



Mr Tim Ellis
The Keeper of the Records of Scotland
HM General Register House
EDINBURGH
EH1 3YY

27th February 2017

Dear Mr Ellis

Public Records (Scotland) Act 2011

Element 1: Senior Management Responsibility

Element 2: Records Management Responsibility

The Public Records (Scotland) Act 2011 (the "Act") requires that Loch Lomond & The Trossachs National Park Authority (The Park Authority) adopts and maintains a robust Records Management Plan (RMP) to ensure the efficient management of all corporate records. Element 1 of the plan must identify and demonstrate senior management endorsement of all elements of the RMP.

I would like to advise that as Chief Executive of the Park Authority, I have delegated overall strategic responsibility for records management within the Park Authority to the Director of Corporate Services. The Park Authority will ensure that it fully complies with its responsibilities under the Act. I am entirely supportive of and fully endorse the RMP adopted by the Park Authority, which is submitted for your consideration and agreement.

With regard to Element 2 of the RMP, Laura Baird our Information Officer has day to day operational responsibility for records management within the Park Authority, ensuring all information, data and records held by Loch Lomond & The Trossachs National Park Authority are managed in accordance with statutory requirements and internal policies.

Yours sincerely

Gordon Watson
Chief Executive



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Gordon Watson
Chief Executive
Loch Lomond and the Trossachs National Park Authority

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N

t: 01389 722600 f: 01389 722633 e: info@lochlomond-trossachs.org w: lochlomond-trossachs.org

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JOB DESCRIPTION

Job Title:	Information Officer	Hours per Week:	37
Service:	Corporate Services	Team:	Governance
Job Location:	Headquarters	Line Manager:	Governance Manager
Band:	C		

KEY PURPOSE

To ensure that all information, data and records held by Loch Lomond & The Trossachs National Park Authority is managed in accordance with statutory requirements and internal policies. To ensure that complaints are effectively handled in line with the Public Service Reform (Scotland) Act 2010 and internal policies. To improve, develop and implement information management, records management and complaints policies and processes. To provide training and improve staff awareness and engagement with relevant policies and processes. To regularly report key performance information to the Governance Manager and relevant statutory bodies.

KEY ACCOUNTABILITIES

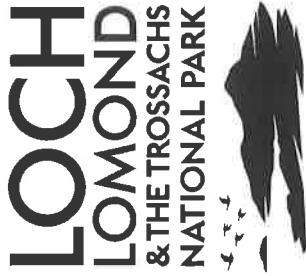
- Ensure that all freedom of information requests or environmental information requests are handled in accordance with the Freedom of Information (Scotland) Act 2002 and Environmental Information (Scotland) Regulations 2004, guidance and internal policies. Regularly review and update publication scheme.
- Ensure that all subject access requests are handled in accordance with the Data Protection Act 1998, guidance and internal policies.
- Implement and manage the Authority's complaints procedure in accordance with the Public Service Reform (Scotland) Act 2010 including drafting responses and promoting positive staff engagement with the complaints process.
- Implement and manage records held by the Authority in accordance with the Public Service Reform (Scotland) Act 2010 Model Records Management Plan and provide training to ensure positive staff engagement.
- Contribute as required to the development of policies, procedures, training and guidance to ensure statutory compliance in relation to information management, complaints handling and records management.
- Develop necessary partnerships and engage with other organisations to ensure the ongoing relevant operation of the Authority's processes and procedures for statutory compliance, including exploring opportunities for joint working with other partner organisations.

- Monitor legislative and other relevant guidance relevant to information management, complaints handling and records management, with appropriate recommendations made to the Governance Manager in order to ensure policies and processes are compliant and efficient.
- Undertake any other duties appropriate to the grade as required.

PERSON SPECIFICATION

Assessment Areas	Essential Criteria	Desirable Criteria
Relevant Experience	<ul style="list-style-type: none"> • Experience of handling freedom of information requests and environmental information requests. • Experience of application of relevant exemptions. • Experience of handling complaints and corresponding with members of the public in an empathetic and professional manner. • Knowledge of relevant legislation, including the Freedom of Information (Scotland) Act 2002, Environmental Information (Scotland) Regulations 2004, Data Protection Act 1998 and Public Records (Scotland) Act 2011. 	<ul style="list-style-type: none"> • Experience of liaising with the Scottish Information Commissioner or Scottish Public Services Ombudsman on any information request or complaint file.
Specific Skills, Abilities and Qualities	<ul style="list-style-type: none"> • Strong analytical skills and understanding of legislative compliance issues. • Highly motivated individual with the ability to work independently. • Excellent written and oral communication skills. • Excellent IT ability, including familiarity with Microsoft Office software. 	
Required Qualifications	<ul style="list-style-type: none"> • A formal qualification or equivalent experience in information management, legal or other a related discipline. 	
Any Additional Job Related Requirements		

My Performance Review



Please refer to the My Performance Review policy before completing this form.

