

TAYSIDE AND CENTRAL SCOTLAND TRANSPORT PARTNERSHIP**6 DECEMBER 2016****REVIEW OF CORE GOVERNANCE POLICIES AND PROCEDURES****JOINT REPORT BY DIRECTOR AND PROPER OFFICERS**

This report reviews the Partnership's core governance policies and procedures, proposes a change to Standing Orders, and seeks the Partnership's approval of a Records Management Framework for submission to The Keeper of the Records of Scotland.

1 RECOMMENDATIONS

1.1 That the Partnership :-

- (i) agrees to maintain its various core governance policies and procedures as reviewed by the Director and Proper Officers;
- (ii) approves revision to Standing Order 8 as detailed in 3.6 of the report;
- (iii) undertakes a further review its core governance policies and procedures, as appropriate, in light of anticipated guidance on succession planning and proposed Scottish Government legislation on gender balance and diversity on Public Boards; and
- (iv) considers and approves the Draft Records Management Framework, as detailed in Appendices A and B, for submission to The Keeper of the Records of Scotland.

2 BACKGROUND

- 2.1 At its meeting on 17 June 2014 the Partnership adopted a revised Model Code of Conduct for Members, as approved by Scottish Ministers, and reviewed the Partnership's other core governance policies and procedures (Report RTP/14/09 Refers).
- 2.2 The Partnership has previously agreed to review its core governance policies and procedures bi-annually, or as required to take account of periodic statutory amendment or other guidance. In addition the Partnership's governance processes and procedures are reviewed by external auditors as part of the Annual Audit process.
- 2.3 The Partnership's various core governance policies and procedures can be viewed [here](#).

3 DISCUSSION

Standing Orders

- 3.1 The Partnership's present Standing Orders have been reviewed by the Director and Proper Officers and are considered to remain broadly fit for purpose, subject to the following proposed amendment.
- 3.2 Standing Order 8 currently states that :-

“A Chairperson and Deputy Chairpersons shall be appointed by the members of the Partnership at the first meeting of the Partnership following ordinary Council elections and at such other times as may be necessary. The term of office for a Chairperson and Deputy Chairperson is from the date of their appointment to the next ordinary Council election”.

- 3.3 Legislation and associated guidance on membership of Regional Transport Partnerships requires that the maximum term of appointment as a Chairperson or Deputy Chairperson of a Regional Transport Partnership is two full Council terms, or 10 years.

- 3.4 The present Standing Order 8 implies that a Chairperson and Deputy Chairperson(s) are appointed for the full 5-year term after an ordinary Council election or from the date of their appointment until the next ordinary Council election, in the interests of continuity. However, a potential consequence of current Standing Order 8 is to preclude a Chairperson or Deputy Chairperson, who may have been appointed part-way through a Council term, from serving the full 10-year term permissible if their term of appointment extends across more than 2 Council terms.

- 3.5 Previous experience and the Partnership's current practice of appointing non-Councillor members for a two-year term, with continuation subject to review, suggests that a more flexible arrangement for these appointments would be more appropriate and inclusive.

- 3.6 It is, therefore, proposed that Standing Order 8 is amended to read :-

*“A Chairperson and Deputy Chairperson shall be appointed by the members of the Partnership at the first meeting following ordinary Council elections and at such other times as may be necessary. The term of office for a Chairperson and Deputy Chairperson is from the date of their appointment to the next ordinary Council election **or such other term as the Partnership may agree**”.*

- 3.7 The Standing Orders will require to be further reviewed during 2017 in light of anticipated statutory Guidance on succession planning for public sector body Boards and planned legislation on Gender Balance on Public Boards, which has been indicated as part of the Scottish Government's Programme for Government for 2016/17, as reported in the Director's Report of 13 September 2016 (Report RTP/16/33 refers).

Members Code of Conduct

- 3.8 The current Members Code of Conduct is based on a revised Model Code for public sector bodies, as approved by Scottish Ministers in December 2013 following an earlier consultation. This incorporates relevant revisions to the Councillors Code of Conduct and a number of revisions designed to be both proportionate and to clarify and ease understanding.

- 3.9 The updated Code included specific revisions and additions of note :-

- increased emphasis on Board members' need to be aware of Board policies, including specifically in relation to member appointments process; succession planning; equality diversity; bullying and harassment;
- increased emphasis on the importance of members' responsibility to review regularly their personal circumstances and to ensure maintenance and updating of their Register of Interests;
- introduction of a new requirement for registration of gifts and hospitality with a value of over £50;
- need for members to familiarise themselves with the Bribery Act 2010; and
- need to register shares and securities which may be significant to or relevant to the work of the Partnership.

