

Public Records (Scotland) Act 2011

Angus Integration Joint Board

The Keeper of the Records of Scotland

20th August 2019

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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 Angus Integration Joint Board by the Public Records (Scotland) Act 2011 Assessment Team following its submission to the Keeper on 27th June 2019.

The assessment considered whether the RMP of Angus Integration Joint Board 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 Angus Integration Joint Board complies with the Act can be found under section 7 of this report with relevant recommendations.

3. Authority Background

The Angus Health and Social Care Partnership directs and plans all adult health and social care services in Angus. The partnership has representatives from: NHS Tayside, Angus Council, third sector organisations and independent contractors such as GPs and local pharmacists.

These organisations will share information and provide co-ordinated services to local people.

It is planned that this will improve the quality and consistency of services for patients, service users, carers, families and communities.

The work of the partnership is overseen by the **Integration Joint Board**, which is the authority scheduled under the Public Records (Scotland) Act 2011 (the Act).

https://www.angus.gov.uk/social_care_and_health/angus_health_and_social_care_partnership/angus_integration_joint_board_guide

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 Angus Integration Joint Board’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.
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5. Model Plan Elements: Checklist

Element	Present	Evidence	Notes
1. Senior Officer <i>Compulsory element</i>	G	G	<p>Angus Integration Joint Board (the IJB) have identified Dr Alison Clement, Clinical Director IJB, as the individual with overall responsibility for records management in the authority.</p> <p>This identification is confirmed by a <i>Covering Letter</i> from Dr Clement, which was submitted with the <i>Plan</i> and by the IJB's <i>Records Management Policy</i> section 5.2 (see element 3).</p> <p>It is further confirmed by a second <i>Covering Letter</i> from Vicky Irons, Chief Officer of Angus Health & Social Care Partnership, submitted with the <i>Plan</i>. This letter states that: "The clinical director will also be responsible for the oversight of compliance in respect of records of the IJB created in its role as a body corporate..."</p> <p>Dr Clement is the authority's Senior Information Risk Officer (SIRO).</p> <p>Dr Clement is a full member of the Executive Management Team, reporting directly to the Chief Officer and the Board.</p> <p>Dr Clement is the 'document owner' of the IJB's <i>Records Management Plan</i> (the <i>Plan</i>) and the <i>Records Management Policy</i> (both: cover sheet). Dr Clement is also the 'owner' of the authority's <i>Information Security Policy</i> (see element 8), <i>Information Governance Strategy</i> (see element 13) and <i>Data Protection Policy</i> (see element 9).</p> <p>As SIRO Dr Clement is responsible for regular review of the records management</p>

			<p>and other policies. Dr Clement is also the ‘owner’ of the <i>AHSCP Classification Scheme and Retention Schedules (see element 4)</i>.</p> <p>The IJB have shared the SIRO’s <i>Roles and Responsibilities Specification</i> with the Keeper.</p> <p>The Keeper agrees that Angus Integration Joint Board has identified an appropriate individual to this role as required by the Public Records (Scotland) Act 2011 (the Act).</p>
<p>2. Records Manager <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>The IJB have identified Angela Dunlop, Angus Council’s Team Leader – Information Governance and Lynda Petrie, NHS Tayside’s Corporate Records Manager, as the individuals responsible for the day-to-day implementation of the <i>Plan</i>.</p> <p>The Act would suggest the identification of a <u>single</u> individual. However, the Keeper has previously agreed that, in the case where the public records of an authority are managed on the systems of multiple third-parties, the relevant records managers from the third-parties can be identified under this element.</p> <p>All public records of the IJB are held digitally on Angus Council’s records management systems or on those of NHS Tayside. The Keeper has already agreed the Council and Health Board’s Records Managers are appropriate individuals to implement the Council and Health Board’s own <i>Records Management Plans</i> (March 2017 Council and October 2016 Health Board): https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-angus-council-and-licensing-board_0.pdf and https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-nhs-tayside.pdf</p>