MY PERSONAL DETAILS			
My Name:	Laura Baird	My Job Title:	Information Officer
My Team:	Governance & Legal	My Line Manager:	
Report Year:	2016-17		

MY OBJECTIVES			
My Objectives	Measurement Criteria	Timescale	Mid Year Review Self Assessment (progress to date/revisions)
End Year Review Self Assessment (comments on achievements, link to evidence)			
1. Complete records management plan and achieve sign off from the Keeper of the Records	Plan approved and signed off by Keeper of the Records	End of Feb 2017	Contact made with National Archives to discuss what records may be transferred for permanent retention. Evidence for plan gathered in file. Meeting requested with National Records office to discuss progress of plan. Scheduled input to Managers meeting.

Element 3 Evidence

Access to Records Management Policy via website and internal staff Intranet



Relevant policies

[Records Management Policy](#)

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Business Classification Scheme



Business Classification Scheme

Version: V2_0 October 2016

Owner: Corporate Services/Governance & Legal Services

Business Classification Scheme

Key Points on folder structure

The structure of folders on the 'R' drive is replicated in the Business Classification scheme. This structure was established after consultation and with the agreement with staff at a team level. The top level folder structure is listed below, followed a breakdown of the folder structure for each area to the next 2 levels.

- Top Level – should match structure of folders in top level of R Drive
- Top 2 levels of folders should not have any stray word excel or image files sitting outside a folder
- No folder can have an individual's name as part of the folder name
- Guidance on appropriate names for new folders at level 3 can be sought from the Information Officer
- No folders at the top 2 levels can be changed without consulting the Information Officer

Top level of the classification scheme, as replicated in the top level folder structure on the R drive.

- Built Environment
- Commercialisation
- Communications
- Community Development
- Conservation and Land Use
- Corporate Management
- Development Management
- Development Planning
- Education & Inclusion
- Environmental Management
- Estates Management
- Facilities Management
- Finance Management
- Governance
- Health & Safety
- Human Resources
- ICT
- Legal
- Outdoor Access & Recreation
- Procurement
- Strategy & Policy
- Tourism
- Visitor Management
- Volunteering

Business Classification Scheme

Built Environment

Activity (second level folders on R drive)	Overview of records held
Archaeology management	Archaeological sites, advice & general enquiries, service level agreements
Built heritage	Conservation area appraisals, advice & general enquiries, management plans, grant applications

Communications

Activity (second level folders on R drive)	Overview of records held
Digital Management	Online shop, social media, external website and internal intranet site
Events Management	Event case files
Graphic Design & Production	Design case files & corporate identity branding
Internal Communications	Staff meetings, Announcements
Marketing	Campaign Plans
Media & PR	Media Coverage, enquiries, interviews, transcripts
Photography Management	Photography collection and associated documentation
Publications Management	Leaflets, Magazines, Plans etc.
Stakeholder Management	Advice, Contact Databases, Key partners, Partner Agreements, Forums
Survey Management	Design, Analysis and Responses of customer surveys

Community Development

Activity (second level folders on R drive)	Overview of records held
Community Partnership	Action Plans, Area Networks, Service Level Agreements
Community Projects	Community Project Case Files
Grant Schemes	Grant Applications & funding documentation
Stakeholder Management	Advice, Contact Databases, engagement with Community organisations
Community Empowerment	Project management Working documents

Conservation and Land Use

Activity (second level folders on R drive)	Overview of records held
Biodiversity Management	Action Plans, Reports & Surveys, Research, Best Practice Guides

Business Classification Scheme

Biosecurity Management	Policies, Procedures and Best Practice
Designated Site Management	Case files, applications for permits for Designated Sites
Ecosystem Services Management	Policies & Procedures, Project case files
Geodiversity Management	Geological sites, reports & surveys
Land Use Management	Business Diversification, Grant schemes, Best Practice Guides
Landscape Management	Studies, Reports, Best Practice Guides, Advice
Trees and Woodland Management	Tree Preservation Orders, General Enquiries/Advice, Best Practice Guides, Frameworks
Water Environment	Advice, support, monitoring and reporting for catchment management fishing management, flood management, river basin management & water traffic monitoring and control

Corporate Management

Activity (second level folders on R drive)	Overview of records held
Administration	Mail Logs, Timesheets, Team meetings
Consultations	NPA responses to consultations
Equality & Diversity Management	Action Plans, Notes of meetings, Equality Impact Assessments
Executive Management	Agenda's Reports, Minutes for Executive Team
Operational Management	Agenda's, reports minutes, team work plans for Heads of Service & Ops Managers
Policies and Procedures	All corporate wide policies and procedures (draft and finalised)
Project Management	All project documentation including PIDs, Project Plans, Business cases
Research	Statistics from Research undertaken or commissioned by NPA or partners
Shared Services	Reports, Agreements of Shared services with partners
Society of National Park Staff	Booking details, study tours, conference details
Strategic and Operational Planning	Business Plans, Corporate Plans, National Park Plans, Monitoring reports, Service Improvement Plans, Performance Reports
Templates	All corporate wide templates (draft & finalised)
Trades Union	Details of negotiations, reports
Training	Corporate wide training details