- 3.10 At its meeting on 17 June 2014 the Partnership received a briefing by the Secretary on the key elements of the revised Model Code of Conduct.

- 3.11 The current Code of Conduct has been reviewed by the Director and Proper Officers and is considered to remain fit for purpose, with no amendments proposed at this time. However, as with the Standing Orders, the Code of Conduct will require further review during 2017 in light of anticipated Guidance on succession planning and anticipated legislation on gender balance on public boards.

Scheme of Delegation

- 3.12 The current Scheme of Delegation has been reviewed and is considered to remain fit for purpose, with no amendments proposed.

Financial Regulations

- 3.13 The Partnership's current Financial Regulations were subject to minor updating to take account of elements of the new Model Code of Conduct for Members in 2014.
- 3.14 As outlined in 2.2 above these, and all other governance policies and procedures, are reviewed by external auditors as part of the audit of the Annual Accounts. Successive annual audits have deemed the Financial Regulations, and other governance policies and procedures, to be appropriate to the scale and purpose of the Partnership, with no material weaknesses or recommendations for revision having been identified.
- 3.15 The current Financial Regulations have been reviewed by the Director and Treasurer and are considered to remain fit for purpose, with no amendments proposed.

Risk Management Policy and Strategy

- 3.16 The Partnership's Risk Management Policy and Strategy is reviewed annually alongside reporting of the Risk Register at the March cycle of Partnership Board meetings, and was last reported on 8 March 2016 (Report RTP/16/04 refers). This is also considered to remain fit for purpose but will be further reviewed as part of the annual review of the Risk Register at the Partnership's next meeting in March 2017.

Records Management

- 3.17 The Public Records (Scotland) Act 2011 requires listed public bodies to produce a Records Management Framework and Plan, which sets out arrangements for the management of the organisation's records, and to submit this to The Keeper of the Records of Scotland for assessment and approval. Tactran has been required to submit its Records Management Framework and Plan to The Keeper of the Records by 30 December 2016.
- 3.18 A corporate and professional approach to effective management of records and information, which meets the business needs of the organisation, promotes efficiency and provides legal and financial accountability, is a core element of good governance. Effective records management brings substantial benefits which results in greater business efficiency and improvements in the use of information, as well as financial, human and other resources within the organisation.
- 3.19 The scope of Records Management applies to all records, irrespective of the technology used to create and store these or the type of information they contain. The proposed Records Management Framework consists of an Information Governance Policy, setting out the approach to records management, data protection, Freedom of

Information, business continuity and information security, along with a detailed Records Management Plan (RMP).

3.20 A Draft Information Governance Policy (Appendix A) and Records Management Plan (Appendix B) have been developed with the support and advice of an external consultant specialising in Records Management. These have been based upon the principles of The Keeper of the Records Model Plan. The Partnership is asked to consider these and to remit officers to finalise and submit to The Keeper of the Records by 30 December 2016.

3.21 The Keeper of the Records will review the submitted Records Management Framework and provide an assessment of this, which will be reported to a future meeting. It is anticipated that further development of the Records Management Framework will be required, including the development of various protocols and templates for the classification, retention and secure disposal of information.

4 CONSULTATIONS

4.1 None.

5 RESOURCE IMPLICATIONS

5.1 Costs of procuring external consultancy support to develop a Records Management Framework as required under the Public Records (Scotland) Act 2011, amounting to £2,250, have been met from staff turnover savings in the approved 2016/17 Core Revenue Budget.

6 EQUALITIES IMPLICATIONS

6.1 This report has been screened for any policy implications in respect of Equality Impact Assessment and no major issues have been identified.

Eric Guthrie
Director

Gillian Taylor
Secretary

Scott Walker
Treasurer

Lisa Simpson
Legal Officer

Report prepared by Eric Guthrie. For further information contact email ericguthrie@tactran.gov.uk or telephone 01738 475771

NOTE

Background papers, as defined by Section 50D of the Local Government (Scotland) Act 1973 (and not containing confidential or exempt information) were relied on to a material extent in preparing the above Report.

Report to Partnership RTP/14/09, Review of Core Governance Policies & Procedures, 17 June 2014

Report to Partnership RTP/16/04, Review of Risk Register, 8 March 2016

Report to Partnership RTP/16/33, Director's Report, 13 September 2016



Information Governance Policy

December 2016

Document control			
Version	Version 0.1 Initial draft		
Title	Tactran Information Governance Policy		
Summary	Information Governance Policy document, encompassing records management, freedom of information, data protection, information security and business continuity		
Policy links	Tactran Information Governance Policy		
Date	December 2016		
Author	Ashley Roger, Office Manager AshleyRoger@tactran.gov.uk		
Owner	Eric Guthrie, Partnership Director		
Document location:			
Authorisation			
Approved by	Eric Guthrie, Partnership Director		
Date of approval	Dec 2016		
Supercedes	Not applicable		
Date for review:	December 2018		
Version history			
Date	Version	Status/ Summary of changes	Author
November 2016	0.1	Initial draft	Ashley Roger

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Introduction

Effective management and governance of information assets is vital to ensure that Tactran is efficient, transparent and accountable. All Tactran employees and Board members will ensure that our records and information are created, used, stored, shared and disposed of effectively.

