National Records of Scotland

Public Records (Scotland) Act 2011

Public Authority
South Lanarkshire Council and Licensing Board

The Keeper of the Records of Scotland

2 June 2017

Contents

1. Public Records (Scotland) Act 2011

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

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

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

2. Executive Summary

This report sets out the findings of the Keeper's assessment of the RMP of South Lanarkshire Council and Licensing Board by the Public Records (Scotland) Act 2011 Assessment Team following its submission to the Keeper on 28 November 2016**.**

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

3. Authority Background

Created in 1996, South Lanarkshire Council is one of 32 unitary authorities and has its headquarters in Hamilton, and has 16,000 employees and a budget of almost £1bn. The large and varied council area takes in rural and upland areas, market towns such as Lanark, Strathaven and Carluke, the urban burghs of Rutherglen, Cambuslang, and East Kilbride. There are 20 council wards in South Lanarkshire, each represented on the council by 3 or 4 elected councillors using single transferable vote. South Lanarkshire operates a cabinet style system, with key decisions being taken by the Executive Committee, under the leadership of the Council Leader, and approved by the council, led by the provost.

South Lanarkshire shares borders with the unitary authorities of Dumfries and Galloway, East Ayrshire, East Renfrewshire, City of Glasgow, North Lanarkshire, West Lothian and Scottish Borders.

Some parts of the country have a single Licensing Board, but in South Lanarkshire there are four Licensing Divisions to deal with liquor and gaming applications. There is a licensing forum for each of the four licensing divisions:

- Clydesdale
- East Kilbride
- Hamilton
- Cambuslang/Rutherglen

The forums must meet at least four times a year and have at least one joint meeting with the Licensing Board. Each forum should have 12 members.

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 [named public authority]'s RMP was developed with proper regard to the elements of the Model Plan and is compliant with the Act. The assessment also considered whether there was sufficient supporting evidence of such compliance.

Key:

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

5. Model Plan Elements: Checklist

Element	Present	Evidence	Notes
1. Senior Officer *Compulsory element*	G	G	The Council's Records Management Plan (RMP) identifies Paul Manning, Executive Director of Finance and Corporate Resources as the officer with senior management responsibility for records management. This is confirmed in the covering letter from the Council's Chief Executive, Lindsay Freeland (evidence 001) which accompanied the submission of the RMP. Page 7 of the Council's Records Management Policy (evidence 002) also confirms the Executive Director of Finance and Corporate Resources as having overall responsibility for records management within the Council. Mr Manning is also identified as the Council's Senior Information Risk Owner (SIRO). The RMP states that it also covers the records created by South Lanarkshire Leisure and Culture (SLLC) Ltd, which is an arms-length trust established by the Council to manage indoor and outdoor sporting and leisure facilities, community halls, arts venues, country parks, libraries and museums. The individual identified to take senior management responsibility for records management within SLLC is Paul Barton, Company Secretary. A letter has been submitted by SLLC's General Manager, Gerry Campbell, stating that SLLC will work closely with the Council to ensure that it adheres to the Council's RMP. The RMP identifies Geraldine McCann, Clerk to the Board, as the Senior Responsible Officer for records management in South Lanarkshire Licensing Board. Submitted as evidence is a letter from Ms McCann (evidence 004) confirming that