Business Classification Scheme

Development Management

Activity (second level folders on R drive)	Overview of records held
Administration	Planning lists, planning adverts, planning admin, templates, DMS decision notices
Application Processing	All records relating to a planning applications (stored within EDRMS)
Appeals	All records relating to appeals (stored within EDRMS)
Current caseload	OAA Records (GIS managed admin use) repot databases, temporary application files
Enforcement	Investigations, monitoring, licensing, advertisement management
Monitoring	Records of ongoing monitoring following planning decisions
Performance	Annual reporting on planning performance
Procedures	EDRMS procedures, e-planning records, planning advice notes, processing agreements, tree protection record, user guides
Records	Records database, history searches, agents forums, general planning requests, historical application files, section 75 agreements
Topics	Information on different land-use and other planning issues

Development Planning

Activity (second level folders on R drive)	Overview of records held
Consultations & Liaison	Contacts, internal reporting, planning consultations, planning forum
Local Development Planning	Policy development, Local Development Plans, Examination, Action Programmes, Development Plan Schemes, Main Issues Report
Projects	All project documentation including PIDs, Project plans Business Cases

Education & Inclusion

Activity (second level folders on R drive)	Overview of records held
Outdoor Learning Programmes & Resource Management	Engagement Programmes, Grant applications, Resources
Outreach & Inclusion	Initiatives, projects and activities
Skills & Teacher Training	Training resources, Projects and skills development

Business Classification Scheme

Environmental Management

Activity (second level folders on R drive)	Overview of records held
Awareness & Promotion	Greening group records and promotional activities
Energy management	Monitoring, reports on energy consumption

Estates and Facilities Management

Work ongoing to merge Estates Management and Facilities Management folders following re-structuring of this area of business

Activity (second level folders on R drive)	Overview of records held
Built Facilities	Statutory requirements, maintenance, site information, contracts, housekeeping, signage and security
Fleet management	Statutory requirements, vehicle records, maintenance
Logistics	Uniforms, Stock, Events & Requisitions
Office Management	Forms, hospitality, ID badges

Finance Management

Activity (second level folders on R drive)	Overview of records held
External Reporting	Reports for external bodies
Financial transactions management	Payment instructions, deposits, withdrawals, transfer of funds, purchase invoices, petty cash records, expense claims, reports to SG, internal recharging
Management accounting	Capital and revenue budgets, budget reports
Systems	Records within finance access system
Taxation	Business rates, rateable properties, valuations, tax returns

Governance

Activity (second level folders on R drive)	Overview of records held
Audit management	Internal & external audit – reports and recommendations
Board & Committee management	Remuneration, attendance monitoring, appointments, papers of meetings, Member training (incl interim committee)
Information management	Data Protection, FOI, EIRs, Complaints, Compliments
Records Management	Business classification scheme, retention schedule, archive registers
Risk management	Assessments, Registers, Business Continuity Plans

Business Classification Scheme

Health & Safety Management

Activity (second level folders on R drive)	Overview of records held
Compliance Management	Audits, inspections, control measures, reports, risk assessments, fire safety, first aid and manual handling records
Incident management	Investigations notifications & reports for incidents and accidents

Human Resources

Activity (second level folders on R drive)	Overview of records held
Absence Management	Workforce welfare records, sickness absence reporting and monitoring
Employee relations	Trade union records, employment contracts, disciplinary records, employee records
Organisational development	Training records and plans
Payroll and pensions	All payroll records
Performance and reward	Job competencies, performance assessment systems and individual performance records
Recruitment and resourcing	Job descriptions, job evaluations, recruitment, secondments

ICT

Activity (second level folders on R drive)	Overview of records held
GIS management	GIS supported applications, records of GIS data and data suppliers
System development	Development, implementation of ICT systems
System operations management	Routine monitoring and testing of ICT systems, backup's archive data, software licences
System security management	Security protocols, user account records, breaches of security
System user training and support	Internal fault and change request logging and tracking and technical and application training for ICT system users

Legal

Activity (second level folders on R drive)	Overview of records held
Claims	Legal claims by or against the NPA
Contracts	All legal contract documentation, negotiation records
Litigation	Records detailing conduct of litigation
Opinions & advice	Internal & external legal advice records
Property documentation	Ownership records of real property

Business Classification Scheme

Outdoor Access & Recreation

Activity (second level folders on R drive)	Overview of records held
Access management	Core paths plans, access projects, general enquiries, promotional leaflets & publications, access forum, studies, research, case files under access legislation
Recreation management	Plans & strategies, recreation projects, general enquiries, studies, research, case files
Strategic route management	Plans & strategies, WHW records, promotional leaflets & publications, funding proposals, general enquiries, maintenance plans & agreements, case files

Procurement

Activity (second level folders on R drive)	Overview of records held
Administration	Systems, Training, Community benefits, Corporate Social Responsibility, Legislation, Policies & Procedures, Reports, Sustainable Procurement
Contract management	British Goyt, Cairngorms, Concessionary, Registers, Joint NPA contracts, Loch Lomond, Scottish Govt
Reporting	Benchmarking, Correspondence, Management reports, Procurement capability assessments

Strategy & Policy

Activity (second level folders on R drive)	Overview of records held
Operating Environment	Digests, Joint research, Key & emerging issues, strategic summaries
Stakeholders & Relationship Management	Community Planning Partnerships, Local Govt, MPs & MSPs, Scottish Govt
Strategic Planning	Data collection, NPPP
Strategic Responses & Recommendations	Land Reform, Programme for Govt