This policy sets out the principles and practicalities to support Tactran colleagues in complying with our statutory obligations and ensuring we have high quality and appropriate information and records to support our decision making and provide assurance to our stakeholders.

Records Management Policy Statement

Effective records management is core to the transparent and robust delivery of services and all staff share responsibility for appropriately managing the Tactran documents and information with which they work. Tactran takes seriously our obligations under the [Public Records\(Scotland\) Act 2011](#) and will implement improvements as identified in our Records Management Plan.

The Partnership Director has strategic responsibility for records management. Day-to-day implementation of effective records management is delegated to the Office Manager.

No staff member or contractor may alter, delete or edit a document which is not within their area of responsibility and for which they are authorised. No existing document may be altered without appropriate authority and just cause. Inappropriate or malicious alteration or deletion of Tactran data or documents may be considered as misconduct and therefore subject to disciplinary action.

All Tactran records will be stored on the appropriate folders in the networked shared drive. The folders will be structured in line with the Business Classification Scheme at the end of this policy. No documents or records should be held on PC or laptop hard drives (C: drives) other than working copies of documents temporarily held on laptops. These must be synchronised back to the network at the earliest opportunity.

The network shared drive is managed on our behalf by Perth and Kinross Council. Only Tactran staff will have access to the shared drive, and network accounts will be deleted as soon as a member of staff or contractor leaves Tactran.

In order to ensure the integrity of records, key document types will be converted from MS Word to PDF when they are finalised as follows:

Document type	Rendered as PDF
Outward correspondence	Final version as sent
Strategy, Plan and Policy documents	Agreed and implemented version
Reports	Final version as presented
Partnership Board and committee records	Minutes as approved by chair Papers as issued to committee members

All Tactran policy documents and reports will use the appropriate templates and the relevant information will be entered in the document control panel at the front of each document. (The document control panel for this document can be seen at the front of the policy.)

Where appropriate versioning will be appended to document titles as follows: “<Title><Vn_n>.doc”. For example, “Information Governance Policy V 0_2.doc”

Where dates are included in document titles these shall be rendered in the international standard form YYYYMMDD.

Records will be deleted from the network at the end of their retention periods as set out in the Business Classification Scheme.

Convenience hard copies of documents are not considered as records. They should be securely shredded and recycled when no longer required.

Tactran records identified as being of enduring historical value will be deposited with the [Perth and Kinross Council Archives](#) for preservation.

For regulatory information, see the [National Records of Scotland](#).

Data protection

Tactran is committed to protecting the personal data for which we are responsible in compliance with the [Data Protection Act 1998](#) and the [EU General Data Protection Regulation 2016](#).

We are registered in the [ICO Register of Data Controllers](#) and we have adopted and will comply with the Perth and Kinross Council [Data Protection Policy](#)

The nature of Tactran's work is such that the personal data we process and hold is minimal. However, it is vital that we recognise and protect it. The following categories of personal data are held:

Personal data	Protection
Employee files	Kept locked in the Tactran office. Destroyed 6 years after staff leave.
Payroll data	Managed by PKC in a secure system.
Incidental personal data in consultation responses and correspondence	Ensure personal identifiers and contact details of members of the public are not inappropriately disclosed or shared.
Travel and expense claims	Kept on network folder. Destroyed six years after claim.

The Office Manager shall serve as data protection officer and respond to any queries or subject access requests.

For regulatory information, see the [Information Commissioner's Office](#).

Freedom of Information

Transparency is at the heart of Tactran's work. We proactively publish key records including strategies, delivery plans, partnership board papers, policies and annual reports in line with our commitments in our publication scheme and [Guide to Information](#).

We will also respond appropriately and as openly as possible to requests for information under the [Freedom of Information \(Scotland\) Act 2002](#) and [Environmental Information \(Scotland\) Regulations 2004](#).

We have adopted and apply the FOI procedures of Perth and Kinross Council.

The Office Manager must be informed promptly of any potential requests in order to ensure an appropriate and compliant response within 20 working days. The Office Manager will also track all requests and provide statistical returns to the Scottish Information Commissioner on a quarterly basis.

For regulatory information, see the [Office of the Scottish Information Commissioner](#).

Business Continuity

Tactran does not offer critical or time-sensitive frontline services. Therefore, while we are conscious of the need for business resilience, our response is proportionate.