			<p>The identification of Lynda Petrie to this role is confirmed by a <i>Covering Letter</i> from Margaret E Dunning, Director of Governance NHS Tayside which accompanied the <i>Plan</i>.</p> <p>The identification of Angela Dunlop to this role is confirmed in <i>Covering Letters</i> from Dr Clement (see element 1), from Vicky Irons, Chief Officer Angus Health and Social Care Partnership and from Anne Garness, Acting Chief Information Governance Officer Angus Council.</p> <p>Angela Dunlop is the author of the <i>IJB Plan</i>. On the cover sheet of the Plan she is described as the Records Manager, Angus Integration Joint Board. This is confirmed by the IJB's <i>Records Management Policy</i> section 5.4 (see element 3).</p> <p>Ms. Dunlop reports directly to Angus Council's Data Protection Officer (see element 9).</p> <p>The Keeper can therefore agree that Angus Integration Joint Board have identified appropriate individuals to this role as required by the Act.</p>
<p>3. Policy Compulsory element</p>	<p>G</p>	<p>G</p>	<p>Angus Integration Joint Board have a <i>Records Management Policy</i> which has been provided to the Keeper. This is version 1.0 approved by the IJB on 27th February 2019.</p> <p>The IJB <i>Records Management Policy</i> references the <i>Records Management Policy</i> of Angus Council: https://www.angus.gov.uk/media/records_management_policy and that of NHS Tayside (not published but agreed by the Keeper). See full explanation of how 'IJB records' are managed under element 4 below.</p> <p>The 'document owner' of the <i>Records Management Policy</i> is the Clinical Director IJB (see element 1).</p>

			<p>The IJB have provided the Keeper with a screen-shot of their ‘Huddle’ access platform to show that staff have access to this policy.</p> <p>The Keeper agrees that the submitted <i>Plan</i> supports the ideas expressed in the <i>Policy</i>.</p> <p>The Keeper agrees that Angus Integration Joint Board have a records management policy statement as required by the Act.</p>
4. Business Classification	A	G	<p>Explanation: Angus Integration Joint Board consider their public records to fall into three categories:</p> <ol style="list-style-type: none"> 1. Administrative records created internally by the IJB and managed on the Angus Council record keeping systems. 2. Records created by Angus Council under the direction of the IJB. These are also, of course, managed on the Angus Council record keeping systems. 3. Records created by NHS Tayside under the direction of the IJB. These are stored on the record keeping systems of NHS Tayside. <p>This is confirmed in a <i>Covering Letter</i> from the Chief Officer of the Angus Health and Social Care Partnership: “Where records are created by the IJB, or by either Angus Council or NHS Tayside in carrying out the functions of the IJB, the IJB shall adopt the records management arrangements set out in the relevant body's records management plan...”</p> <p>The Records Management Plans of Angus Council and of NHS Tayside have been agreed by the Keeper.</p> <p>For details of this agreement and of subsequent updates see:</p>

			<p>Angus Council agreement report (March 2017): https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-angus-council-and-licensing-board_0.pdf</p> <p>Angus Council latest progress review (January 2019): https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/nrs-progress-update-review-final-report-angus-council-and-angus-licensing-board.pdf</p> <p>NHS Tayside agreement report (October 2016): https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-nhs-tayside.pdf</p> <p>NHS Tayside latest progress review (May 2019): Not yet published.</p> <p>Angus Council have chosen to publish their Records Management Plan at: https://www.angus.gov.uk/media/records_management_plan</p> <p>The IJB has provided the Keeper with their <i>Classification Scheme and Retention Schedules</i>. This is version 2 approved by the Clinical, Care and Professional Governance Group on 12th June 2019. This large document lists record types created by both Angus Council (Social Care) and NHS Tayside. The Angus Health and Social Care Partnership is the operating name of the Angus Integration Joint Board. They are interchangeable titles. The Keeper acknowledges that the records of the IJB are accounted for in the scheme.</p> <p>A sample entry from this scheme might be: <i>Records documenting the preparation of business for consideration by the AHSCP's strategic management group/Agenda,</i></p>
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			<p><i>reports/papers for consideration, minutes/Current year/Permanent/Retain/Business requirement.</i></p> <p>The Keeper commends the creation of a joint classification scheme and retention schedule document as liable to provide a stronger business tool for the authority.</p> <p>The Keeper is able to agree that the <i>Classification Scheme and Retention Schedules</i> addresses the commitment in the <i>Records Management Policy (see element 3)</i> to develop “a business classification scheme to reflect the functions, activities and transactions of the AIJB [Angus Integration Joint Board]” (<i>Policy</i> section 2.1).</p> <p>The IJB have provided the Keeper with a screen-shot of their ‘Huddle’ access platform to show that staff have access to the <i>Business Classification Scheme/Retention Schedule</i> document.</p> <p>The Keeper agrees this element of the Angus Integration Joint Board’s Records Management Plan under improvement model terms. This reflects the current grading of this element in both the Council and Health Board plans. It means that the Keeper is convinced that both partner authorities are working towards making this element compliant and that when complete that work will allow the Keeper to fully agree this element for the Council, Health Board and any other authorities who have adopted the Council and Health Board arrangements. The IJB will fall into this category. This applies to other elements below.</p>
5. Retention schedule	A	G	<p>See element 4</p> <p>The IJB has provided the Keeper with their <i>Classification Scheme and Retention Schedules</i>. This is version 2 approved by the Clinical, Care and Professional</p>