Visitor Experience – Tourism

Activity (second level folders on R drive)	Overview of records held
Business development	Communication, engagement & partnership working with businesses, projects, grant applications
Destination development	Strategic plans, guidance, projects, research
Promotion	Projects & initiatives

Business Classification Scheme

Visitor Experience – Visitor Management

Activity (second level folders on R drive)	Overview of records held
Litter management	Strategies & plans, managing implementation
Ranger service management	Resource plans, rotas, patrol reports, service/booking information, guidance and bookings for camping sites.
Visitor management planning	Management plans, byelaws, statistics & reports, commercial use scheme

Volunteering

Activity (second level folders on R drive)	Overview of records held
Recruitment	Placement, application pack, welcome pack, volunteer rangers
Development	Policies, reports, strategies & plans, Youth group engagement, volunteer officer, volunteer adviser
Management	Admin, budgets, CERVS, presentations, ranger routes

Element 4 – screen shot from R drive to show top level file structure which corresponds to the business classification scheme

Organize	Name	Date modified	Type	Size
D	Built Environment	25/04/2014 14:21	File folder	
D	Communications	28/06/2016 14:06	File folder	
R	Community Development	01/05/2014 09:54	File folder	
L	Conservation & Land Use	25/04/2016 16:47	File folder	
D	Corporate Management	01/08/2016 10:40	File folder	
M	Countyside Trust	18/10/2016 12:52	File folder	
P	Development Management	05/10/2016 13:59	File folder	
V	Development Planning	29/07/2016 10:26	File folder	
C	Education & Inclusion	19/08/2015 11:23	File folder	
Cor	Environmental Management	08/07/2014 10:20	File folder	
Lc	Estates & Commercial Development	17/03/2016 12:02	File folder	
re	Finance	24/06/2016 09:36	File folder	
b:	Governance	13/09/2016 14:10	File folder	
re	Health & Safety	23/06/2016 13:33	File folder	
b:	Human Resources	17/10/2016 14:44	File folder	
Net	ICT	14/10/2016 13:31	File folder	
	IDOX-WIN-LOGS	04/09/2015 15:44	File folder	
	Legal	12/10/2016 13:51	File folder	
	Outdoor Access & Recreation	27/09/2016 11:32	File folder	
	Procurement	12/09/2016 15:20	File folder	
	Strategy & Policy	10/12/2015 13:21	File folder	
	Tourism	27/03/2014 09:16	File folder	
	Visitor Management	10/12/2014 11:56	File folder	
	Volunteering	21/05/2014 15:41	File folder	

Electronic Document and Records Management System



Gain complete control of your information

From standalone solutions supporting individual business areas to integrated enterprise solutions, Idox EDRMS enables public sector organisations to improve data quality, information sharing, employee productivity and responsiveness to the public.

Concerns on compliance?

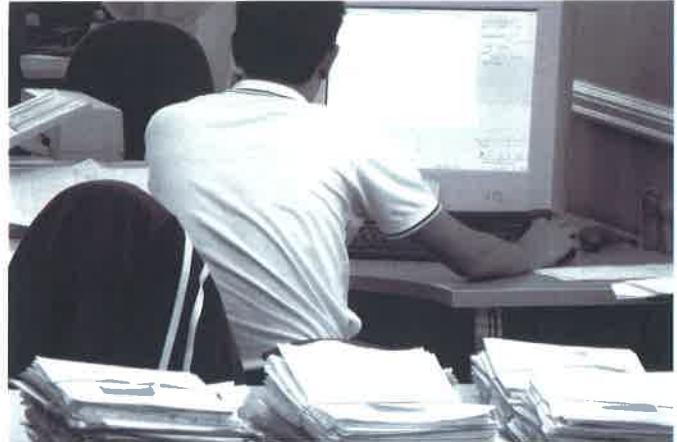
Idox EDRMS has been designed with legislative requirements in mind, including the Data Protection Act 1998 and the Freedom of Information Act 2000. Guidelines governing interoperability are critical and Idox EDRMS meets ISO 15489:2001 for records management compliance.

Need to integrate?

Idox has a proven track record integrating with many of your common systems including: CRM, Business Process Management, Legacy, Back-office, Online payment, Geographical Information Systems and Microsoft SharePoint and Office.

Are you making real savings?

Electronic searches are many times faster than manual. A commitment to electronic means a real reduction in your paper expenditure. Reclaim your premium space turning archives into frontline office space. Coupled together these savings have the potential to save your organisation hundreds of thousands of pounds and frees up the time of your workforce for other frontline duties.



Key benefits

- > Save your organisation's time and money whilst contributing to a greener environment
- > Remove your paper archives with Idox electronic document stores to make better use of your organisations office space
- > Find electronic documents fast - Speeds up your response rates to FOI requests from hours to minutes
- > Capacity for up to a billion documents means you'll never run out of space
- > Flexible working - Developed from the ground-up as a web-based system for universal access through a web browser
- > Enterprise level security means confidential documents can only be accessed by those intended helping you comply with the Data Protection Act 1998
- > Experienced Idox support team for total peace of mind

Electronic records management systems – Planning

EDRMS and Uniform are electronic systems used by Planning to record and maintain all information relating to planning applications, appeals and enforcement cases. The two systems are connected to the Scottish Government ePlanning website and online applications are transferred automatically. The systems also interact with each other.