All our business systems, records and data are hosted by Perth and Kinross Council and fully backed-up.

In the event of our losing access to the office, losing access to utilities, or the office being destroyed by fire or flood, Tactran staff will be able either to temporarily relocate to a PKC office or work remotely from home if they have a PKC-issued laptop.

There are no unique hard copy records held in the office which need to be recovered in case of disaster.

All staff have out-of-hour contact numbers for colleagues to provide a “telephone tree” contact mechanism in case of disaster.

In addition, the Office Manager maintains out-of-hour contact details for key contacts in Perth and Kinross Council, including ICT and facilities.

For further advice see <http://www.readyscotland.org/>

Information Security

Tactran is committed to protecting the Confidentiality, Integrity and Availability of our information assets. We source our ICT services (including network, data storage, software and hardware) through Perth and Kinross Council who manage our IT security and have [Public Services Network accreditation](#).

The Council provides security controls including firewalls, anti-malware, software and server patching, back-up and PSN connectivity.

We have adopted and apply the Perth and Kinross Council information security policy.

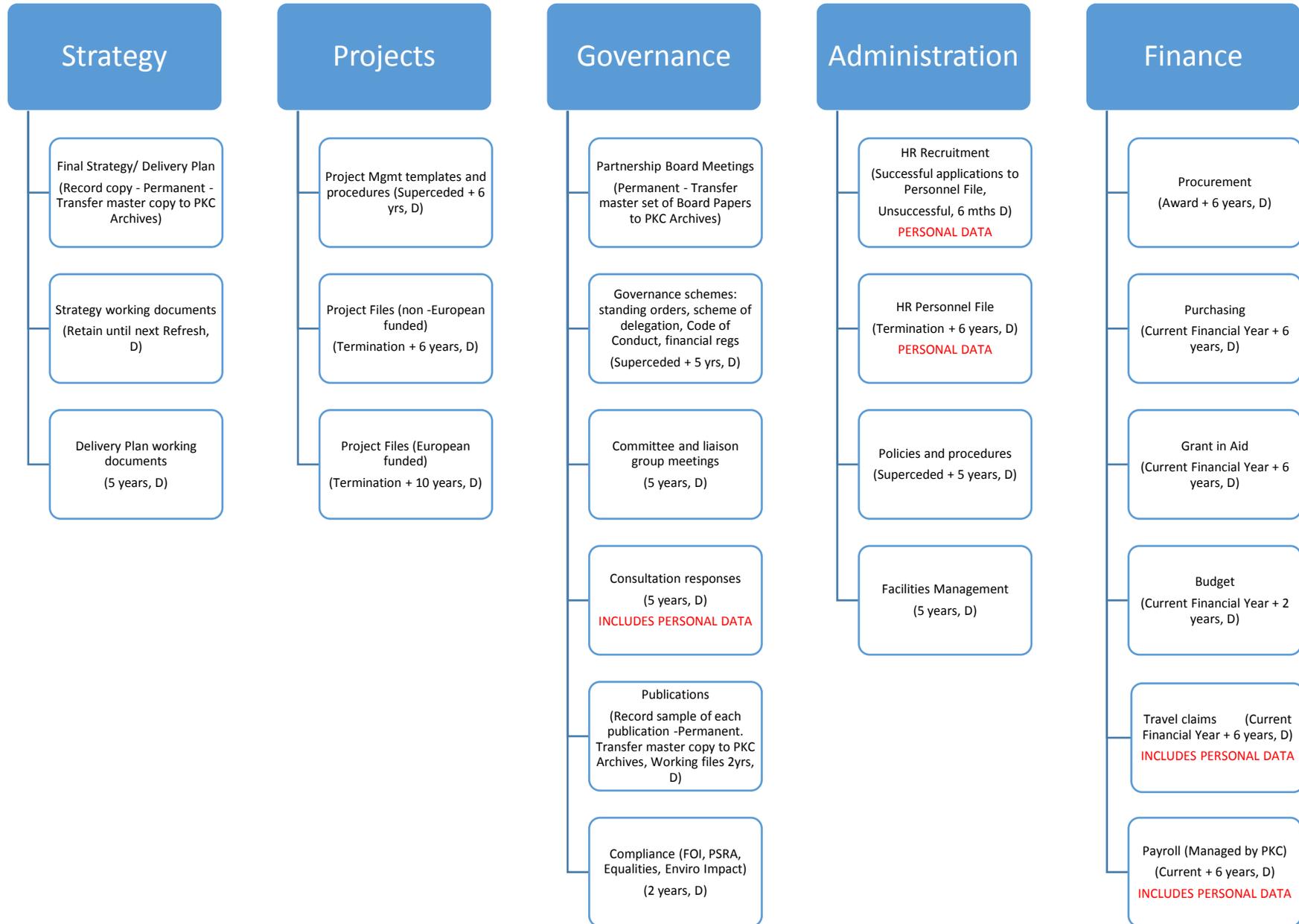
In particular, Tactran staff must:

- Select hard to guess network passwords which are never shared or written down;
- Never download or install software without the permission of PKC IT;
- Not attempt to connect non-PKC issued devices to the network;
- Ensure that confidential documents are locked away when not in use;
- Be wary of emails from unknown sources which may carry malware or “phishing” attacks
- Always use the shredder for disposal of documents.

