

## **Public Records (Scotland) Act 2011**

**Shetland Integration Joint Board**

**The Keeper of the Records of Scotland**

**23<sup>rd</sup> September 2020**

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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 Shetland Integration Joint Board by the Public Records (Scotland) Act 2011 Assessment Team following its submission to the Keeper on 31<sup>st</sup> March 2020.

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

## 3. Authority Background

The Integration Joint Board [the IJB] is a body corporate, established by Order under section 9 of the Public Bodies (Joint Working) (Scotland) Act 2014. The Parties to the IJB are the Shetland Islands Council [the Council], and NHS Shetland [the Health Board]. The Parties agreed the Integration Scheme for the Shetland Islands Health and Social Care Partnership, which sets out the delegation of functions by the Parties to the Integration Joint Board. This Integration Scheme came into effect on 27 June 2015, the date on which the Parliamentary Order formally established the Integration Joint Board.

The IJB is responsible for strategic planning of the functions delegated to it by the Council and the Health Board and for the preparation of the Strategic Plan. The Joint Strategic (Commissioning) Plan specifies the services to be delivered by the Parties.

The Ethical Standards in Public Life etc. (Scotland) Act 2000, "the 2000 Act", provides for Codes of Conduct for local authority Councillors and members of relevant public bodies. The Public Bodies (Joint Working) (Scotland) Act 2014 (Consequential Amendments & Savings) Order 2015 has determined that Integration Joint Boards are "devolved public bodies" for the purposes of the 2000 Act.

For more see: [https://www.shetland.gov.uk/Health\\_Social\\_Care\\_Integration/IntegratedJointBoard.asp](https://www.shetland.gov.uk/Health_Social_Care_Integration/IntegratedJointBoard.asp)

## 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 Shetland 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:

<b>G</b>	The Keeper agrees this element of an authority’s plan.		<b>A</b>	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.		<b>R</b>	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

### Shetland Integration Joint Board

(For simplicity this authority will be referred to as 'The IJB' in the assessment below)

**Explanation:** Shetland Integration Joint Board consider their public records will be covered by the respective RMP of NHS Shetland and Shetland Islands Council.

This is confirmed in a *Covering Letter* from the Chief Officer Shetland Integration Joint Board (see element 1): “The context of this Plan is that the IJB relies on the SIC and NHSS to ensure compliance with legislative, regulatory and best practice relating to information and records management. The RMP provides assurance as to the records management responsibilities within the IJB parent organisations...”

The Records Management Plans of Shetland Islands Council and of NHS Shetland have been agreed by the Keeper.

For details of this agreement and of subsequent updates see:

Shetland Islands Council agreement report (June 2017): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-shetland-islands-council-shetland-islands-area-licensing-board-and-zettrans.pdf>

Shetland Islands Council's latest progress review (February 2019): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/nrs-progress-update-review-final-report-shetlands-islands-council-licensing-board-and-zettrans.pdf>

NHS Shetland agreement report (March 2018): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-nhs-shetland.pdf>

NHS Shetland latest progress review (October 2019): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/nrs-progress-update-review-final-report-for-nhs-shetland-october-2019.pdf>

Element	Present	Evidence	Notes
1. Senior Officer	<b>G</b>	<b>G</b>	<p>The Public Records (Scotland) Act 2011 (the Act) requires that an individual senior staff member is identified as holding corporate responsibility for records management in a public authority.</p> <p>Shetland Integration Joint Board (the IJB) have identified Brian Chittick, Interim Chief Officer, to this role.</p> <p>Mr Chittick is new to the role (July 2020). The identification of the acting Chief Officer to this role is confirmed in a <i>Covering Letter</i> from the Chief Officer at time of submission, Mr Bokor-Ingram, submitted with the Board's <i>Records Management Plan</i> (the <i>RMP</i>). However, Mr Chittick has signed the foreword to a new version of the RMP (v1.1) received by the Keeper in September 2020. This indicates he accepts the responsibilities previously held by Mr Bokor-Ingram.</p> <p>The Chief Officer is a full member of the senior management teams of both partner bodies and a member of the Shetland Data Sharing Partnership.</p> <p>The Keeper agrees that, as Interim Chief Officer, Mr Chittick is an appropriate individual to be identified as having corporate responsibility for records</p>