Uniform

This system is used in various departments within the organisation. Planning uses it to register & record all planning applications, enforcement cases and appeals. Each record has its own unique case number and each stage of the process is recorded on different pages within the system showing the following:

- Application number, type and status
- Site address
- Proposal
- Applicant contact details
- Agent contact details
- Fees paid
- Community council and wards
- Validation / determination dates and stages
- Target dates
- Consultation details
- Contributor contact details and correspondence
- Publication details
- Neighbours notification
- Site mapped details
- Constraints
- Approved plans

The screenshot shows the Uniform software interface with a menu bar at the top and a main data entry screen below. The menu bar includes: HOME, FUNCTIONS, OPTIONS, SPATIAL, DC-SPATIAL, and HELP. The OPTIONS menu has sub-items like Index, Field, Print, Quick, and Message. The SPATIAL menu has sub-items like View, Services, and Tools. The DC-SPATIAL menu has sub-items like Index, Field, Print, Quick, and Message. The HELP menu has sub-items like Print and Message.

The main screen displays a form for a planning application. On the left, there is a sidebar titled "Modules" with sections for Gazetteer, Planning (Appeals, Development Management, Enforcements, Listed Buildings, LDP), Tree Preservation Orders, Development Condition Monitoring, and Plan Monitoring. Below this is a "Maint." section.

The main form has tabs: Record, Edit, DMS, and General. The General tab is active and contains several input fields and dropdown menus. The fields include:

- Application No. (dropdown)
- Type (dropdown)
- Status (dropdown)
- Appeal Status (dropdown)
- District Ref. (dropdown)
- Map Ref (E) (dropdown)
- (N) (dropdown)
- Proposal (dropdown)
- Alt. Ref. (dropdown)
- Date App. Rec. (dropdown)
- EIA Required? (checkbox)
- App. Ref. (dropdown)
- Agent (dropdown)
- Applicant (dropdown)
- Company Name (dropdown)
- Address (dropdown)
- Contact Types (dropdown)
- Agent Contact (dropdown)
- Fee Req. (£) (dropdown)
- Advert Fee (£) (dropdown)
- C Council (dropdown)
- Ward (dropdown)

At the bottom of the form are navigation icons (back, forward, search, etc.) and OK/Cancel buttons.

Note: Applicants, agents and contributors contact details, including telephone numbers & email addresses, are logged on the relevant pages, and remain there permanently.

EDRMS

Each planning application or appeal/enforcement case has the same reference number as in Uniform. Folders are either formed by the ePlanning website, or created manually and every piece of information ("Document") is given a Document Type, Date, Drawing Number and Document Description. The Sensitivity i.e. whether or not it shows online, is set each time a document is added. Redaction is done in EDRMS where required before it is made 'Public'. We can search for a particular document using any of these headings. The Document Type (only) is used by the GIS retention software to find documents (information) for review and deletion. Each Document Type has a bespoke retention period (as set out in the EDRMS DM & Appeals_Naming & Retention Schedule)

Document Type	Date	Drawing Number	Document Description	Sensitivity
Application	07 Jan 2016		Application form	Public
Application	07 Jan 2016		Cover note with lease details	Sensitive
Notification of development	29 Aug 2016		Notification of initiation of development	Sensitive
Receipt & validation	07 Jan 2016		NPA application acknowledgement	Sensitive
Receipt & validation	14 Jan 2016		NPA application valid	Public
Receipt & validation	14 Jan 2016		NPA neighbourhood validation	Public
Receipt & validation	29 Apr 2016		NPA to applicant - Fee Receipt	Sensitive
Receipt & validation	07 Jul 2016		Correspondence from applicant	Sensitive
Supporting Information	07 Jan 2016		Council tax and water service charges	Sensitive
Supporting Information	07 Jan 2016		Surveillance Checklist	Public
Supporting Information	07 Jul 2016		E Grid Specification Guide	Public
Pan rejected	29 Feb 2016	0017/15/1	Proposed east/west elevations	Public
Pan accepted	29 Feb 2016	0017/15/1	Location/Floor plans	Public

Each application / case is given to a particular case officer (planning officer) and goes through, by way of a workflow method, 3 main steps (receipt, validation, decision). Different members of staff deal with each step and the application/case is passed by 'allocating' onto the next person. The workflow is set up so that the relevant field can be seen by the appropriate member of staff.

Section	View Incoming Mail	View Outgoing Mail
Mail	Today's	Today's
Validation	Today's	Today's
Validation Clerical	Today's	Today's
Invalid	Today's	Today's
Pending Decision	Today's	Today's
Recommendations	Today's	Today's
Decision	Today's	Today's
Non Material Variation	Today's	Today's
Appeal and Review	Today's	Today's
Pre-App	Today's	Today's

There is an Audit Trail for every application; it is created using the acknowledgement letter in each case. The Audit Trail shows the full history including what stage of the process it is at and which User (who) has actioned each step, including simply viewing.