For more advice see the PKC Intranet information security page.

For advisory information see the [National Cybersecurity Centre](#).

Tactran Business Classification Scheme and Retention Schedule (D= Destroy securely)





**Records Management Plan
under the
Public Records (Scotland) Act 2011**

December 2016

Document control			
Version	Version 0.2 Internal consultation		
Title	Tactran Records Management Plan		
Summary	NES RMP for submission in compliance with the Public Records (Scotland) Act 2011.		
Policy links	Tactran Information Governance Policy		
Date	December 2016		
Author	Ashley Roger, Office Manager AshleyRoger@tactran.gov.uk		
Owner	Eric Guthrie, Partnership Director		
Document location:			
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Date	Version	Status/ Summary of changes	Author
November 2016	0.1	Initial draft	Ashley Roger
November 2016	0.2	Revised draft for internal consultation	Ashley Roger

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1. Introduction

The Public Records (Scotland) Act 2011 requires that public authorities subject to the Act must submit a Records Management Plan for agreement by the Keeper of the Records of Scotland, and thereafter manage its records in accordance with the plan. This Records Management Plan (RMP) seeks to demonstrate the commitment of Tactran to compliance with that act and to improving our management of records and information in support of our business aims.

It was approved by the Tactran Partnership Board on 6 December 2016 and has the full support of Eric Guthrie, Partnership Director, and all Tactran officers.

2. Context

Tactran is one of seven statutory Regional Transport Partnerships covering the whole of Scotland, which were created under the Transport (Scotland) Act 2005.

The Tactran region forms an important "hub" lying at the heart of Scotland's transport network and includes the local authority areas of Angus, Dundee City, Perth & Kinross and Stirling which together make up just under 10% of Scotland's land mass and nearly 12% of the nation's population.

The primary purpose of the Partnership is to develop a Regional Transport Strategy setting out a vision for the medium to long term future of transport in the area and to oversee its implementation.

Tactran is a small organisation (six employees) operating from a single office. Our compliance with the Public Records (Scotland) Act 2011 takes account of this and aims to be proportionate in approach.

Moreover, Tactran holds minimal personal or other sensitive data, and most of our key records are routinely published.

Tactran works closely with Perth and Kinross Council (PKC). The Partnership Board and Executive Team are supported and advised by 3 Proper Officers who provide Administration and Governance, Financial and Legal support under a Service Level Agreement with Perth & Kinross Council. (Secretary – Gillian Taylor, Head of Democratic Services, Perth & Kinross Council; Treasurer – Scott Walker, Chief Accountant, Perth & Kinross Council; Legal Officer – Lisa Simpson, Head of Legal Services, Perth & Kinross Council Proper).

Our ICT (network, storage, software, hardware) and payroll functions are also outsourced to PKC

This close working arrangement is reflected in our Records Management Plan in that there are significant areas of overlap with the Council's information management policies and procedures.

This RMP will therefore include cross-references (highlighted in pink) to evidence from the Perth & Kinross Council RMP already approved by the Keeper of the Records of Scotland.