			<p>Governance Group on 12th June 2019. This large document lists record types created by both Angus Council (Social Care) and NHS Tayside. The Angus Health and Social Care Partnership is the operating name of the Angus Integration Joint Board. They are interchangeable titles. The Keeper acknowledges that the records of the IJB are accounted for in the scheme.</p> <p>The Plan states: “To ensure consistency with the RMP of NHS Tayside the IJB’s retention schedules incorporate the relevant sections of the retention schedules of NHS Tayside which will apply to all records created by NHS Tayside in the carrying out of the IJB’s functions. To ensure consistency with the RMP of Angus Council the IJB’s retention schedules incorporate the retention schedules of Angus Council which will apply to all records created by Angus Council in carrying out of the IJB’s functions.”</p> <p>The Keeper agrees that this arrangement reflects the disposition of the IJB’s public records as explained elsewhere in the Plan and in the supporting <i>Covering Letters</i> from senior officers.</p> <p>The use of retention schedules is explicitly committed to by the IJB’s <i>Records Management Policy</i> (section 3.2) (see element 3).</p> <p>Retention decisions in this joint document are those of Angus Council based on the Scottish Council of Archives SCARRS template and those of NHS Tayside which are based on the Scottish Government NHS Code of Practice (currently being revised). In line with the NHS Code of Practice, where there are different retention periods specified for the same type of record in NHS and Council the longer period is used by integrated teams.</p> <p>The Keeper commends the creation of a joint classification scheme and retention schedule document as liable to provide a stronger business tool for the authority.</p>
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			<p>It is important that the IJB has input into the retention decisions imposed on their public records. To this end, the IJB state: “The AIJB is represented on NHS Tayside Information Governance Committee and Angus Council Information Governance Steering Group which are responsible for all aspects of those bodies respective records management plans including their respective retention policies.” The Keeper commends this.</p> <p>The IJB has provided the Keeper with a screen-shot of their ‘Huddle’ access platform to show that staff have access to the <i>Business Classification Scheme/Retention Schedule</i> document.</p> <p>The Keeper has already agreed the retention mechanism in both Angus Council and NHS Tayside is suitable for the activities undertaken. He has also endorsed the SCARRS retention scheme and the NHS Code of Practice.</p> <p>However, the Records Management Plan of Angus Council has been agreed by the Keeper under ‘improvement model’ terms for element 5. This means that the Council has identified a gap in provision in this element and is working towards closing that gap.</p> <p>Therefore, the Keeper agrees this element of the Angus Integration Joint Board’s Records Management Plan under ‘improvement model’ terms.</p>
6. Destruction Arrangements <i>Compulsory element</i>	A	G	<p>The <i>Records Management Policy</i> (see element 3) has as an objective that “records must be managed effectively from the point of creation...to their ultimate destruction...” (<i>Policy</i> section 1.3)</p> <p>Furthermore, the <i>Policy</i> commits the IJB to “The review and consolidation of destruction arrangements to detail the procedures to follow when disposing of</p>