			management.
2. Records Manager	<b>G</b>	<b>G</b>	<p>The Act requires that each authority identifies an individual staff member as holding operational responsibility for records management and has appropriate corporate responsibility, access to resources and skills.</p> <p>The IJB has identified Anne Cogle, Team Leader Administration for Shetland Islands Council and David Morgan, Information Governance Manager/DPO of NHS Shetland to this role.</p> <p>The Act directs an authority to identify a single individual. However, the Keeper has previously agreed that, due to the partnership nature of the work, two officers can be identified to this role in the case of an IJB.</p> <p>The Keeper has already agreed that Ms. Cogle and Mr Morgan are appropriate individuals to be identified as having day-to-day responsibility for records management in their respective organisations.</p> <p>As the public records of Shetland Islands Integration Joint Board are managed either by Shetland Islands Council or by NHS Shetland it is entirely appropriate that one officer from each is identified under this element.</p> <p>The Keeper can agree that Shetland Islands Integration Joint Board have identified suitable individuals to this role as required by the Act.</p>
3. Policy	<b>G</b>	<b>G</b>	<p>The Act requires an authority to have an appropriate policy statement on records management.</p> <p>The public records of the IJB are managed in the systems of NHS Shetland and</p>

			<p>Shetland Islands Council. They are therefore managed under the Records Management Policies of these partner authorities. All staff creating or otherwise managing IJB records are employees of either the council or the health board and are subject to the policies and procedures of the relevant organisation.</p> <p>The RMP confirms this: “The IJB recognises and acknowledges that its records are held on either the Council’s systems and on NHSS systems, and the IJB’s Plan therefore reflects in many ways the Council’s Records Management Plan (SIC Records Management Plan) and the NHS Shetland Records Management Plan (NHSS Records Management Plan) which were both approved by the Keeper on an Improvement Model basis.” (RMP introduction)</p> <p>The Keeper has already agreed that the Records Management Policies of NHS Shetland and Shetland Islands Council are appropriate. See under <u>Explanation</u> above for details of these agreements.</p> <p>It should be noted that in their original agreement Shetland Islands Council had this element agreed under an ‘improvement model’ awaiting the finalisation of a policy review (June 2017). However, the Keeper acknowledges that the authority has subsequently provided an updated policy (2019).</p> <p>Therefore the Keeper can agree that Shetland Islands Integration Joint Board have access to appropriate records management policy statements as required by the Act.</p>
4. Business Classification	<b>A</b>	<b>G</b>	<p>The Keeper of the Records of Scotland (the Keeper) expects that the public records of an authority are known and are identified within a structure.</p> <p>The RMP recognises this. In a foreword by the Chief Officer (see element 1) the IJB states that the RMP will provide the IJB with a framework that ensures "that</p>

			<p>information will be in the right place, organised appropriately" (RMP page 3).</p> <p>For the moment the IJB relies on the business classification structure of NHS Shetland and of Shetland Islands Council to achieve this.</p> <p>The Keeper notes that the authority explains that, once the governance arrangements of the IJB are stable, they will consider creating their own scheme. <b>The Keeper will be very interested to be updated on this in the future.</b> The RMP states "We will conduct a review of the information and records management functions and policy framework, as part of the IJB's planned governance and Scheme reviews" (RMP page 11). The Chief Officer (see element 1) concurs that the IJB are 'on a journey' with future developments in the information governance area to be finalised (page 3).</p> <p><b>Furthermore, the IJB have provided the Keeper with a separate <i>Position Statement</i> which includes the following action: "...the responsible officers in both organisations will work towards producing, amongst other information governance policy and procedures, an IJB Business Classification Scheme, which will include an approved Retention and Destruction Schedule, for all health and social care records, and joint archiving procedures in collaboration with Shetland Archives. These policies and procedures will be underpinned by a Memorandum of Understanding which will set out the arrangements for the management of the IJB's records and the relationship with the respective RMPs of the SIC and NHSS." The pursuance of the actions in the <i>Position Statement</i> are agreed by the Keeper and will have a significant effect on future updates of the RMP.</b></p> <p>However, that is for subsequent updates. As the situation in the IJB currently stands, the public records of the authority are managed through the arrangements implemented by the partner authorities. These have been agreed by the Keeper</p>
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			<p>(see <u>Explanation</u> above for details of these agreements). However, both NHS Shetland and Shetland Islands Council have had element 4 agreed under improvement model terms. This is noted in the IJB Plan which refers to “the SIC and NHSS’s planned RMP improvement actions” (RMP page 11).</p> <p><b>With this in mind, the Keeper agrees this element of the Shetland Integration Joint Board’s <i>Records Management Plan</i> under the same improvement model terms as the ‘host’ authorities. This 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. The IJB RMP recognises this situation. On page 6 the RMP refers to the partner plans being “approved by the Keeper on an Improvement Model basis”. This situation applies to several other elements below.</b></p>
5. Retention schedule	<b>A</b>	<b>G</b>	<p>The Keeper expects an authority to have allocated retention periods to its public records and for those records to be retained and disposed of in accordance with the Retention Schedule.</p> <p>The RMP recognises this. In a foreword by the Chief Officer (see element 1) the IJB states that the RMP will provide the IJB with a framework that ensures “that we do not waste valuable resources storing information which is no longer required, is superseded, or is duplicated elsewhere.” (RMP page 3).</p> <p>For the moment the IJB relies on the business classification structure of NHS Shetland and of Shetland Islands Council to achieve this.</p> <p>The Keeper notes that the authority explains that, once the governance arrangements of the IJB are stable, they will consider creating their own scheme.</p>