3. The Records Management Plan

RMP Element Description	Tactran Statement	Evidence	Action plan
<p><i>Element 1: Senior management responsibility:</i></p> <p>Identify an individual at senior level who has overall strategic accountability for records management.</p> <p>Read further explanation and guidance about element 1 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement1.asp</p>	<p>Eric Guthrie, Partnership Director, has strategic accountability for Tactran's governance arrangements including records management and compliance with the PRSA.</p>	<p>Tactran Information Governance Policy</p> <p>RMP Covering letter</p>	<p>None</p>
<p><i>Element 2: Records manager responsibility:</i></p> <p>Identify individual within the authority, answerable to senior management, to have day-to-day operational responsibility for records management within the authority.</p> <p>Read further explanation and guidance about element 2 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement2.asp</p>	<p>The Tactran colleague with day-to-day responsibility for records management is:</p> <p>Ashley Roger Office Manager / PA to Director Tactran Bordeaux House, 31 Kinnoull Street, Perth PH1 5EN 01738 475775 AshleyRoger@tactran.gov.uk</p>	<p>Tactran Information Governance Policy</p> <p>RMP Covering letter</p>	<p>None</p>
<p><i>Element 3: Records management policy statement:</i></p> <p>A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager.</p>	<p>Tactran adopted our Information Governance Policy at the Partnership Board meeting in December 2016. This includes a clear policy commitment on records management and mandates the work of the Office Manager</p>	<p>Tactran Information Governance Policy</p> <p>Minutes of Partnership Board meeting, December 2016</p> <p>Link to website showing Information Governance</p>	<p>Include Information Governance Policy in regular review of governance documentation. December 2018 onwards.</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
<p>Read further explanation and guidance about element 3 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement3.asp</p>	<p>in implementing effective and proportionate records management.</p> <p>The Information Governance policy has been added to our suite of governance documentation, available to all staff and to the public.</p>	<p>Policy among governance documentation.</p>	
<p><i>Element 4: Business classification</i></p> <p><i>A business classification scheme describes what business activities the authority undertakes – whether alone or in partnership.</i></p> <p>Read further explanation and guidance about element 4 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement4.asp</p>	<p>Tactran has adopted the business classification scheme as part of its records management policy. It provides the structure for the Tactran shared drive folders and is available to all staff in a shared folder for Information Governance resources.</p>	<p>Tactran Information Governance Policy - BCS and retention schedule</p> <p>Screen shots of Tactran shared drive</p>	
<p><i>Element 5: Retention schedules</i></p> <p><i>A retention schedule is a list of records for which pre-determined disposal dates have been established.</i></p> <p>Read further explanation and guidance about element 5 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement5.asp</p>	<p>Tactran has adopted the retention periods identified within the business classification scheme, drawing on the Scottish Council on Archives Records Retention Schedule Resource.</p>	<p>Tactran Information Governance Policy - BCS and retention schedule</p>	