			<p>business information.” (<i>Policy</i> section 2.1)</p> <p>The <i>Plan</i> (Page 11) states that “All records created by or on behalf of the IJB are public assets, and are protected under secure systems and managed into destruction or permanent preservation as appropriate.”</p> <p>With this in mind the IJB has adopted the destruction processes of the partner bodies which have been agreed by the Keeper: “As all IJB records are stored and processed on NHS Tayside or Angus Council’s systems, they are subject to the destruction arrangements already in place in the respective collaborating authorities.” (<i>IJB Plan</i> page 15)</p> <p>However, both NHS Tayside and Angus Council have this element of their <i>Records Management Plans</i> agreed by the Keeper under ‘improvement model’ terms. In common with many Scottish public authorities, both the Council and the Health Board are not satisfied that the controlled deletion of those records held electronically is being universally carried out efficiently. Both authorities have submitted progress update reviews to the Keeper that show work is continuing to improve this situation. As the IJB utilises the systems of the partner bodies, this element remains ‘amber’ here until those partner bodies are confident that they can control the timely, secure, and irretrievable destruction of digital records when appropriate.</p> <p>This is recognised in the <i>IJB Plan</i> (page 15): “work in this area is ongoing and improvements continue to be made in this area for both Angus Council and NHS Tayside records. This is highlighted in the Angus Council Information Governance Improvement Plan and the NHS Tayside Improvement and Action Plan.”</p>
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			<p>Therefore, the Keeper agrees this element of the Angus Integration Joint Board’s Records Management Plan under ‘improvement model’ terms.</p>
<p>7. Archiving and Transfer <i>Compulsory element</i></p>	<p>A</p>	<p>G</p>	<p>The <i>Records Management Policy</i> (see element 3) has as an objective that “records must be managed effectively from the point of creation...to their ultimate destruction or permanent preservation.” (<i>Policy</i> section 1.3)</p> <p>Furthermore, the <i>Policy</i> commits the IJB to “The development of archive transfer arrangements to detail the procedures for identifying and transferring relevant records to the AIJB’s Archive” (<i>Policy</i> section 2.1).</p> <p>In the introduction to the <i>Plan</i> the IJB notes that “Well managed records will help the IJB make...preservation of vital and historical records.” (<i>Plan</i> 5 page)</p> <p>The selection of a small percentage of IJB records for permanent preservation is an explicit commitment in the IJB’s <i>Records Management Policy</i> (section 3.3) (see element 3).</p> <p>With this in mind the public records of the IJB will be archived in either the Angus Council Archive Service or Dundee University Archives (for IJB records held by NHS Tayside). The <i>Plan</i> notes that the formal agreement between NHS Tayside and Dundee University is being updated at the moment. The Keeper will need to see a copy of the revised agreement in order to fully agree this element of the IJB Plan. This requirement is recognised in the Plan.</p> <p>As the majority of the public records of the IJB are ‘born digital’ it is unlikely that an operational archiving system is in place. Digital archiving functionality is in very early stages in Scotland. As the IJB is a relatively new body, with no legacy material, it is also unlikely that there is an immediate requirement to transfer electronic public records to archive.</p>

			<p>The <i>Plan</i> states (page 16) “As no records will reach the stage of archiving until 2022 a formal contract will be entered into with the Archivist for IJB records nearer the time.” The Keeper would encourage the IJB to set up a formal archiving agreement as soon as is practical, even if there is no immediate intention to deposit.</p> <p>The Records Management Plan of NHS Tayside has been agreed by the Keeper under ‘improvement model’ terms for element 7. This means that the Health Board has identified a gap in provision in this element.</p> <p>Therefore, the Keeper agrees this element of the Angus Integration Joint Board’s Records Management Plan under ‘improvement model’ terms awaiting formal agreement documents between the IJB and the partner bodies and between NHS Tayside and Dundee University Archives.</p>
<p>8. Information Security <i>Compulsory element</i></p>	<p>G</p>	<p>G</p>	<p>The <i>Records Management Policy</i> (see element 3) gives as one of its aims to ensure that “Information is stored, used and protected in accordance with the many requirements of its creators, users, the AIJB, and statutory and regulatory authorities.” (<i>Policy</i> section 1.6).</p> <p>Angus Integration Joint Board uses the records management systems of Angus Council and NHS Tayside to manage their public records. Their public records are therefore liable to the information security arrangements of the Council and the Health Board. The Plan confirms that IJB Staff have access to the information security policies and guidance of the partner bodies. Screen-shots have been supplied in evidence.</p> <p>All staff creating records for the IJB will remain employees of either NHS Tayside or of Angus Council. As such they will be subject to the policies and procedures of their</p>