			<p><b>The Keeper will be very interested to be updated on this in the future.</b> The RMP states “Once IJB Governance arrangements are made clear, further action will be required to develop and implement a business classification for IJB functions which will form the framework for the establishment of an R&amp;D Schedule for the IJB.” (RMP page 13).</p> <p><b>The IJB have provided the Keeper with a separate <i>Position Statement</i> see element 4 above.</b></p> <p>However, as the situation in the IJB currently stands, the public records of the authority are managed through the arrangements implemented by the partner authorities. These have been agreed by the Keeper (see <u>Explanation</u> above for details of these agreements). However, both NHS Shetland and Shetland Islands Council have had this element agreed under improvement model terms. This is noted in the IJB Plan which refers to “the SIC and NHSS’s planned RMP improvement actions” (RMP page 13)</p> <p><b>As with element 4, the Keeper can agree this element of the Shetland Integration Joint Board’s <i>Records Management Plan</i> under the same improvement model terms as the host authorities. 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.</b></p>
6. Destruction Arrangements	<b>A</b>	<b>G</b>	<p>The Act requires that public records are destroyed in a timely, controlled and secure manner.</p> <p>As with elements 4 and 5 above, the RMP indicates that the IJB may, in the future,</p>

			<p>develop their own solution to this aspect of their records management provision. The RMP states “Once IJB Governance arrangements are made clear, further action will be required to adopt and implement destruction arrangements for IJB information.” (RMP page 14) <b>The Keeper will be very interested to be updated on this in the future. See comment about a <i>Position Statement</i> under element 4 above.</b></p> <p>However, as the situation in the IJB currently stands, the public records of the authority are managed through the arrangements implemented by the partner authorities. These have been agreed by the Keeper (see <u>Explanation</u> above for details of these agreements). However, both NHS Shetland and Shetland Islands Council have had this element agreed under improvement model terms. This is noted in the IJB Plan which states “It is recognised that there are gaps in those procedures, and these will be reviewed as part of their respective improvement programme actions.”</p> <p><b>Therefore, the Keeper agrees this element of the Shetland Integration Joint Board’s <i>Records Management Plan</i> under the same improvement model terms. 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.</b></p>
7. Archiving and Transfer	<b>G</b>	<b>G</b>	<p>The Act requires that all Scottish public authorities identify a suitable repository for the permanent preservation of any records considered suitable for archiving. A formal arrangement for transfer to that repository must be in place.</p> <p>The IJB states that "Well managed records will help...the preservation of vital and historical records." (RMP page 6).</p>

			<p>Both NHS Shetland and Shetland Islands Council have identified Shetland Museum and Archive Service: <a href="https://www.shetlandmuseumandarchives.org.uk/">https://www.shetlandmuseumandarchives.org.uk/</a> as a suitable repository for the permanent preservation of those records selected for archiving. The Keeper has already agreed that Shetland Museum and Archive Service is a suitable repository for this. He has also agreed that the health board and the council have appropriate formal arrangements in place to allow this transfer.</p> <p>The IJB have provided the Keeper with a separate <i>Position Statement</i> (see element 4 above). This indicates that the IJB is satisfied that regular discussion, advice and direction is carried out by Information Asset Owners, Records Managers and support staff in relation to areas where information is related to integrated functions, and is further satisfied that the outcome of such collaboration is effective. The Keeper accepts this includes the identification of public records for permanent preservation.</p> <p>The Keeper can agree that Shetland Integration Joint Board has proper arrangements in place for the archiving of its records as required by the Act.</p>
8. Information Security	<b>A</b>	<b>G</b>	<p>The Act requires that public records are held in accordance with information security compliance requirements.</p> <p>The RMP recognises this. In a foreword by the Chief Officer (see element 1) the IJB states that the RMP will “provide the IJB with a framework that ensures will help make sure that information will be protected where required” (RMP page 3).</p> <p>As the public records of the IJB are managed on the systems provided by the partners, NHS Shetland and Shetland Islands Council, they are protected under the arrangements of those partners.</p>