RMP Element Description	Tactran Statement	Evidence	Action plan
<p><i>Element 6: Destruction arrangements</i></p> <p><i>It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented.</i></p> <p>An authority's RMP <u>must</u> demonstrate that proper destruction arrangements are in place.</p> <p>Read further explanation and guidance about element 6 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement6.asp</p>	<p>Perth and Kinross Council provides Tactran ICT hardware and also manages its appropriate disposal. Destruction of Tactran PCs, laptops, removable media and server hard drives are managed by PKC in line with their information security procedures.</p> <p>Tactran generates a relatively small volume of paper documents. Confidential disposal of paper documents and records is carried out in-house through the use of a {INSERT MAKE AND MODEL} shredder. As the hard copies are not considered to be records, we do not maintain a log of shredded documents.</p>	<p>Tactran Information Governance Policy</p> <p>Shredder user manual covering page</p> <p>PKC Evidence item no.6: Information Security Policy: secure disposal of confidential waste documents</p> <p>PKC Evidence item no.7: Copy contract for the secure disposal of confidential waste.</p>	<p>Implement deletion of time-expired records from the Shared Drive in line with the BCS and Retention Schedule: April 2017</p>
<p><i>Element 7: Archiving and transfer arrangements</i></p> <p><i>This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.</i></p>	<p>Tactran has agreement in principle to transfer core historical records to Perth and Kinross Council Archive.</p>	<p>Email (or letter) exchanged with PKC Archive</p>	<p>Transfer initial deposit of archival records with PKC Archive in January 2017.</p> <p>Commence regular transfer every 2 years thereafter.</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
<p>Read further explanation and guidance about element 7 - <u>http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement7.asp</u></p>			
<p><i>Element 8: Information security</i></p> <p>Information security is the process by which an authority protects its records and ensures they remain available. It is the means by which an authority guards against unauthorised access and provides for the integrity of the records. Robust information security measures are an acknowledgement that records represent a risk as well as an asset. A public authority should have procedures in place to assess and contain that risk.</p> <p>Section 1(2)(b)(ii) of the Act specifically requires a RMP to make provision about the archiving and destruction or other disposal of the authority's public records.</p> <p>An authority's RMP <u>must</u> make provision for the proper level of security for its public records.</p> <p>Read further explanation and guidance about element 8 - <u>http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement8.asp</u></p>	<p>The Tactran ICT function is provided by Perth and Kinross Council. Tactran is subject to the information security function and policies of the Council.</p> <p>The Tactran network storage is managed by PKC using Windows Server 2012. User access is restricted to the five Tactran employees.</p> <p>Tactran has adopted and is subject to PKC information security policy and procedures. These are available to all colleagues via the PKC intranet to which all Tactran employees have access.</p>	<p>ICT Service level agreement with PKC</p> <p>Tactran Information Governance Policy</p> <p>Screenshot of PKC Intranet</p> <p>PKC Evidence item no.6: Council Information Security Policy;</p> <p>PKC Evidence item no.9: copy PSN accreditation certificate.</p>	<p>Ashley to provide awareness raising for colleagues through team briefings and posters.</p>
<p><i>Element 9: Data protection</i></p> <p>An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.</p> <p>The Keeper will expect an authority's RMP to indicate compliance</p>	<p>Tactran processes very little personal data and has adopted and is subject to the PKC Data Protection policy. These are available to all colleagues via the PKC intranet to which all</p>	<p>Tactran Information Governance Policy</p> <p>PKC Data Protection Policy</p> <p>Tactran entry in the ICO</p>	<p>Ashley to keep under review amendments to the PKC Data Protection Policy and procedures arising from the EU General Data Protection Regulation 2016.</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
<p>with its data protection obligations. This might be a high level statement of public responsibility and fair processing.</p> <p>If an authority holds and process information about stakeholders, clients, employees or suppliers, it is legally obliged to protect that information. Under the Data Protection Act, an authority must only collect information needed for a specific business purpose, it must keep it secure and ensure it remains relevant and up to date. The authority <u>must</u> also only hold as much information as is needed for business purposes and only for as long as it is needed. The person who is the subject of the information <u>must</u> be afforded access to it on request.</p> <p>Read further explanation and guidance about element 9 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement9.asp</p>	<p>Tactran employees have access.</p>	<p>Register of Data Controllers</p>	
<p><i>Element 10: Business continuity and vital records</i></p> <p><i>A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority.</i></p> <p>The Keeper will expect an authority's RMP to indicate arrangements in support of records vital to business continuity. Certain records held by authorities are vital to their function. These might include insurance details, current contract information, master personnel files, case files, etc. The RMP will support reasonable procedures for these records to be accessible in the event of an emergency affecting their premises or systems.</p> <p>Authorities should therefore have appropriate business continuity plans ensuring that the critical business activities referred to in their vital records will be able to continue in the event of a disaster. How each authority does this is for them to determine in light of their</p>	<p>All Tactran records are held on the PKC network servers and fully backed up.</p> <p>None of the hard-copy files at the Tactran office are records or unique. Were the office to suffer catastrophic loss, Tactran staff would simply temporarily locate to PKC office accommodation or work remotely until new arrangements could be made.</p> <p>Tactran staff have a "telephone tree" in place for out-of-hours</p>	<p>Tactran Information Governance Policy</p> <p>ICT Service Level Agreement with PKC</p> <p>PKC Evidence item no.6: Information Security Policy: secure disposal of confidential waste documents</p> <p>PKC Evidence item no.12: statement and infographic regarding Council server back-up procedure.</p>	<p>None</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
<p>business needs, but the plan should point to it.</p> <p>Read further explanation and guidance about element 10 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement10.asp</p>	<p>emergency contact.</p>		
<p><i>Element 11: Audit trail</i></p> <p>An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities.</p> <p>The Keeper will expect an authority's RMP to provide evidence that the authority maintains a complete and accurate representation of all changes that occur in relation to a particular record. For the purpose of this plan 'changes' can be taken to include movement of a record even if the information content is unaffected. Audit trail information must be kept for at least as long as the record to which it relates.</p> <p>This audit trail can be held separately from or as an integral part of the record. It may be generated automatically, or it may be created manually.</p> <p>Read further explanation and guidance about element 11 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement11.asp</p>	<p>All Tactran records are held on the shared drive hosted by Perth and Kinross Council. As the file share is only available to the six Tactran staff, the risk of inappropriate access to or tampering with records is judged to be very low.</p> <p>Moreover, staff are explicitly made aware of their obligations to maintain appropriate records and not to make unauthorized additions to Tactran records.</p> <p>Key records are converted to PDF once finalised and most are immediately published online.</p> <p>Further measures to protect the integrity of Tactran documents and records are included in the</p>	<p>Link to Tactran website listing staff</p> <p>ICT Service Level Agreement with PKC</p> <p>PKC Evidence item no.6: Council Information Security Policy</p> <p>Tactran Information Governance Policy</p>	<p>Keep under review future business case for implementation of electronic records management in partnership with Perth and Kinross Council.</p> <p>Templates for policies, reports and other key documents to be updated to include document control information.</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
	<p>Information Governance Policy.</p> <p>Given our small size and low risk, Tactran has neither the resource nor identified resource to implement electronic records management systems in the foreseeable future. However, in partnership with PKC, we shall keep this situation under review.</p>		
<p><i>Element 12: Competency framework for records management staff</i></p> <p><i>A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance.</i></p> <p>The Keeper will expect an authority's RMP to detail a competency framework for person(s) designated as responsible for the day-to-day operation of activities described in the elements in the authority's RMP. It is important that authorities understand that records management is best implemented by a person or persons possessing the relevant skills.</p> <p>Read further explanation and guidance about element 12 - <u>http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement12.asp</u></p>	<p>As designated Records Manager, Ashley Roger has engaged with available learning opportunities on PRSA and will continue to do so. This has included:</p> <ul style="list-style-type: none"> • Attendance at the PRSA Roadshow in Perth, 20 Sep 2012 • Meeting with Pete Wadley of NRS PRSA Team, Sep 2015 • Participation in Transport Partnerships PRSA workshop, Jan 2016 	<p>Certificate: Transport Partnerships PRSA Training Session Jan 2016</p> <p>Tactran Information Governance Policy</p>	<p>Ashley, with the support of the Partnership Director, will continue to seek cost-effective and proportionate opportunities to develop skills and knowledge in records management and other aspects of information governance.</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
	<p>Ashley also seeks advice from Meic Pierce Owen, PKC Records Manager, as appropriate.</p> <p>Support for appropriate training for the role is mandated under the Information Governance Policy.</p>		
<p><i>Element 13: Assessment and review</i></p> <p>Regular self-assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.</p> <p>Section 1(5)(i)(a) of the Act says that an authority must keep its RMP under review. An authority's RMP <u>must</u> describe the procedures in place to regularly review it in the future.</p> <p>Read further explanation and guidance about element 13 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement13.asp</p>	<p>The Tactran Records Management Plan and Information Governance Policy form part of our Governance Documents and are subject to bi-annual review.</p> <p>The Partnership Board will receive an annual update on the implementation of the Information Governance Policy and Records Management Plan.</p>	<p>This Records Management Plan</p> <p>Information Governance Policy</p> <p>Minutes of Partnership Board December 2016</p>	<p>Present an annual Information Governance statement (including progress against this RMP) to Partnership Board from December 2017 onwards.</p> <p>Present Records Management Plan for review by Partnership Board in December 2018.</p>
<p><i>Element 14: Shared Information</i></p> <p>Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records.</p>	<p>Information shared with and by Tactran is characteristically open and non-sensitive.</p> <p>Where appropriate, we will</p>	<p>Tactran Guide to Information Regional Transport Partnerships (Establishment, Constitution and Membership)</p>	<p>None</p>