			<p>employer, i.e. NHS Tayside Information Security Policy or Angus Council policies.</p> <p>The Keeper has already agreed the Council and Health Board’s information security arrangements are appropriate for the protection of public records (March 2017 Council and October 2016 Health Board).</p> <p>Subsequent to the original submission the IJB have provided the Keeper with their <i>Information Security Policy</i> this is version 1.0 dated 27 June 2019.</p> <p>The Keeper agrees that Angus Integration Joint Board has arrangements in place that ensure the security of their public records as required by the Act.</p>
9. Data Protection	G	G	<p>All IJB records containing personal data are stored and processed on Angus Council or NHS Tayside systems and are therefore subject to the data protection obligations of the collaborating authorities.</p> <p>The <i>Plan</i> explains: “The IJB is sole data controller of personal data processed as part of its corporate and strategic planning function and joint controller with Angus Council and NHS Tayside in respect of personal data processed by them in the carrying out of the IJB’s integration functions. Registration number is ZA404048.” (<i>Plan</i> page 18). The Keeper agrees this is appropriate.</p> <p>Staff working on IJB records will be subject to the data protection regime of their employing organisation.</p> <p>The data protection provision in Angus Council is explained at: https://www.angus.gov.uk/council_and_democracy/council_information/information_governance/angus_council_full_privacy</p> <p>The data protection provision in NHS Tayside is explained at:</p>

			<p>https://www.nhstayside.scot.nhs.uk/YourRights/PROD_298457/index.htm</p> <p>The Keeper agreed that the data protection arrangements in Angus Council and in NHS Tayside were fully compliant under the 2018 data protection legislation in the Progress Update Reviews of the authorities (January 2019 and May 2019 respectively).</p> <p>The IJB’s Data Protection Officer has been identified as Keith Whitefield, Programme Manager, Angus Health and Social Care Partnership.</p> <p>The IJB have provided the Keeper with a screen-shot of their ‘Huddle’ access platform to show that staff have access to data protection guidance.</p> <p>For data protection training see element 12.</p> <p>Subsequent to the original submission the IJB have provided the Keeper with their <i>Data Protection Policy</i> this is version 1.0 dated 26 June 2019.</p> <p>The Keeper agrees that Angus Integration Joint Board have appropriate arrangements in place to comply with current data protection legislation.</p>
<p>10. Business Continuity and Vital Records</p>	<p>A</p>	<p>G</p>	<p>All IJB records are wholly covered by the arrangements, policies and procedures of Angus Council and NHS Tayside. This includes those procedures for the recovery of records in an emergency.</p> <p>These arrangements support the commitment in the <i>Records Management Policy (see element 3)</i> that the IJB aims to ensure that “The AIJB [Angus Integration Joint Board] provides continuity in the event of a disaster”(Policy section 1.6).</p> <p>The Keeper has agreed the business continuity/record recovery arrangements of</p>

			<p>NHS Tayside and Angus Council.</p> <p>However, the <i>Records Management Plan</i> of Angus Council has been agreed by the Keeper under ‘improvement model’ terms for element 10. This means that the Council has identified a gap in provision in this element and is working to close that gap. This is recognised in the <i>IJB Plan</i> (page 20).</p> <p>Therefore, the Keeper agrees this element of the Angus Integration Joint Board’s <i>Records Management Plan</i> under ‘improvement model’ terms.</p>
11. Audit trail	A	G	<p>The public records of Angus Integration Joint Board are managed in the records systems of Angus Council and NHS Tayside. See element 4 for explanation of the systems in which the IJB’s public records are managed.</p> <p>The audit trail/document tracking facility provided for these records are therefore those of the Council and Health Board.</p> <p>The Plan acknowledges this: “The IJB records which are on the Angus Council and NHS Tayside systems are covered by the audit trail provisions of the relevant collaborating authorities.” (<i>Plan</i> page 21)</p> <p>These arrangements support the commitment in the <i>Records Management Policy</i> (see element 3) that the IJB aims to ensure that “Information is held in a form and manner that helps people access it easily and efficiently”(Policy section 1.6) and “It is possible to discover, locate and access the information...” (<i>Policy</i> Appendix 1)</p> <p>The Records Management Plans of Angus Council and of NHS Tayside have been agreed by the Keeper under ‘improvement model’ terms for element 11. This means that both authorities have identified gaps in provision in this element and are working to close that gap. This is recognised in the <i>IJB Plan</i></p>