			she was consulted in the development of the RMP and that the records created and managed by the Licensing Board are subject to the same policies and procedures as the Council. The letter also contains a statement committing the Licensing Board to following the RMP and any improvement plans associated with it. The Keeper of the Records of Scotland (the Keeper) agrees that appropriate individuals have been identified to take senior management responsibility for records management within the Council and Licensing Board as required by the Public Records (Scotland) Act 2011 (PRSA). Appropriate arrangements have also been made with regards to SLLC.
2. Records Manager *Compulsory element*	**G**	**G**	The RMP identifies Paula Biagioni, Administration Adviser within Administration and Legal Services, Finance and Corporate Resources, as having operational responsibility for records management within the Council. This is confirmed in the covering letter from the Council's Chief Executive, Lindsay Freeland (evidence 001) which accompanied the submission of the RMP. Also submitted as evidence is Ms Biagioni's Job Profile (evidence 006). This contains objectives in leading the Information Management Team and managing the Archive and Records Centre and responsibility for implementing the Council's Information Management Framework. This also includes contributing to the development of the Council's RMP. Also submitted as evidence is an update from the Information Governance Board to the Executive Committee dated 8 October 2014) (evidence 005). Section 6.3 highlight's the intention to appoint Ms Biagioni as the officer with day-to-day responsibility for records management, as required by the PRSA. The RMP also states that Ms Biagioni has corporate responsibility for the Archives and Information Management Service which includes responsibility for managing South Lanarkshire Council Archives and Records Centre.

			Ms Biagioni is also a member of the Information Governance Board which reports to the Corporate Management Team. She is also responsible for the development of the Council's main information governance, records management and information security policies. The Keeper agrees that an appropriate individual has been identified to take operational day-to-day responsibility for records management within the Council as required by the PRSA.
3. Policy *Compulsory element*	**G**	**G**	The RMP states the Council have had a Records Management Policy (version 3.0) (evidence 002) since 2006, which was reviewed in 2015 and the latest version approved by the Executive Committee in May 2016. Also provided as evidence is a copy of the Report to the Executive Committee which recommended approval of the Records Management Policy (evidence 007). The Records Management Policy sets out the Council's responsibilities and principles regarding records management. It also outlines responsibilities, and also covers important areas of information governance such as Digital Continuity and records created by a third party carrying out a function of the Council. The Policy also contains a commitment to ensuring relevant staff receive the appropriate training. The Keeper commends the consideration of these important areas. Also submitted as evidence is the Management Bulletin, issued on 1 June 2016 by the Executive Director – Finance and Corporate Resources (see Element 1) (evidence 008), which was sent to the Executive Directorate to inform them that the Records Management Policy had been approved and to encourage staff to read the policy so that they are aware of their responsibilities. It contains a link to the area on the Council's website where the Policy is available. Also provided is a Personnel Circular which was distributed to all staff on 1 June

2016 by the Executive Director – Finance and Corporate Resources (see Element 1) (evidence 009). This also contains a link to the area on the Council's Intranet where the Policy sits.

The Records Management Policy forms part of the Council's overarching Information Strategy and is part of a suite of related policies, such as Information Security Policy, Information Compliance Policy and Privacy Policy. The Council has submitted its Information Strategy 2014-2017 (evidence 010). The main strands of the Strategy are Information Governance Management, Information Security, Information Legislative Compliance, Records Management and Information Sharing. The Strategy is due for review in 2017.

The Strategy is supported by an Information Strategy Improvement Plan (evidence 011) which describes the actions required to achieve the aims of the Strategy.

Also provided as evidence are a Management Bulletin (evidence 013) and a Personnel Circular (evidence 014) distributed by the Executive Director – Finance and Corporate Resources (see Element 1) following the approval of the Information Strategy. These provide a link to the Information Strategy which is available on the Council's intranet.

Also submitted as evidence is a Core Brief issued to all staff on 15 December 2014 regarding the Information Strategy and Information Security Policy (evidence 015).This lists the key points from both documents and encourages staff to read the documents.

The Council has also supplied its Register of Information Governance Policies and Procedures (evidence 016). This spreadsheet lists the Council's information governance policies, procedures and guides and also lists the various approval dates as part of the Council's governance arrangements and also lists when these

			documents are due for review. The Keeper commends the use of a Register to ensure that the status of key documents can be identified quickly.

Also supplied are two screenshots from the Council's intranet. Evidence 017 shows the Information Governance area of the intranet. Evidence 019 also shows the availability of various information management strategies, including the Information Strategy and the Records Management Policy.

