Aberdeen itself forms a different council area (Aberdeen City). Aberdeenshire borders Angus and Perth and Kinross to the south, and Highland and Moray to the west. Aberdeenshire Council, Scotland's sixth largest local authority in population and fourth largest in area, serves a predominantly rural area in North-east Scotland. The main towns are Peterhead (18,800), Fraserburgh (13,000), Inverurie (10,600), Stonehaven (10,400) and Westhill (9300).

The council has devolved power to six area committees: Banff and Buchan; Buchan; Formartine; Garioch; Marr; and Kincardine and Mearns. Each area committee takes decisions on local issues such as planning applications, and the split is meant to reflect the diverse circumstances of each area.

Due to the size of the geographical area Aberdeenshire Licensing Board is divided into three areas: North, Central and South.

The submitted RMP covers the records management provisions in both the Council and the Licensing Boards. For ease of reference, references to the Council in the assessment should be taken to include the records management provision for both the Council and the Licensing Board.

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 Aberdeenshire Council and Aberdeenshire Licensing Boards' 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.
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5. Model Plan Elements: Checklist

Element	Present	Evidence	Notes
1. Senior Officer <i>Compulsory element</i>	G	G	<p>Ritchie Johnson, Director of Business Services, has been identified as the senior manager with responsibility for records management within the Council. This is confirmed in a statement from the Chief Executive, Jim Savege (evidence item 001). The statement also endorses the Records Management Plan and the Information and Records Management Policy (evidence item 004). The statement also confirms Mr Johnson as the senior officer with responsibility for the Licensing Boards.</p> <p>An additional statement from Mr Johnson (evidence item 002) shows that he is happy to undertake the role.</p> <p>The Information and Records Management Strategy (evidence item 003) outlines</p>

			<p>the Council's commitment to improving its level of records management provision. This is endorsed by the Chief Executive.</p> <p>Also submitted is the Information and Records Management Policy (evidence item 004). This sets out the responsibilities for staff and outlines the Council's corporate approach to records management. The Policy states that it was approved by the Policy and Resources Committee. Accompanying the Policy is a Report to the Policy and Resources Committee recommending approval of the Policy (evidence item 005). This document is dated 19 September 2013. Evidence item 011, which is an extract of the minutes from the Policy and Resources meeting on 19 September 2013 which approved the Policy.</p> <p>The Keeper agrees that an appropriate individual has been appointed to take senior management for records management.</p>
<p>2. Records Manager <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>Ola Adeyemi, Information Management Project Co-ordinator, has been identified in the RMP as having operational responsibility for records management within the Council. This is confirmed in a statement from Ms Adeyemi (evidence item 006). The statement contains a commitment to manage records to necessary legislative and best practice standards.</p> <p>Also submitted as evidence is the Job Profile of the Information Management Project Co-ordinator (evidence item 006). The Profile states that Ms Adeyemi is 'Responsible for overseeing the development and monitoring of effective records management strategy and procedures and for ensuring the compliance with records management legislations'.</p> <p>Mr Johnson (see Element 1) has been identified as having responsibility for the day-to-day management of records for the Licensing Boards. This is confirmed in a statement from the Senior Accountable Officer (evidence item 002).</p>

			<p>The Keeper agrees that an appropriate individual has been identified to take operational responsibility for records management.</p>
<p>3. Policy <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>The Council has submitted its Information and Records Management Policy (evidence item 004). This sets out the responsibilities for staff and outlines the Council’s corporate approach to records management. It covers issues such as information sharing with 3rd parties, scanned records and retention and disposal, and also highlights a commitment to staff training, which the Keeper commends. The Policy states that it was approved by the Policy and Resources Committee. Accompanying the Policy is a Report to the Policy and Resources Committee recommending approval of the Policy (evidence item 005). This document is dated 19 September 2013. Evidence item 011, which is an extract of the minutes from the Policy and Resources meeting on 19 September 2013 which approved the Policy.</p> <p>Also submitted as evidence is the Information and Records Management Strategy (evidence item 003). This sets out the Council’s framework for information management from 2013 to 2016 and is aligned to the Council’s Business Transformation Programme Board objectives. The key elements of the strategy include the improvement in the use of the file structure, document naming conventions and implementing a new information governance structure. This will be aided by the implementation of an Electronic Document and Records Management System (SharePoint).</p> <p>Submitted as further evidence of the Council’s commitment to managing information is a copy of the Council’s Digital Strategy, 2015-2020 called ‘Innovate Aberdeenshire’ (evidence item 008). It mainly concerns the delivery of ICT services but highlights the importance of properly managing information to allow the Council to do this. The Keeper commends this approach.</p> <p>Also included as evidence are minutes from the meetings of the North, South and Central Licensing Boards (evidence items 013-015) showing that they have also</p>