			<p>The RMP confirms this. It states on page 16 “The IJB does not have its own ICT infrastructure. The IJB relies on both the SIC and the NHSS ICT systems, and will therefore align itself to each organisation’s respective policies and procedures for ICT security and information governance.”</p> <p>The Keeper has agreed that the information security provision in NHS Shetland is appropriate (see <u>Explanation</u> above for details of this agreement).</p> <p>The Keeper notes that Shetland IJB are developing their own information governance policies. This is explained in a <i>Position Statement</i> (see element 4) provided separately to the Keeper. This is welcomed and the Keeper request he is informed when these policies are approved and operational in the IJB. Currently the public records of the IJB are covered by the policies of the health board and the local authority.</p> <p><b>However, Shetland Islands Council original agreement was Amber for this element (2017). The Keeper requested the Council update him on progress and in 2019 they reported that “work is underway with a view to putting in place a Corporate Information Classification Scheme, which would identify and clarify the type of security required for different levels and types of information, in all formats.” The Keeper expects the Council to have pursued this further since this update, but for the moment the Council plan remains at Amber.</b></p> <p><b>Therefore, the Keeper agrees this element of the Shetland Integration Joint Board’s <i>Records Management Plan</i> under the same improvement model terms.</b></p>
9. Data Protection	<b>G</b>	<b>G</b>	The Keeper expects a Scottish public authority to manage records involving personal data in compliance with data protection law.

			<p>Shetland Integration Joint Board is not currently listed as a data controller with the Information Commissioner.</p> <p>The public records of the IJB are managed by NHS Shetland and by Shetland Islands Council. The Keeper accepts that, currently, these two authorities are acting as data controller for IJB records.</p> <p>Staff working on IJB records will personally be subject to the data protection regime of their employing organisation.</p> <p>The data protection provision in Shetland Islands Council is explained at: <a href="https://www.shetland.gov.uk/information-rights/DataProtection.asp">https://www.shetland.gov.uk/information-rights/DataProtection.asp</a></p> <p>The data protection provision in NHS Shetland is explained at: <a href="https://www.shb.scot.nhs.uk/board/staffprivacy.asp">https://www.shb.scot.nhs.uk/board/staffprivacy.asp</a></p> <p>The Keeper agreed that the data protection arrangements in Shetland Islands Council and in NHS Shetland were fully compliant under the 2018 data protection legislation in the Progress Update Reviews of the authorities (February 2019 and October 2019 respectively).</p> <p>The Keeper agrees that Shetland Integration Joint Board have appropriate arrangements in place to comply with current data protection legislation.</p>
10. Business Continuity and Vital Records	<b>G</b>	<b>G</b>	<p>The Keeper expects that record recovery, prioritising vital records, is an integral part of the authority's business continuity planning.</p> <p>The RMP recognises this. In a foreword by the Chief Officer (see element 1) the IJB states that the RMP will "that appropriate business continuity arrangements are in</p>

			<p>place” (RMP page 3).</p> <p>As the public records of the IJB are managed on the systems provided by the partners, NHS Shetland and Shetland Islands Council, they are protected under the arrangements of those partners.</p> <p>The RMP confirms this. It states on page 18 “The IJB’s records are subject to the policies and procedures of the partner bodies in relation to business continuity for all services which are provided or commissioned directly by the SIC or NHSS.”</p> <p>The Keeper has already agreed that the business continuity arrangements in Shetland Islands Council and in NHS Shetland are appropriate. See under <u>Explanation</u> above for details of those agreements.</p> <p><b>As with several other elements, the Keeper notes that, in the future the IJB may make its own arrangements and the Keeper requests that he is updated if these arrangements are implemented (see comments regarding the <i>Position Statement</i> under element 8).</b></p> <p>The Keeper agrees that the Shetland Islands Integration Joint Board has arrangements in place to adequately recover records in an emergency.</p>
11. Audit trail	<b>A</b>	<b>G</b>	<p>The Keeper expects an authority to have process in place to track public records in such a way that their location is known and changes recorded.</p> <p>The public records of the IJB are managed on the systems provided by the partner organisations, NHS Shetland and Shetland Islands Council. They are therefore tracked and identified using those systems. This is confirmed by the RMP which states at page 19: “SIC and NHSS manage records relating to the IJB, both paper and electronic, using a variety of systems. At present, only some of these systems</p>