A screenshot of the Council's website has also been provided (evidence 018). This shows that the Council's Information Strategy, Information security Policy and Records Management Policy are available to view. The Keeper commends this outward-facing approach to providing its stakeholders with access to key information management documents.

The Keeper agrees that the Council has an operational Records Management Policy and that staff are made aware of their responsibilities. |
| 4. Business Classification | **A** | **G** | The RMP states that the Council organises its record keeping systems in line with master retention schedule spreadsheet (evidence 021). The retention schedule is created on the basis of the Council's functions, and the activities and transactions that take place to carry out these functions. The Keeper recognises that a Business Classification Scheme (BCS) based on its functions is currently regarded as best practice as it is more resilient to changes in the structure of the organisation. He also commends the creation of a combined BCS/retention schedule as this is likely to be a stronger business tool as it provides a single point of reference for staff.

The RMP states that the Council has operated an Electronic Document and Records Management System (EDRMS) (Meridio) since 2009. It is currently used by several business areas. The structure of the EDRMS is based on the first two levels of the Local Government Classification Scheme (LGCS). An extract of the EDRMS fileplan has been provided (evidence 022). Below the top two levels are further |

locally agreed levels which also form part of the master retention schedule spreadsheet. Staff are provided with a user guide to assist them in the use of the EDRMS (evidence 025).

A report on Information Governance – Records Management was presented to the Senior Management Team on 12 February 2016 (evidence 024). Section 6 of the report states that all of the Council's Services had moved, or were in the process of moving, to using the EDRMS. As Services start using EDRMS their areas on the shared drive are gradually made 'read only'. It is anticipated this work will be completed by the middle of 2017.

The Council is currently considering replacing its EDRMS as it is reaching its end of life. A report discussing the possible options was presented to the Corporate Management Team on 19 November 2015 (evidence 023). The contract for implementing a new EDRMS went out to tender at the end of 2016. It is anticipated that this process will be concluded in the coming months after which the implementation of the EDRMS will commence. **The Keeper requests that he is kept informed of work in this area as this will alter the content of the RMP.**

Shared drives are still currently being used by some business areas and these are structured in accordance with the master retention schedule. The Council recognises that shared drives are more difficult to retain control of and have produced a range of guidance to assist with this. This guidance includes Structuring your Shared Drive (evidence 032), Naming Conventions for Electronic Documents (evidence 033), Version Control (evidence 034) and Email Management (evidence 035). These documents, and other useful guidance, are available to staff in the Records Management Good Practice Guides section of the Council's intranet. A screenshot of this area has been submitted (evidence 036).

The RMP states that over the last three years the Council has been carrying out an

	A	G	organisation wide information audit to identify business functions and the records created in carrying these out. The results of the audit are fed into the master retention schedule. Examples of the work that has been undertaken and the reports on progress have been supplied as evidence (evidence 026-031).
			The 'Future Developments' section of this Element indicates that work is ongoing to capture all business areas as part of the Information Audit. As business areas move their records on to EDRMS they will then be included in the BCS based on the top two levels of the LGCS. Records not migrated to EDRMS will be managed using best practice guidance. Some business areas use legacy bespoke business systems. The Council aims to make improvements to how records are managed using these and where new systems are being investigated, records management functionality will form part of the procurement process.
			The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the identification of all records classes created and managed by the Council) and has identified how it intends to close this gap. As part of this agreement the Keeper requests that he is kept informed as work progresses.
5. Retention schedule	A	G	As mentioned in Element 4, the Council's retention schedules are represented in the master retention schedule spreadsheet which is based on the Scottish Council on Archives Record Retention Schedules (SCARRS). As stated above not all business areas have retention schedules but this work is ongoing as part of the information audit project.
			The creation of retention schedules is assisted by the Retention Scheduling Guidance document (evidence 037). This provides advice on the creation and maintenance of retention schedules.
			The Retention and Disposal Policy (evidence 038) governs the operation of the

Council's retention schedules. It was submitted for approval at a meeting of the Executive Committee on 23 September 2015. The report accompanying the Policy has been supplied (evidence 039).