			<p>approved the use of the Policy.</p> <p>The Keeper agrees that the Council has an approved records management policy which reflects its corporate approach to records management.</p>
<p>4. Business Classification</p>	<p>A</p>	<p>G</p>	<p>The Council has submitted evidence that it is in the process of developing a Business Classification Scheme (BCS). This will be based on the Local Government Classification Scheme (LGCS). The Keeper recognises that this is an appropriate tool upon which to build a BCS.</p> <p>Submitted as evidence are screenshots (evidence items 016 and 019) showing that the Council has identified its main functions. The file plan on the current EDRMS (TRIM) has identified 22 main classes of records. The RMP states that some business areas have developed these further to provide greater detail, but that work is on-going within business areas to add further levels. The file plan is reviewed and updated regularly.</p> <p>The Council uses numerous bespoke EDMSs to carry out its functions. A list of the Business Systems used has been submitted as evidence item 010. The RMP states (in Element 3) that it has recently upgraded TRIM to HP Records Manager v8.01 and that the Council intends to use SharePoint as well as the EDRMS to provide a Council-wide solution to managing electronic records. The Keeper requests that he is kept informed of the progress of this project.</p> <p>The RMP states that records stored in shared drives have not yet been moved into the file-plan structure. The RMP states that some service areas are currently undertaking work to move their records into the LGCS structure and are cleansing their shared drives. The Improvement Plan (evidence item 020) states that this work will continue to 2017, by which point the Council will be able to draw together a comprehensive BCS. The Keeper requests sight of the BCS once finalised.</p>

			<p>The Keeper can agree this element on an ‘improvement model’ basis. This means that the Council has identified a gap in provision (lack of a comprehensive council-wide BCS) and has identified a solution to close this gap. This agreement is conditional upon the Keeper being kept informed of progress.</p>
<p>5. Retention schedule</p>	<p>A</p>	<p>G</p>	<p>The Council has provided evidence showing its current level of provision. The RMP states that it uses the Scottish Council on Archives Records Retention Schedules (SCARRS) as the basis for its retention and disposal schedules. The Keeper commends the use of this tool.</p> <p>The RMP states that area-specific retention and disposal schedules have been developed in some areas. The Council has submitted several of these as evidence (evidence items 021-026). The schedules apply to both paper and electronic records. The RMP also states, however, that application of the retention schedules is not uniformly applied across the Council, particularly in shared drives and on bespoke business systems. It is hoped that the work to move to the new EDRMS will help standardise practice in this area.</p> <p>The RMP states that regular audits of paper records are carried out in the relevant stores. Records of historical interest are transferred to the Council’s Archive service. The Keeper would be interested to know how often these audits are carried out.</p> <p>Paper records sent to the off-site storage facility are accompanied by the relevant retention and disposal information.</p> <p>A screenshot of the retention schedules currently used for records stored on TRIM has been supplied (evidence item 027). A monthly check of TRIM is carried out to identify records at the end of their retention periods. This is</p>