			<p>(page 21): “Improvements continue to be made in this area for both Angus Council and NHS Tayside records. This is highlighted in the Angus Council Information Governance Improvement Plan and the NHS Tayside Improvement and Action Plan”.</p> <p>Therefore, the Keeper also agrees this element of the Angus Integration Joint Board’s Records Management Plan under ‘improvement model’ terms.</p>
<p>12. Competency Framework for records management staff</p>	<p>G</p>	<p>G</p>	<p>Angus Integration Joint Board has provided a statement in the <i>Plan</i> regarding the suitability of the individuals, identified at element 2, to manage the public records of the IJB. The Keeper has already agreed that these individuals are appropriate (March 2017 Council and October 2016 Health Board).</p> <p>Furthermore the IJB states in the <i>Plan</i> (page 22): “Senior management recognise the importance of the continued development of staff with records management responsibilities within services and is open to staff attending regular seminars and conferences for continuing professional development (CPD), where appropriate. In particular, Angus Council ensures that the IJB’s records manager (who also acts as records manager for Angus Council) is able to access a wide range of professional development opportunities including attending conferences organised by the Information and Records Management Society (IRMS) amongst others.” The Keeper thanks the IJB for this commitment.</p> <p>The <i>Records Management Policy</i> (Section 2.1, restated at 3.4 and 6.1) (see element 3) sets a commitment for the IJB to “The development of a mandatory training programme for all staff.” It is reasonable that this commitment is addressed by IJB staff undertaking mandatory training provided by their relevant partner body.</p> <p>A commitment to training is further emphasised by <i>Covering Letters</i> from Anne Garness, Angus Council’s Data Protection Officer and Acting Chief Information</p>

			<p>Governance Officer; Margaret E Dunning, Director of Governance, Risk and Compliance NHS Tayside which accompanied the <i>Plan</i>.</p> <p>Both NHS Tayside and Angus Council have data protection training modules to which IJB administrative staff have access. The IJB has provided the Keeper with a screen-shot of the training material provided by the Council and by the Health Board which includes data protection.</p> <p>The Keeper agrees that Angus Integration Joint Board has identified individuals for the day to day implementation of their <i>Records Management Plan</i> who have the requisite skills, responsibilities and training opportunities. Furthermore, he agrees that they have properly considered information governance training for other members of staff as appropriate.</p>
<p>13. Assessment and Review</p>	<p>G</p>	<p>G</p>	<p>The Act requires a scheduled public authority to “keep its records management plan under review” (part 1 5.1 (a)).</p> <p>The introduction to the <i>Plan</i> confirms this: “Section 5 (1) of the Act requires authorities to keep their plans under review to ensure its arrangements remain fit for purpose, therefore, all elements will be reviewed in the event of any relevant change in personnel, legislation, roles and/or responsibilities.”</p> <p>With this in mind, the IJB have committed to review the implementation of their records management plan annually. This is stated in the <i>Plan</i> (pages 5 and 24 and on the cover sheet).</p> <p>The review will be led by Dr Alison Clement (see element 1). The IJB’s <i>SIRO Job Description</i> has been provided and this confirms that Dr Clement is ideally placed to lead the review.</p>

			<p>The methodology of review is explained in the authority's <i>Information Governance Strategy</i>. Subsequent to the original submission the IJB have provided the Keeper with a copy of this document. This is version 1.0 dated 26 June 2019.</p> <p>The Keeper notes that NHS Tayside and Angus Council have provided him with regular updates on their <i>Plan</i> by undertaking voluntary progress update reviews. He commends this and agrees any future updates could be taken as applying to the public records of the IJB managed on those systems.</p> <p>The Keeper notes that, in the introduction to the <i>Plan</i>, the IJB state: "Future developments under all the elements of this RMP, outwith what has already agreed in both the NHS Tayside RMP or the Angus Council and Licensing Board RMP, would be carried out in consultation with the IJB." This commitment to engage with partner bodies records management arrangements is vital and is to be commended.</p> <p>The <i>AHSCP Classification Scheme and Retention Schedules</i> document is scheduled for review during the period of this assessment.</p> <p>The <i>Records Management Policy (see element 3)</i> is scheduled for review by February 2020.</p> <p>The <i>Information Security Policy (see element 8)</i>, <i>Information Governance Strategy</i> (see above) and <i>Data Protection Policy (see element 9)</i> are due for review by June 2020.</p> <p>The <i>Information Sharing Overarching Memorandum of Understanding between the IJB, NHS Tayside and Angus Council (see element 14)</i> is scheduled for review in July 2020.</p> <p>The Keeper agrees that Angus Integration Joint Board have processes in place to</p>
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			<p>review their <i>Plan</i> as required by the Act and have determined a time when this will take place. The responsibility for undertaking the review and the review reporting procedure are also clearly laid out.</p>
<p>14. Shared Information</p>	<p>G</p>	<p>G</p>	<p>The IJB shares information with health and social care partners. This is done under the terms of a <i>Memorandum of Understanding (MoU)</i> between the partner bodies. This agreement (in two parts) has been supplied to the Keeper in evidence.</p> <p>IJB staff are aware of the terms of the MoU. The IJB have provided the Keeper with a screen-shot of their ‘Huddle’ access platform to show that staff have access to information sharing agreements.</p> <p>The Keeper notes that both Angus Council and NHS Tayside, the partner bodies who manage the IJB’s public records, have been graded as fully compliant for information sharing in their own separate records management plans.</p> <p>These arrangements support the commitment in the <i>Records Management Policy (see element 3)</i> that the IJB aims to ensure that “Information sharing is managed appropriately” (<i>Policy</i> section 1.6).</p> <p>The Keeper agrees that Angus Integration Joint Board formally consider information governance issues when engaging in information sharing exercises as evidenced in clauses of the <i>Memorandum of Understanding</i> he has received in evidence.</p>