The retention schedules covering the activities of the Licensing Board and SLLC have been provided (evidence 040-042).

Also submitted as evidence is a sample disposal report from the EDRMS (evidence 043) showing that it is also partially subject to the requirements of the retention schedule. This provision will continue, and be expanded, in the new EDRMS once it has been procured by the Council.

At present, the Records Centre is not able to receive electronic records. It is therefore the responsibility of each business area to ensure that it follows best practice in the management of its electronic records until such time that transfer can take place.

The Council has developed a separate Vital Records Register to identify records which are critical to the operation of the Council's functions. This is reviewed annually. A sample of the Register for Licensing and Registration has been submitted (evidence 045).

The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of a Council-wide retention schedule) and has identified how it intends to close this gap. As part of this agreement the Keeper requests that he is kept informed as work progresses.

6. Destruction Arrangements *Compulsory*	**A**	**G**	The RMP outlines the following arrangements for the secure destruction of records at the end of their life-cycle:

| element | | | **Paper –** As of 1 February 2017 the Council has entered into a contract with a new confidential paper waste provider. The letter awarding the contract to the new provider (Paper Shredding Services Ltd) has been supplied (evidence 161). Secure consoles for the storage of confidential waste are being rolled out across the Council's estate, including Social Work offices and schools. An image of the new consoles and guidance posters next to them has been provided (evidence 166). A personnel circular issued to all staff informing them of the new arrangements has been submitted (evidence 162). Screenshots of the guidance available to staff on the Council's intranet have also been provided (evidence 163-165).

A sample from the Council's Destruction Register has been provided (evidence 051) showing the recording of those classes of information that have been destroyed and the date upon which the disposal was approved.

Electronic – The RMP describes the procedures currently in place. It states that electronic records and information stored on the Council's network must be disposed of in accordance with the agreed retention schedules. Each business area is responsible for the deletion of electronic records and has appointed a Local Records Manager to oversee the destruction of electronic records from the shared drive and EDRMS. A sample EDRMS disposal report has been supplied (evidence 043) showing the destruction of records managed using EDRMS.

The Future Developments section of the Element states that the Council will take forward proposals to develop procedures for the disposal of electronic records held on bespoke business systems. The Keeper commends this commitment and requests that he is kept informed as work in this area progresses.

Hardware – The RMP states that the Council has a contract in place with ATOS for the supply of server and storage equipment. The contract includes provision for the |

			destruction of hardware and for the deletion of residual data from obsolete servers and drives. An extract from the contract has been supplied (evidence 052). The Council also has in place a contract with Computacentre for the provision and destruction of PCs and laptops. An extract from the contract has been provided (evidence 053). **Back-ups –** The RMP describes the procedures in place for ensuring that all copies of electronic information are disposed of after a period of time. Back-ups are carried out to disks. Servers are maintained in two separate locations and mutual back-ups are carried out between the two locations. A weekly back-up takes place every Sunday with an incremental daily back-up in between. These are retained for 3 months. **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of measures to allow the Council to delete records from some line-of-business systems) and has evidenced a commitment to closing this gap. As part of this agreement, the Keeper requests that he is kept informed as work to close the gap progresses.**
7. Archiving and Transfer *Compulsory element*	**G**	**G**	The Council has its own in-house archive (South Lanarkshire Archives Service). The Archives Service is responsible for collecting the official records created by the Council and its predecessor bodies, as well as other private records relating to the history of South Lanarkshire. The transfer of records is controlled by the Collection, Transfer and Archiving Policy (evidence 054). The Policy was presented for approval by the Executive Committee on 23 September 2015 and the report accompanying the Policy has been submitted (evidence 055). A personnel circular was distributed to staff on 10 November 2015 highlighting the need for staff to make themselves familiar with the Policy (evidence 056). The circular contains a link to the Policy on the Council's intranet.