			<p>carried out by nominated 'Power Users'.</p> <p>One of the future actions to be taken is to develop a Retention and Disposal Policy. The Improvement Plan (evidence item 020) states that this work will be completed in 2016. The Keeper requests that this document is sent to him once it has been approved.</p> <p>The Council has also considered the retention of legacy emails at a meeting of an ICT Steering Group (evidence item 028).</p> <p>The Improvement Plan (evidence item 020) states that the new retention schedules will be rolled out by 2017. The Improvement Plan also shows a commitment to developing training for staff in using retention schedules. The Keeper requests that he is kept informed of progress with these projects.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the Council has identified a gap in provision (consistent Council-wide use of retention schedules) and has identified measures to close this gap. This agreement is conditional on the Keeper being kept informed of progress in this area.</p>
<p>6. Destruction Arrangements <i>Compulsory element</i></p>	<p>A</p>	<p>G</p>	<p>The Council has outlined the following procedures that are in place to dispose of records at the end of their lives:</p> <p><u>Paper</u> The Council has entered into a contract with a commercial shredding company, Shred-It, in order to securely dispose of paper and other media such as CDs and DVDs, amongst others. The contract covers all corporate offices and schools. Locked consoles are provided in specified locations and the contract also covers the situation when offices are being physically cleared out. The Council has provided contractual details and a sample destruction certificate as evidence of compliance</p>