			<p>are capable of maintaining a full, unalterable audit trail of all changes that occur in a record. Their arrangements and improvement actions are detailed in their respective RMPs.”</p> <p><b>However, see comments regarding future developments in the <i>Position Statement</i> under element 4.</b></p> <p>As noted by the IJB, although the Keeper has agreed the record tracking (audit) facilities of the health board and council, he has done so under ‘improvement model’ terms.</p> <p><b>Therefore, the Keeper agrees this element of the Shetland Integration Joint Board’s <i>Records Management Plan</i> under the same improvement model terms. 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.</b></p>
<p>12. Competency Framework for records management staff</p>	<p><b>G</b></p>	<p><b>G</b></p>	<p>The Keeper expects staff creating, or otherwise processing records, to be appropriately trained and supported.</p> <p>Staff creating records for the IJB are employees of either the health board or the council and “Training for records management staff will remain the responsibility of the employing bodies SIC and NHSS.” (RMP page 20).</p> <p>The Keeper has already agreed that both NHS Shetland and Shetland Islands Council have 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</p>

			<p>information governance training for other members of staff as appropriate.</p> <p>Therefore the Keeper agrees that Shetland Islands Integration Joint Board have appropriate training and support available through the provision of the partner bodies.</p>
<p>13. Assessment and Review</p>	<p><b>G</b></p>	<p><b>G</b></p>	<p>Section 1(5)(i)(a) of the Act says that an authority must keep its RMP under review.</p> <p>The public records of the IJB are managed on the records management systems of Shetland Islands Council and of NHS Shetland. As such their management will be reviewed under the arrangements of these authorities. The RMP confirms this: “The IJB relies on the SIC and NHSS to ensure that the systems, policies and procedures that govern IJB records are being regularly assessed.” (RMP page 21).</p> <p>The Keeper has already agreed that the review arrangements of NHS Shetland and Shetland Islands Council are appropriate (see under <u>Explanation</u> above for details of these agreements). It should be noted that Shetland Islands Council originally was graded as amber for this element while the Keeper awaited confirmation of the use of internal audit facilities to review their plan (June 2017). This was confirmed by the Council in February 2019.</p> <p>Furthermore, the IJB has committed to review the RMP annually as part of its governance and Scheme reviews. This is commendable.</p> <p>The Keeper has been provided with a separate <i>Position Statement</i> (see element 4). Which includes the following: “In relation to governance and Scheme reviews, the IJB agreed, in September 2019, to the review of the Integration Scheme, and to a review of governance and accountability arrangements, and these form part of an agreed Development Plan. Links to these documents and decisions are included as evidence, and illustrates the process and timescales for this work. This Plan will</p>

			<p>address the issues highlighted by external audit and self-evaluation reports, and those highlighted by the Keeper, in a co-ordinated way. Further, the IJB intends, along with the adoption of information policy and procedures, to adopt the Keeper’s voluntary annual Progress Update Review assessment process, which will require the IJB to regularly address progress and consider further development and improvement work which will bring the RMP into full compliance. Regular updates will be added to the IJB Business Programme for future meetings.” It is clear that the IJB have properly considered the review procedure for the actions and documents that support their RMP.</p> <p>Separately from the review of the implementation of the of the RMP, the IJB is intending to review their governance structure. The RMP says in the compliance statement for element 4 “The IJB is planning to undertake a governance and Scheme review with anticipated completion in 2020.” (RMP page 11). Several other elements refer to changes that may be prompted by this review. <b>The Keeper will be interested to know the results of this review as soon as is practicable.</b></p> <p>The Keeper agrees that Shetland Islands Integration Joint Board have processes in place to ensure that their RMP is reviewed as required by the Act.</p>
14. Shared Information	<b>G</b>	<b>G</b>	<p>The Keeper expects a Scottish public authority to ensure that information sharing, both within the Authority and with other bodies or individuals, is necessary, lawful and controlled.</p> <p>As part of its function, Shetland Integration Joint Board shares information with other bodies when appropriate and does so under information sharing processes of Shetland Islands Council and NHS Shetland.</p> <p>The principle document to allow the control of information sharing, to which both the health board and the council have signed up, is the <i>Shetland Data Sharing Policy</i></p>