RMP Element Description	Tactran Statement	Evidence	Action plan
<p>The Keeper will expect an authority's RMP to reflect its procedures for sharing information. Authorities who share, or are planning to share, information must provide evidence that they have considered the implications of information sharing on good records management. Information sharing protocols act as high level statements of principles on sharing and associated issues, and provide general guidance to staff on sharing information or disclosing it to another party.</p> <p>Read further explanation and guidance about element 14 - http://www.nas.gov.uk/recordKeeping/PRSA/guidanceElement14.asp</p>	<p>comply with the reasonable confidentiality requirements of third parties, but such circumstances are rare.</p> <p>Tactran does not engage in any information sharing which would require information sharing protocols.</p> <p>Our core records and information are publicly shared as a statutory requirement.</p>	<p>(Scotland) Order 2005</p> <p>Transport (Scotland) Act 2005, especially sections 6 and 14</p>	

4. Statement of endorsement

I endorse the Tactran Information Governance Policy and the above Records Management Plan.

Signed _____

Date _____

Eric Guthrie, Partnership Director, Tactran

5. List of evidence

- Tactran Information Governance Policy
- RMP Covering letter
- Minutes of Partnership Board meeting, December 2016
- Link to website showing Information Governance Policy among governance documentation.
- BCS and retention schedule
- Screen shots of Tactran shared drive
- Shredder user manual covering page
- PKC Evidence item no.6: Information Security Policy: secure disposal of confidential waste documents
- PKC Evidence item no.7: Copy contract for the secure disposal of confidential waste.
- Email exchange with PKC Archive
- ICT Service level agreement with PKC
- Screenshot of PKC Intranet
- PKC Evidence item no.9: copy PSN accreditation certificate.
- [PKC Data Protection Policy](#)
- [Tactran entry in the ICO Register of Data Controllers](#)
- PKC Evidence item no.12: statement and infographic regarding Council server back-up procedure.
- [Link to Tactran website listing staff](#)
- Certificate: Transport Partnerships PRSA Training Session Jan 2016
- Minutes of Partnership Board December 2016
- Tactran [Guide to Information](#)
- [Regional Transport Partnerships \(Establishment, Constitution and Membership\) \(Scotland\) Order 2005](#)
- [Transport \(Scotland\) Act 2005](#), especially sections 6 and 14