			<p>(evidence items 030-033).</p> <p>A guidance document for the Secure Destruction of Confidential Information (evidence 034) has also been provided. This is a practical document that allows staff to be aware of their responsibilities when disposing of confidential information. This document is available on the Council's intranet, Arcadia.</p> <p>The procedures for destroying records stored in the offsite storage facility are described in the RMP under Element 8. Boxes sent for storage are barcoded and have appropriate retention decisions applied to them. Upon reaching the destruction date the commercial storage company contacts the Council for authorisation to securely destroy these records. Evidence item 029 is a certificate of destruction that shows that records held in the offsite storage facility are securely destroyed when required.</p> <p><u>Electronic</u></p> <p>For electronic records held on TRIM, there is a process in place where Power Users conduct a monthly search for records at the end of their retention periods. Records are then destroyed when approval is received from the relevant service area. Once disposed of a 'stub' is maintained allowing the Council to maintain a record of what has been destroyed. A screenshot from TRIM (evidence item 035) has been provided as evidence that these procedures are operational.</p> <p>The Council acknowledges that the deletion of records held on shared drives is not so controlled. It has stated that it will improve the situation in conjunction with the project to develop a BCS and retention schedules by 2016. The Council is currently identifying the oldest files held on the shared drives and then reviewing against the retention schedules prior to taking the appropriate retention action. A report identifying the oldest files (evidence item 039) has been submitted as evidence of this work.</p>
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			<p>The Council has included a statement in the RMP covering electronic records held on bespoke business systems. The statement outlines that there is no standardised way of destroying redundant records from these systems as they all possess different capabilities. It goes on to state it may be possible to tailor the procedures for paper records to remedy this. The Improvement Plan recognises the need to include retention and disposal functionality when developing specifications for new systems and allying this to the retention schedules.</p> <p><u>Hardware</u> The Council has a contract in place with Ecosystems IT Ltd to deal with the secure destruction of obsolete hardware and has submitted certificates to show that the procedures are operational (evidence items 036-037).</p> <p><u>Back-ups</u> The Council have submitted a report which details the procedures in place for backing up electronic records (evidence 038). This clearly sets out the practical arrangements and timescales that the Council follows.</p> <p>The Council also intends to build records destruction into contracts with 3rd parties to ensure that records are appropriately destroyed. The Keeper would be grateful if he could see a copy or template contract once developed.</p> <p>The Keeper can agree this element on an ‘improvement model’ basis. This means that the authority has identified a gap in provision (the destruction of electronic records held on bespoke business systems outwith TRIM and shared drives) and has shown a commitment to closing this gap over time. The agreement is conditional upon the Keeper being kept informed of progress in this area.</p>
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<p>7. Archiving and Transfer <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>The Council has its own in-house archive, which is a shared service with Aberdeen City Council. The terms of this provision are set out in an Archive Services Collaboration Agreement (evidence item 042). This interestingly contains a clause (8.2) stating that any dispute arising over the provision of a basic archive service, as defined in the Local Government etc (Scotland) Act 1994, or the Public Records (Scotland) Act 2011 or the premises from which the service is delivered, will be referred to the Keeper.</p> <p>The Council has a Transfer of Records to be Archived Procedure (evidence item 040) which details the practicalities of transferring records selected for permanent preservation to the archive. This also sets out the arrangements for Council staff who need to obtain access to archived Council records for business purposes. An example of a records transfer form has been submitted for Banff and Buchan (evidence item 041) showing that these procedures are operational.</p> <p>The RMP states that the Senior Archivist is informed when an office or storage area clearance takes place in order to identify potential records for archiving. The Keeper commends this approach.</p> <p>An annual development plan for the archive service is drawn up. A sample plan for 2013-14 has been submitted as evidence (evidence item 043). One of the objectives is to liaise with the records manger to identify records for permanent preservation and the RMP states that quarterly meetings take place between the Senior Archivist and the Information Management Project Co-ordinator.</p> <p>The Council is currently developing a digital preservation strategy to ensure that electronic records can be transferred to the archive when appropriate. The Keeper would be interested in seeing this document once it has been finalised.</p> <p>The Keeper agrees that appropriate procedures are in place to ensure the transfer</p>
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<p>8. Information Security <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>of records selected for permanent preservation to a suitable archive.</p> <p>The Council has submitted its Information Security Policy, version 5.1, dated October 2012 (evidence item 045). This sets out a commitment to protecting information created and held by the Council and sets out the responsibilities for ensuring this takes place.</p> <p>Also submitted is an ICT Acceptable Use Policy (evidence item 046) which emphasises the need to comply with the Information Security Policy.</p> <p>The Council has a Social Media Policy and supporting Procedure (evidence items 048 and 049). This is available on the Council's intranet.</p> <p>The ICT Asset Management Policy (evidence item 050) describes the Council's approach to the management of its electronic resources, highlighting the importance of compliance with relevant legislation and including a section on hardware disposal.</p> <p>The Council has in place a contract with a commercial records storage facility (Removal Services Scotland (RSS) Ltd) for semi-current business records. As part of the evidence package the Council has submitted RSS's Tender response (evidence item 051) which shows the security measures in place for the transfer and storage of records. Also submitted are staff guidelines for preparing records for storage (evidence item 052), which are available on the Council's intranet.</p> <p>Also submitted as evidence is a suite of policies and codes of practice that cover the Acceptable Use of ICT Facilities by Employees, Elected Members, School Pupils, CCTV and Remote Working (evidence items 053-56 and 058).</p> <p>The Organisation of Information Security document (evidence item 057) sets out the staff structure for ensuring information within the Council. The Council has a Principal Information Security Officer who is responsible for both Information</p>
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			<p>Security and Data Protection. The Council also has an Information Security Management Group which is chaired by a Head of Service and consists of representatives from each service area. Its remit is to review the Information Security Policy and associated policies and codes of practice, as well as reviewing any security incidents.</p> <p>The Keeper agrees that there are robust procedures in place to protect the information created and maintained by the Council.</p>
<p>9. Data Protection</p>	<p>G</p>	<p>G</p>	<p>The Council is registered as a Data Controller with the Information Commissioner's Office. Their registration number is Z6501842. One of the reasons listed for processing information on the registration page is for carrying out 'licensing and regulatory activities'. Evidence 059A is an email from the Council's Principal Information Security Officer confirming that the Licensing Boards are not separately registered as Data Controllers and that their registration is Covered under the 'licensing and regulatory activities' section of the Council's registration.</p> <p>Also submitted is a Data Protection Code of Practice (evidence item 060). This contains a policy statement, information about the 8 principles of Data Protection and practical information about complying with the Council's responsibilities under the Act.</p> <p>Also submitted is a screenshot of the Council's intranet (evidence 061) showing that training in Data Protection is available to all staff. This training is mandatory for all staff dealing with personal information. The Keeper commends this commitment to staff training.</p> <p>The Council has also provided a document providing advice on subject access request (evidence item 062). This is available on the Council's website. The Keeper commends this public-facing approach.</p>