Version

This assessment is on the *Records Management Plan* (the *Plan*) version 1.1, dated 27 June 2019 and submitted Angus Integration Joint Board (the IJB) for the Keeper’s agreement on 28th June 2019.

Note: Angus Integration Joint Board consider their public records to fall into three categories:

- 1. Records created internally by the IJB and managed on the Angus Council record keeping systems.**
- 2. Records created by Angus Council under the direction of the IJB. These are also, of course, managed on the Angus Council record keeping systems.**
- 3. Records created by NHS Tayside under the direction of the IJB. These are stored on the record keeping systems of NHS Tayside.**

The Keeper of the Records of Scotland has already agreed the Records Management Plans of Angus Council and NHS Tayside (although with improvement plans recognised for some elements). See element 4 for more detail.

The *Plan* states that robust records management processes allow an authority to:

- “Demonstrate accountability.
- Provide evidence of actions and decisions.
- Assist with the smooth running of business.
- Help build organisational knowledge.” (*Plan* page 3)

The Keeper agrees that the IJB’s *Plan* should assist these aims.

The IJB acknowledges records as a business ‘asset’ (for example *Plan* page 11 and *Policy* section 1.3). The Keeper commends this recognition.

The *Plan* is accompanied by *Covering Letters* from Vicky Irons, Chief Officer of the Angus Health & Social Care Partnership, Anne Garness, Acting Chief Information Governance Officer of Angus Council and Margaret E Dunning, Director of Governance, Risk and Compliance NHS Tayside. All three *Covering Letters* support the arrangements described in the *Plan*.

The *Plan* mentions the Act and is based on the Keeper’s, 14 element Model Plan <http://www.nrscotland.gov.uk/record-keeping/public-records-scotland-act-2011/resources/model-records-management-plan>.

Third Parties

The Public Records (Scotland) Act 2011 (PRSA) makes it clear that records created by third parties when carrying out the functions of a scheduled authority should be considered 'public records' - PRSA Part 1 3 (1)(b).

In the introduction the *Plan* states: "The IJB will therefore follow procedures that aim to ensure that all of its officers, employees of constituent authorities supporting its work, contractors, agents, consultants and other trusted third parties who create public records on behalf of the authority, or manage public records held by the authority, are fully aware of and abide by this plan's arrangements."

The Keeper can accept that this paragraph is not referring to any presently-existing arrangement where third parties are creating public records on behalf of the authority while carrying out its functions (except for the IJB's NHS and Council partners as described above).

6. Keeper's Summary

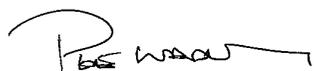
Elements **1 - 14** that the Keeper considers should be in a public authority records management plan have been properly considered by Angus Integration Joint Board. Policies and governance structures are in place to implement the actions required by the plan.

7. Keeper's Determination

Based on the assessment process detailed above, the Keeper **agrees** the RMP of Angus Integration Joint Board.

- The Keeper recommends that Angus Integration Joint Board 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 **Angus Integration Joint Board**. In agreeing this RMP, the Keeper expects Angus Integration Joint Board to fully implement the agreed RMP and meet its obligations under the Act.



.....
Paul Lowe
Keeper of the Records of Scotland