A sample catalogue of a collection of papers relating to a solicitor's firm has been submitted (evidence 057). A summary of the collections managed by the Archives Service has also been provided (evidence 058). This summary includes some of the predecessor organisations of the Council.

The Terms and Conditions of Deposit have also been submitted (evidence 059) as has the Archives Service's Accessions Register (evidence 060) showing transfers from the Council and its predecessor bodies. A sample accession form has also been provided (evidence 061).

SLLC also transfers records selected for permanent preservation to the Archives Service (evidence 003). These transfer arrangements are governed by SLLC's Collection, Transfer and Archiving Policy (evidence 063).

SLLC also has its own Retention and Disposal Policy (evidence 064).

Also provided as evidence is a Management Bulletin from SLLC's Company Secretary (see Element 1) to all managers (evidence 065) encouraging managers to ensure that staff are made aware of the SLLC Collection, Transfer and Archiving Policy and Retention and Disposal Policy.

The RMP also states that the Archives Service is not yet able to accept deposits of electronic records. Electronic records selected for permanent preservation are identified in retention schedules and every effort is made to ensure these are managed to best practice to ensure that they remain accessible and available in the longer term until the Archives Service is able to receive them. The Future Developments section of the Element states that digital preservation and archiving has been identified as an issue by the Information Governance Board and a policy approach will be developed. The Keeper recognises that this is an issue across many public authorities and will be interested to find out the Council's approach to

			this. The Keeper agrees that the Council has identified a suitable archive to which it can transfer records selected for permanent preservation and has identified how this takes place.
8. Information Security *Compulsory element*	**G**	**G**	The Council has submitted its Information Security Policy, version 6 (evidence 066) which was developed in line with the international standard on information security ISO27001. It was approved by the Executive Committee on 8 October 2014 (evidence 067). It outlines the methods by which the Council will try to ensure the security of both the paper and electronic records it creates and manages. Also submitted as evidence is a Personnel Circular issued to all staff on 3 December 2014 regarding the Information Security Policy (evidence 068).This lists the key points from both documents and encourages staff to read the documents. A similar Management Bulletin for managers to bring the implications of the revised Policy to the attention of their teams was also distributed at the same time (evidence 069). These were followed by Core Briefs on the Policy and the Information Strategy (evidence 070) and also on the Information Security Incident Reporting Procedure (evidence 071). SLLC has developed an Information Security Policy to meet its own particular needs (evidence 094). A Management Bulletin has been circulated to encourage managers to raise awareness of the Policy with their staff (evidence 095). The Council has also an online training system and has developed a training course on Information Security. A screenshot has been supplied showing how staff are able to access it (evidence 078). The Council recognises Information Security as a key priority and has an Information Security Manager in place. The Risk and Audit Scrutiny Forum have

| | | | identified the lack of adequate controls on information management as one of the Council's top risks (evidence 077).

The Council has developed a wide range of guidance for staff on topics such as maintaining information security while out of the office, emailing and corresponding with personal and sensitive information and disclosing confidential information. This guidance has been provided as evidence as well as evidence showing how this is made accessible to staff.

Information security incident reporting and management procedures are in place (evidence 070-072) and overseen by the Information Governance Board.

Third parties who require access to the Council's IT systems are required to fill out forms and agree to abide by the Council's policies (evidence 092).

The Keeper agrees that there are robust procedures in place to ensure the security of the records and information created and managed by the Council. |
|---|---|---|---|
| 9. Data Protection | **G** | **G** | The Council is registered as a Data Controller with the Information Commissioner's Office (registration number Z774916X). The RMP states that the records created by the Licensing Board are also covered under this registration. SLLC is separately registered as a Data Controller (Z8106099).