			<p>Also submitted is a suite of guidance documents (evidence items 063-71). Included in this are procedures for reporting and managing data breaches, guidance for the secure use of USB devices, screenshots showing the security settings available on TRIM, and statistics showing the numbers of staff who have completed Data Protection training.</p> <p>The policies and codes of practice will be reviewed by the Information Security Management Group to ensure they are up-to-date.</p> <p>The Keeper agrees that the Council is aware of its responsibilities under the Data Protection Act 1998 and has robust procedures in place to protect personal and sensitive information.</p>
<p>10. Business Continuity and Vital Records</p>	<p>G</p>	<p>G</p>	<p>The Council has submitted its Business Continuity Policy and Procedures (evidence item 072). This lays out the Council's overarching approach to business continuity. This is then supported by the individual service areas' Business Continuity Plans (BCP). A sample of one of these (for HR) has been submitted as evidence item 073. A copy of the Business Impact Assessment (evidence item 075) showing how the BCP for HR was developed has also been submitted. This shows the processes that are undertaken when creating a BCP.</p> <p>A list of BCP owners has been created (evidence item 074) showing who has responsibility for business continuity planning in each service.</p> <p>The RMP states that BCPs are reviewed and tested by the Risk Manager, who is named as Norrie Crichton. A series of checklists (evidence items 076a-d and 077-078) have been created in order to ensure that reviews and testing are carried out in a consistent manner. A schedule has also been devised to monitor the review and testing of BCPs (evidence item 079).</p> <p>The RMP states 'Plan monitoring status is reported to the Council's Strategic</p>

			<p>Leadership Team (quarterly), the Council’s Policy & Resources Committee (6 monthly) and the Council’s Scrutiny & Audit Committee (annually). In addition Plan Monitoring is a standing agenda item at the quarterly Corporate Risk Management Steering Group’. This shows that any issues are reported through an agreed governance structure.</p> <p>The RMP indicates that the development of a procedure for the identification of vital records is currently underway. This will then be used to identify vital records in existing business systems and also for any new ones. The Keeper would request that he is informed once this development has been completed.</p> <p>Critical information is considered as part of the Business Impact Analysis process (see evidence item 075).</p> <p>The Keeper agrees that there are appropriate procedures in place to resume business in the event of a disaster and that consideration has been given to vital records.</p>
11. Audit trail	A	G	<p>The RMP outlines the audit trail provisions in place within the Council.</p> <p>TRIM contains comprehensive audit trail functionality which allows the tracking of a document from its creation to its ultimate disposal. Examples of the functionality showing the list of elements being audited and who has taken which actions against a specific record have been submitted as evidence items 080-081.</p> <p>The RMP states that most business systems have audit trail functionality built in and operational, but that others have the capability but it is not switched on. The Improvement Plan (evidence item 020) has identified this as an area for further work.</p> <p>Records stored in the offsite storage facility are barcoded and retrieval, returns and</p>

			<p>destruction can be tracked.</p> <p>There are bespoke systems in place in some business areas for the tracking of paper records held onsite. The Keeper would be interested to know how services without these bespoke systems are able to track the movement of paper records.</p> <p>The Council has identified shared drives as an area with little or no audit trail provision. The RMP states that there are version control procedures in place to govern the creation and alteration of records. Options are currently being explored for solutions to this. It is anticipated that the development of the BCS and full implementation of the new EDRMS will remedy this. The Keeper requests that he is kept informed of this work as it progresses.</p> <p>The Keeper can agree this element on an ‘improvement model’ basis. This means that the Council has identified a gap in provision (lack of audit trail provision in shared drives) and has identified a solution to close this gap. This agreement is conditional upon the Keeper being kept informed of progress.</p>
<p>12. Competency Framework for records management staff</p>	<p>G</p>	<p>G</p>	<p>Records and information management form a distinct part of the Information Management Project Co-ordinator’s (see Element 2) job profile (evidence item 007). It also forms a large part of the Employee Annual Review process (evidence item 082).</p> <p>Also submitted are the job profiles of the Information, Communication and Records Management Officer (evidence item 083) and the Information and Records Management Assistant (evidence item 084).</p> <p>Training in records management is available to staff through a learning and development site and screenshots of this training have been provided (evidence items 085-088). TRIM users must undergo training before being permitted to use the system. Power Users and System Administrators of TRIM must undergo further</p>