Document Pages for Category Development Manag Docs

Audit Log

Date & Time	User	Action	Comment
07 Jun 2016 14:38	wyll	Checked in	app ack
Event Log			
Date & Time	User	Event	Info
02 Nov 2016 14:25	paimaa	Accessed	Document Details Viewed
11 Aug 2016 10:49	wyll	Assigned to no officer or section	by wyll - Comment: Decision notice and appreciated name posted to agent as no email address for firm (WV applicants email address). No contributor LW
11 Aug 2016 10:28	lester	Reallocated	from lester to 'Allocated to section' Decision - Comment: All checked TL
11 Aug 2016 10:29	lester	Accessed	Document Details Viewed
11 Aug 2016 10:30	lester	Accessed	Document Details Viewed
11 Aug 2016 10:32	wyll	Assigned to lester/ln section	from wyll to lester - Comment: Document notice and place payment and passed to them to check in Virtuele arbeidsca L/W
11 Aug 2016 10:33	wyll	Section Recommendations - Passed between sections	from Section Recommendations to Section Decidat - Comment: Report checked us. Please prepare decision. (Note - Real version of report was 'replaced' by me) Bob
02 Aug 2016 17:26	wyll	Accessed	Issue entry to 'Allocated in section Recommendations - Comment: Draft Delegated Report for Cheching - VE'
02 Aug 2016 18:01	emerry	Accessed	Document Details Viewed
02 Aug 2016 18:08	emerry	Accessed	Document Details Viewed
02 Aug 2016 19:31	emerry	Accessed	Document Details Viewed
02 Aug 2016 19:31	emerry	Accessed	Document Details Viewed
02 Aug 2016 19:32	emerry	Accessed	Document Details Viewed
02 Aug 2016 19:32	emerry	Accessed	Document Details Viewed
14 Jan 2016 11:08	wyll	Accessed	Issue entry to 'Allocated in section Validation Clinical' (from wyll to emerry - Comment: Valid letter posted to agent (no email address provided). 1 consult and 1 NIV letter sent. Target date is 25/2/16 LW)
14 Jan 2016 09:54	wyll	Section Validation - Passed between sections	from Section Validation to Section Validation Clinical - Comment: Entry valid date added. SN
11 Jan 2016 16:08	wyll	Section Validation - Passed between sections	from Section Validation Clinical to Section Validation - Comment: Still pending REC re Ustebro - Please add valid date Thands LW
11 Jan 2016 12:08	wyll	Section Validation - Passed between sections	from Section Validation to Section Validation Clinical - Comment: Valid app. SK
07 Jun 2016 15:13	wyll	Passed between sections	from Section Mail to Section Validation - Comment: Paper app rec'd 07/06/16 and act letter posted to agent (I've asked agent for an email address as none on app form) LW
07 Jun 2016 15:11	wyll	Allocated this document	from wyll to Section Mail - Comment: 2616/0001/DET.LW
07 Jun 2016 15:10	wyll	Development Rating Docs category	Document Details Viewed
07 Jun 2016 14:38	wyll	Initial index from KMWS system	Case Number : 2616/0001/DET UPRN : Address Text : Document Type : Receipt & validation Date : 07 Jun 2016 District Number : Document Description : MPA application acknowledgment Sensitivity : Standard

Function: Built Environment

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Archaeology Management	Advice and General enquiries	end of current year	2 years	Destroy	Business Requirement
Archaeology Management	Service Level Agreements	end of agreement	5 years	Review for re-use and historical value	Business Requirement
Built Heritage	Conservation Area Appraisals Management Plans		Permanent	Transfer to archives	Historical value
Built Heritage	Advice and General enquiries	end of current year	2 years	Destroy	Business Requirement
Built Heritage	Grant Applications - UK funded	end of current year	10 years	Review for re-use and historical value	Business Requirement
Built Heritage	Grant Applications - European funded	end of current year	10 years	Destroy	Business Requirement

Function: Communications

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Digital Management	Online Shop, Social Media, External website and internal intranet site - Park Central	Administrative use ends	3 years	Review for re-use and historical value	Business requirement
Events Management	Events case files - including presentations, leaflets, programmes	Completion of event	5 years	Review for re-use and historical value	Business requirement
Graphic Design & Publication	Corporate identity and branding		Permanent	Transfer to archives	Historical value
Graphic Design & Publication	Design Project case files	Completion of project	5 years	Review for re-use and historical value	Business requirement
Internal Communications	Staff Meetings (10:02)	End of current year	5 years	Destroy	Business requirement
Marketing	Campaign Plans	End of current year	5 years	Review for re-use and historical value	Business requirement
Marketing	Strategies & Plans		Permanent	Transfer to Archive	Historical value
Media & PR	Filming agreements & liaison Media enquiries, strategies, transcripts and interview briefings Published versions of media interviews Press Releases Media coverage of the NPA including media cuttings and analysis	End of current year	5 years	Review for re-use and historical value	Business requirement
Photography Management	Photography collection (General) including commissioning, compliance and copyright		Permanent	Transfer to archives	Historical value
Photography Management	Photography collection (children) including commissioning, compliance and copyright	End of current year	3 years	Destroy	Business requirement
Publications Management	Publications		Permanent	Transfer to archives	Historical value
Stakeholder Management	Adhoc advice, communications with stakeholders including notes of meetings with partners, databases, mailing lists (Note: not personal information)	Last action	3 years	Review for re-use and historical value	Business requirement
Survey Management	Design, analysis, responses and reports of customer survey's	Completion of survey	3 years	Review for re-use and historical value	Business requirement