The SIRO (see Element 1) has overall responsibility for the security of information managed by the Council. The Information Compliance Manager is responsible for providing guidance on responses to requests for information.

The Council operates a Privacy Policy (evidence 096) which outlines how it processes personal and sensitive information and the controls in place to protect it. The Policy is also available on the Data Protection area of the Council's website (evidence 102). The Keeper commends this outward-facing approach of informing |

its stakeholders how it deals with the personal information it manages.

Also submitted is the Information Requests Compliance Policy (evidence 097). This details how the Council deals with requests for information.

The Council has also submitted its Data Sharing Policy (evidence 098).

The RMP states that training is being built into the Council's core training plan for key roles. Screenshots of the online training system have been submitted (evidence 099-101 and 104) showing the availability of this training. 'The 'Future Developments' section of this Elements highlights the Council's commitment to continue the development of training and awareness raising. Preparations are underway for the implementation of whatever new requirements arise out of the EU General Data Protection Regulation and the Directive on Policing and Criminal Justice Data Protection Directive which come into force in May 2018.

The Council has also engaged several methods to raise awareness of staff responsibilities with regards to Data Protection. These include an email from the Records Manager (see Element 2) to all members of staff highlighting the Council's 'Think Privacy' campaign and the importance of handling personal data securely (evidence 108), an article about Data Protection in the Council's employee magazine (evidence 109), a Think Privacy poster (evidence 110) and a Privacy notice on the Council's website (evidence 111). The Keeper commends these methods of raising awareness of Data Protection and privacy for staff and for external stakeholders.

The Council has carried out a privacy audit on the data it holds, including personal and sensitive information. This allowed the Council to comprehensively identify where it holds such information and strengthened its policies and procedures. The Privacy Audit Checklist template has been submitted (evidence 117).

			The Council has also adopted a 'Privacy by Design' approach when new uses or changes to current ways of using personal and sensitive information. This requires the completion of Privacy Impact Assessments (PIAs) and guidance for staff has been submitted (evidence 112-113). A register of PIAs is maintained by the Information Governance Board and this is reported to the Corporate Management Team on a yearly basis. Screenshots of the register have been supplied (evidence 114-115). The Keeper agrees that there are robust provisions in place to protect the personal and sensitive information managed by the Council and that staff are aware of their responsibilities.
10. Business Continuity and Vital Records	**G**	**G**	The RMP states that the Council has an overarching Corporate Contingency Plan (version 8, dated August 2016) which covers all business areas. The Plan has been submitted (evidence 118) and shows the steps to be taken in the event of an emergency and identifies the individuals who have responsibility for responding. In developing the Plan, each service area compiled a register of its vital records. The Council has submitted samples of these from the Committee Support and Personnel business areas (evidence 119 and 120). These show that records vital to these areas have been identified and describes their format, location and the measures in place to protect them. Guidance is also in place to allow staff to be able to identify vital records (evidence 122). The Information Governance Board is responsible for ensuring that the vital records registers are reviewed annually. Also submitted is the Records Centre Disaster Plan (evidence 121) which details the procedures to be followed in the event of an emergency occurring there. The RMP also describes the arrangements in place for ensuring that IT systems and electronic records are backed-up (see Element 6).