			<p>training, delivered by the Information and Records Management Assistant. Refresher training is provided on a regular basis. This training will be reviewed once the new EDRMS is implemented.</p> <p>Some services have a nominated individual who acts as a central point of contact for that service on records management issues. The potential to extend this will be investigated. The Records Management Group will regularly review the requirements for information management training.</p> <p>The Keeper agrees that the Council recognises the importance of records management as a distinct area of responsibility for certain staff and has shown a commitment to providing training.</p>
<p>13. Assessment and Review</p>	<p>A</p>	<p>G</p>	<p>The RMP states that the Records Management Group will be responsible for annually reviewing the RMP. The Records Management Group will report any compliance issues to relevant Heads of Service for them to instigate the work required to solve any issues.</p> <p>The self-assessment methodology for carrying out the review has yet to be determined but the basis for carrying out the review will be the Improvement Plan (evidence 020). Any major issues identified in the self-assessment will be notified to Internal Audit for further investigation.</p> <p>Compliance with Freedom of Information and Data Protection legislation and the functional aspects of TRIM have featured in Internal Audit programmes (evidence items 089-090).</p> <p>The Keeper can agree this element on an ‘improvement model’ basis. This means that the Council has identified a gap in provision (lack of a self-assessment mechanism) and has identified a solution to close this gap. This agreement is conditional upon the Keeper being kept informed of progress.</p>

<p>14. Shared Information</p>	<p>G</p>	<p>G</p>	<p>The Council is a partner in a high-level Memorandum of Understanding (MoU) with Aberdeen City Council, Moray Council, Grampian Police and Grampian Health Board (evidence item 091).</p> <p>The RMP states that this MoU is currently being revised to take account of the fact that Grampian Police has been superceded by Police Scotland. It is being reviewed by an Information Sharing Group which was constituted to investigate information sharing issues as part of Health and Social Care integration. The Keeper requests a copy of the updated MoU once it has been finalised. The MoU covers issues such as transfer protocols, who is the data controller and who should respond to Subject Access Requests.</p> <p>The Council aims to follow, where possible, the Data Sharing Code of Practice issued by the Information Commissioner’s Office (evidence item 093). The Keeper commends this approach.</p> <p>Below the overarching partnership set out in the abovementioned MoU, the Council creates Information Sharing Protocols (ISPs) when it enters into an information sharing relationship with a specific purpose. It also develops ISPs with bodies not covered by the MoU. Submitted as examples of the arrangements being operational are two ISPs (evidence items 094 and 095) between the partners outlined in the MoU and also between the Council and the Mental Welfare Commission.</p> <p>The Keeper agrees that there are robust procedures in place to safely share information with other bodies when required.</p>
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6. Keeper's Summary

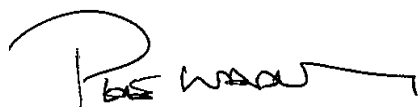
Elements 1-14 that the Keeper considers should be in a public authority records management plan have been properly considered by Aberdeenshire Council and Aberdeenshire Licensing Boards. Policies and governance structures are in place to implement the actions required by the plan.

7. Keeper's Determination

Based on the assessment process detailed above, the Keeper agrees the RMP of Aberdeenshire Council and Aberdeenshire Licensing Boards.

The Keeper recommends that Aberdeenshire Council and Aberdeenshire Licensing Boards 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,



.....
Pete Wadley
Public Records Officer



.....
Robert Fotheringham
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 Aberdeenshire Council and Aberdeenshire Licensing Boards. In agreeing this RMP, the Keeper expects Aberdeenshire Council and Aberdeenshire Licensing Boards 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