Function: Community Development

Activity	Transaction	Retention Period Trigger	Retention Period	Retention Period	Disposal Action
Community Partnership	Community Action Plans, SLAs, Meetings and associated documents	end of agreement/plan	5 years		Review for re-use and historical value
Community Projects	Involvement in the development of community projects. Includes all project documentation	end of current year	7 years		Review for re-use and historical value
Grant Schemes	Advice and General Enquiries	end of current year	2 years		Destroy
Grant Schemes	Grant Applications - Successful	termination/expiry of grant	5 years		Review for re-use and historical value
Grant Schemes	Grant Applications - Unsuccessful	end of current year	1 year		Destroy
Stakeholder Management	Liaison with the NPA's community partners including Community Trusts	end of current year	5 years		Review for re-use and historical value

Function: Conservation and Land Use

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/Citation
Biodiversity Management	Action Plans Data audits undertaken by or commissioned by the NPA Reports and Surveys Species and habitat data sets Reports and surveys of species and natural habitats and Invasive Non Native Species	End of current year	10 years	Review for re-use and historical value	Historical value
Biodiversity Management	Data management and record systems	End of current year	10 years	Destroy	Business Requirement
Biosecurity Management	Policies, procedures	Superceded by final version		Destroy	Business Requirement
Designated Site Management	Case files for Designated Sites including management arrangements, maintenance, general visitor information, public notes and schemes to enhance designated site. Annual reports and Surveys on wildlife in Designated Sites			Permanent	Transfer to Archive
Designated Site Management	Case files for development of Designated Sites. Routine monitoring reports of wildlife within designated sites	End of current year	10 years	Destroy	Business requirement
Designated Site Management	Processing of an application for a permit to undertake a restricted activity or to access a restricted area within a Designated Site, where the applications is rejected.	Last action on application	2 years	Destroy	Business requirement
Designated Site Management	Processing of an application for a permit to undertake a restricted activity or to access a restricted area within a Designated Site, where the application is approved.	Expiry / Withdrawal of permit	10 years	Destroy	Business requirement
Geodiversity Management	Monitoring of geological sites including reports and surveys			Permanent	Transfer to Archive
Land Use Management	General Enquiries/Advice	End of current year	2 years	Destroy	Business Requirement
Land Use Management	Records in regard to land holdings			Permanent	Transfer to Archive
Land Use Management	Rejected Applications - Natural Heritage Grant Schemes	End of current year	1 year	Destroy	Business Requirement
Land Use Management	Approved Applications - Natural Heritage Grant Schemes	termination/expiry of grant	5 years	Review for re-use and historical value	Business Requirement
Land Use Management	Business diversification - advice and best practice	End of current year	2 years	Review for re-use and historical value	Business Requirement
Landscape Management	Advice and assistance to a landowner on landscape conservation matters	End of current year	2 years	Review for re-use and historical value	Business Requirement
Landscape Management	Studies, Reports and Studies undertaken on Landscape Management			Permanent	Transfer to Archive
Trees and Woodland Management	Establishment of a tree preservation order including case files, reports, details of site visits and templates General enquiries/advice	Life of tree	5 years	Destroy	Business Requirement
Trees and Woodland Management	Draft - Local woodland & forestry framework, including protocol with FCS	End of current year	2 years	Destroy	Business Requirement
Trees and Woodland Management	Final - Local woodland & forestry framework, including protocol with FCS	Superceded by final version	1 year	Destroy	Business Requirement
Trees and Woodland Management				Permanent	Transfer to archive

Function: Corporate Management

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Administration	Presentations Mail Logs Time Recording (Flexi Sheets, Additional Hrs, Toil)	End of current year	2 years	Destroy	Business requirement
Consultations	NPA consultation of partners and public Responses to external consultations	End of current year	5 years	Review for re-use and historical value	Business requirement
Equality & Diversity Management	Action Plans, Notes of meetings, Equality Impact Assessments	End of current year	3 years	Review for re-use and historical value	Business requirement
Executive Management	Agenda's, Reports, Minutes, from Executive Management team		Permanent	Transfer to Archive	Historical value
Operational Management	Heads of Service, Operational Managers/Team Leader meetings	End of current year	10 years	Review for re-use and historical value	Business Requirement
Operational Management	Team Meetings	End of current year	2 years	Destroy	Business requirement
Policies & Procedures	Corporate Policies and procedures	superceded by final version	5 years	Review for re-use and historical value	Historical value
Project Management	European funded projects. Includes Business Case, Project Initiation Documents, Risk Logs, etc	Project close	10 years	Review for re-use and historical value	Business Requirement
Project Management	UK funded projects. Includes Business Case, Project Initiation Documents, Risk Logs, etc	Project close	10 years	Review for re-use and historical value	Business requirement
Research	Research commissioned by or undertaken by the NPA		Permanent	Transfer to Archives	Historical value
Shared Services	Development of shared services with external organisations which do not lead to partnership working	End of current year	5 years	Destroy	Business requirement
Shared Services	Finalisation, agreements for shared services with external organisations	expiry of agreement	5 years	Review for re-use and historical value	Historical value
Society of National Park Staff	Booking details, Study Tours, Conference details		5 years	Destroy	Business requirement
Strategic and Operational Planning	Final versions of all strategic plans including; Business Plans, Corporate Plans & National Park Partnership Plans, Service Improvement Plans, Performance Reporting	Superceded by final version	Permanent	Transfer to Archive	Historical value
Templates	Corporate Templates	Superceded by updated version		Destroy	Business requirement
Trade Union	Negotiations and Reports		10 years	Review for re-use and historical value	Business Requirement