			The RMP states that the IT Business Team have also identified the Council's business critical systems and applications. A list of these have been supplied (evidence 123). Also provided as evidence is the IT Services Business Continuity Plan (evidence 124) and the EDRMS Business Continuity Plan (evidence 125). The Keeper agrees that there are procedures in place to restore Council systems and information in the event of a disaster and that consideration has been given to the protection of vital records.
11. Audit trail	**A**	**G**	The RMP outlines the measures in place to track the movement of paper records within the Council. There are procedures in place within service areas to enable them to locate records when required. For example, the movement of legal title deed files is tracked by a paper index system. Similar systems are in place across the Council. Regular checks are conducted to ensure that files which have been signed out are signed back in again (evidence 129). The movement of records to and from the Council's Records Centre is also tracked. A form needs to be completed to accompany records sent to the Records Centre (evidence 130). Requests for access to files in the Records Centre are also recorded on a form (evidence 131). Finding aids for the records stored in the Records Centre have been created showing the location of records series (evidence 132 and 133). A record is kept of Licensing and Registration Section paper records which are transferred across different locations (evidence 137). A similar system exists for Internal Audit when files are temporarily removed from the office (evidence 138). There are special procedures in place for Social Work files. There is an approved list of personnel who are authorised to request and receive these files (evidence 127). A procedure document has been created to govern how the process works in

			practice (evidence 126). A sample completed file request form has been submitted (evidence 127). There is audit trail functionality built into the Council's EDRMS. Screenshot samples of that functionality have been submitted (evidence 134-136). **The Council recognises that a large number of electronic records are managed using shared drives and bespoke electronic systems and is aware of the difficulty of maintaining an auditable record of access and changes made to records on these systems. Only those employees with a legitimate business need are permitted access to the relevant areas of each. The RMP states that the Council intends to improve the level of provision in this area by encouraging the use of document naming guidelines, version control, and email management (evidence 032-036). The procurement of a new EDRMS is likely to improve the audit trail capabilities for the Council's electronic records.** **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of audit trail capabilities for electronic records managed by shared drives) and has identified how it intends to close this gap. The Keeper requests that he is kept informed of the progress of work to close this gap.**
12. Competency Framework for records management staff	**G**	**G**	The individual identified as having operational responsibility for records management within the Council (see Element 2) has a job specification (evidence 006) which clearly shows a responsibility for records management, in particular the implementation of the Council's Information Management Framework (including the RMP). Also supplied is her training record (evidence 146). The job profile of the Records Officer has also been supplied (evidence 139) which also demonstrates responsibility for aspects of records management.

Also submitted as evidence is the job specification of the Archives and Records Management Assistant (evidence 140).

The Council has developed an Archives and Information Management Competency Framework (evidence 141) which has been used to create the job profiles and specifications mentioned above and therefore ensure that staff are aware of their responsibilities.

The Administration Adviser and Records Officer are both members of the Archive and Records Association (ARA) and attend meetings of the Archivists of Scottish Local Authorities Working Group (ASLAWG). The Council is also a corporate member of the Information and Records Management Society (IRMS).

The Council is committed to the continuing professional development of its staff. This is confirmed in a letter from the Executive Director of Finance and Corporate Resources (see Element 1) (evidence 143) which refers specifically to the records management team.

Also submitted as evidence is correspondence between the Council and the University of Glasgow relating to supporting members of staff in the undertaking of an MSc in Information Management and Preservation (evidence 144 and 145).

The Council has an online training system (Learn On Line) which offers a range of information governance training on topics including Data Sharing, Records Management and Introduction to the Data Protection Act. A screenshot has been supplied showing a list of the courses available (evidence 142).

The Keeper agrees that records management is recognised as a key task by the Council and that this is reflected in the job profiles of relevant staff who also have

			access to training when required.
13. Assessment and Review	**G**	**G**	The PRSA requires a scheduled public authority to "keep its records management plan under review" (part 1 5.1 (a)). The RMP states that the Information Governance Board is responsible for managing an annual review of the RMP. Supporting policies and procedures are produced in consultation with colleagues across the Council and Trade Unions and these are also agreed by the Information Governance Board. A register of policies and procedures is maintained showing when they were approved and when they are next due for review (evidence 016).

The Information Governance Board submits regular updates to the Corporate Management Team including reports on progress against the Information Strategy improvement action plan. A sample progress report up to May 2016 has been provided (evidence 147). Similarly, a sample report from the Information Governance Board to the Council's Executive Committee on progress has been submitted (evidence 005).