			<p>(the Policy).</p> <p>The Keeper has already agreed that the data sharing arrangements in both the council and the health board are appropriate (see under <u>Explanation</u> above for details of these agreements).</p> <p><b>It is noted in the RMP that the IJB is not itself a signatory to the <i>Data Sharing Policy</i> and this is something that they will consider for the future. The Keeper has received the following statement from the IJB (separate from the RMP): “Consideration will be given to inclusion of the IJB as a signatory of the Data Sharing Policy during its next review.”</b> However, the Chief Officer (see element 1) is a member of the Shetland Data Sharing Partnership.</p> <p>Therefore the Keeper agrees that Shetland Integration Joint Board appropriately considers information governance when planning data sharing with third parties.</p>
<p>15. Public records created or held by third parties</p>	<p><b>N/A</b></p>	<p><b>N/A</b></p>	<p>The IJB does not contract out any of its integrated functions to a third party, and this element, therefore, does not apply.</p>

**Shetland Integration Joint Board**  
**(For simplicity this authority will be referred to as 'The IJB' in the assessment below)**

**Explanation:** Shetland Integration Joint Board consider their public records will be covered by the respective RMP of NHS Shetland and Shetland Islands Council.

This is confirmed in a *Covering Letter* from the Chief Officer – Shetland Integration Joint Board (see element 1): “The context of this Plan is that the IJB relies on the SIC and NHSS to ensure compliance with legislative, regulatory and best practice relating to information and records management. The RMP provides assurance as to the records management responsibilities within the IJB parent organisations...”

The Records Management Plans of Shetland Islands Council and of NHS Shetland have been agreed by the Keeper.

For details of this agreement and of subsequent updates see:

Shetland Islands Council agreement report (June 2017): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-shetland-islands-council-shetland-islands-area-licensing-board-and-zettrans.pdf>

Shetland Islands Council's latest progress review (February 2019): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/nrs-progress-update-review-final-report-shetlands-islands-council-licensing-board-and-zettrans.pdf>

NHS Shetland agreement report (March 2018): <https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/keepers-assessment-report-nhs-shetland.pdf>

NHS Shetland latest progress review (October 2019):  
<https://www.nrscotland.gov.uk/files//record-keeping/public-records-act/nrs-progress-update-review-final-report-for-nhs-shetland-october-2019.pdf>

### **General Notes on submission:**

This assessment is on the *Records Management Plan (RMP)* of Shetland Integration Joint Board originally submitted for the agreement of the Keeper of the Records of Scotland (the Keeper) on 31<sup>st</sup> March 2020 and then updated in September 2020. The updated version is 1.1 created by Anne Cogle, Team Leader – Administration, Shetland Islands Council (see element 2).

The RMP is accompanied by a *Covering Letter* of endorsement from Simon Bokor-Ingram, the IJB Chief Officer at the time of the original submission (see element 1).

The RMP gives the following commitment:

“The IJB is fully committed to compliance with the requirements of the Public Records (Scotland) Act, 2011, and 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.” (RMP page 9)

Furthermore, the Introduction to the RMP states that “Good recordkeeping practices lead to greater productivity as less time is taken to locate information. Well managed records will help the IJB make:

- Better decisions based on complete information.
- Smarter and smoother work practices.
- Consistent and collaborative workgroup practices.
- Better resource management.
- Support for research and development.
- Preservation of vital and historical records.

The Keeper entirely agrees with the statements above.

The RMP also appreciates records as a business 'asset' (RMP Chief Officer's Foreword) and states that "Knowledge and information management is now formally recognised as a function of government" (RMP page 6). The Keeper commends this acknowledgement.

## 6. Keeper's Summary

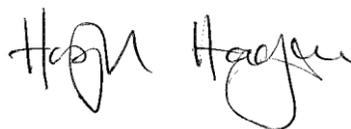
Elements **1 - 15** that the Keeper considers should be in a public authority records management plan have been properly considered by Shetland Integration Joint Board. Policies and governance structures are in place to implement the actions required by the plan.

## 7. Keeper's Determination

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

- The Keeper recommends that Shetland 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

.....  
**Hugh Hagan**  
Senior 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 **Shetland Integration Joint Board**. In agreeing this RMP, the Keeper expects Shetland Integration Joint Board to fully implement the agreed RMP and meet its obligations under the Act.



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