The Council's Internal Audit Team include information governance as part of their audit programme. They will also assess the actions outlined in the improvement action plan to provide independent assurance that these are completed. The proposed programme for 2016/7, which includes information governance, has been supplied (evidence 148). The Keeper commends the use internal auditors in assessing the levels of compliance with information and records management provisions.

Information Governance forms part of the Council's longer term plan, Connect 2012-2017. Performance is measured against the plan using IMPROVe, a performance management system, which is updated on a quarterly basis. Progress in all areas is monitored by Executive Directors and the Chief Executive. A screenshot of the IMPROVe system in relation to information governance has been supplied (evidence 149).

	G	G	The Keeper agrees that there are processes in place to ensure that the Council's RMP and supporting policies and procedures are regularly reviewed to keep them up-to-date.
14. Shared Information	**G**	**G**	The Council is a partner in the Lanarkshire Information Sharing Protocol along with North Lanarkshire Council, NHS Lanarkshire, Police Scotland and the Children's Reporter. The Protocol ensures that children in the area receive the services they require. A Good Practice Guide for the sharing of information (evidence 153) has been created to govern this arrangement. The Council also operates a Data Sharing Policy (evidence 098) which details how information sharing should take place, both internally and with external partners, whilst complying with the requirements of the Data Protection Act 1998. The Policy was agreed at a meeting of the Executive Committee on 8 June 2016 (evidence 151). The Policy is also available on the Council's website and a screenshot has been supplied evidencing this (evidence 152). A leaflet entitled 'Guide to Information Sharing for Adults' (evidence 155) has been produced and is available to the Council's stakeholders. The Council maintains a register of information sharing and transfers (evidence 154), which is monitored by the Information Governance Board. A Learn On Line course on Data Sharing is also available to staff (evidence 156) as well as a Quick Guide on the Information Sharing Decision Making Process (evidence 157) has also been created. Further guidance on information sharing is available on both the Council's intranet and website (evidence 158 and 159). The Keeper agrees that there are robust procedures in place to allow the Council to securely share information with other bodies when required.

| 15. Contractors | G | G | The RMP includes a clause (A14) which has been developed and included in the Council's Standard Terms and Conditions of Contract document (evidence 160). This covers the contractor's information governance obligations under the contract it has with the Council.

The Future Developments section of the Element states that the Council is currently reviewing how it will implement the Public Contracts (Scotland) Regulations 2015 and Procurement (Scotland) Regulations 2016. The Council's intention is to ask potential bidders for details on their information and records management provisions as part of the procurement process.

The RMP states that it also covers the records created by South Lanarkshire Leisure and Culture (SLLC) Ltd, which is an arms-length trust established by the Council to manage indoor and outdoor sporting and leisure facilities, community halls, arts venues, country parks, libraries and museums. The individual identified to take senior management responsibility for records management within SLLC is Paul Barton, Company Secretary. A letter has been submitted by SLLC's General Manager, Gerry Campbell, stating that SLLC will work closely with the Council to ensure that it adheres to the Council's RMP.

The Keeper agrees that the Council has provisions in place to ensure that third parties are aware of their records management responsibilities. Appropriate arrangements have also been made with regards to SLLC. |
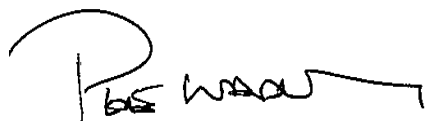
6. Keeper's Summary

Elements 1-14 that the Keeper considers should be in a public authority records management plan have been properly considered by South Lanarkshire Council and Licensing 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 South Lanarkshire Council and Licensing Board.

The Keeper recommends that South Lanarkshire Council and Licensing 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   **Robert Fotheringham**
Public Records Officer   Public Records Officer

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

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

……………………………………………

Tim Ellis
Keeper of the Records of Scotland