Function: Development Management

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
DEVELOPMENT	MANAGEMENT	MODULE						
Application Processing	Receipt and Validation	All information relating to receipt & validation of planning applications including Cover letter only from (applicant / agent) NPA application (acknowledgement / now valid / invalid / final reminder) NPA neighbour notification NPA site notice NPA advert (fee) (request / final reminder) Fees PDF (eplanning Doc Type - online payment). Change to Receipt & Validation)	Application decision	3 months	Destroy	Business requirement	N/A	Retain for a short period in case of inquiry then destroy because key information is saved in Uniform & can be verified (e.g. neighbour notification)
Application Processing	Application	Covering information provided by applicant / agent & eplanning generated into (cover letter and ICNIRD form) Cover letter only from (applicant / agent) (no supporting info included) Schema XML File / Form XML / GML (eplanning Doc Types - deleted by Admin on receipt)	Application decision	3 months	Destroy	Business requirement	N/A	Retain for a short period in case of inquiry then destroy.
Application Processing	Application	Covering Information provided by applicant / agent & eplanning generated into application form, ownership certificate, cover letter and ICNIRD form) Application (form / letter / email) Land ownership Pre-Application Consultation	Application decision	6 years	Destroy	Business Requirement	N/A	The Scottish Council of Archives (SCA) generic planning schedule, Schedule 21, recommends the information be reviewed after 10 years. Legislation stipulates a minimum 6 year period (or 4 for delegated decisions). Decided on 6 years in this case as the information concerned is not significant in planning terms.
Application Processing	Supporting information	Ancillary information provided by applicant or agent (FRA, design statements etc) Cover letter from (applicant / agent) with {supporting info ID} Assessment {ID} Statement {ID} Report {ID} Specification {ID} Survey {ID} Sustainability checklist Schedule {ID} Drawing register Photos (submitted / officer) (use 'submitted' when provided by applicant/agent)	Application decision	10 years	Review for business & historical value	Business requirement	N/A	SCA recommends 10 year retention period and the 1995 Act requires minimum 4 or 6 years (delegated or committee decisions respectively). Decided on 10 years because the information is important particularly for larger developments.
Application Processing	Environmental Impact Assessment	All EIA related information Environmental Statement {ID} (this covers appendices, figures, plans & Non-Technical Summary)	Application decision	Permanent	Retain in DMS	Historical value	The Act 1997, s36, TCP (EIA) (Sc) Regs 2011, Reg. 19	

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	Notes:
Application Processing	EIA Screening	EIA Screening information Plan {ID} EIA (screening / scoping) document {ID}	Application decision	6 years	Destroy	Business requirement	The Act 1997, s36. TCP (EIA) (Sc) Regs 2011, Reg. 19	The EIA regs require screening / scoping opinions / directions to be publicly available for 2 years. Decided on 6 as the information may be useful esp. larger developments but beyond 6 likely to be out of date.
Application Processing	EIA Scoping	EIA Scoping information Plan {ID} EIA (Screening / Scoping) Document {ID}	Application decision	6 years	Destroy	Business requirement	The Act 1997, s36. TCP (EIA) (Sc) Regs 2011, Reg. 19	The EIA regs require screening / scoping opinions / directions to be publicly available for 2 years. Decided 6 years as the information may be useful esp. larger developments but beyond 6 likely to be out of date.
Application Processing	EIA Scoping / Screening	EIA combined Scoping / Screening information Plan {ID} EIA (Screening / Scoping) Document {ID}	Application decision	6 years	Destroy	Business requirement	The Act 1997, s36. TCP (EIA) (Sc) Regs 2011, Reg. 19	The EIA regs require screening / scoping opinions / directions to be publicly available for 2 years. Decided 6 years as the information may be useful esp. larger developments but beyond 6 likely to be out of date.
Application Processing	Consultation	Consultation requests including re-consultations and acknowledgments NPA consult {ID} NPA re-consult {ID} NPA notification of (withdrawal / disposal) to {ID}	Application decision	3 months	Destroy	Business requirement		Retain for a short period in case of inquiry then destroy because information is also recorded in Uniform so can be verified if necessary.
Application Processing	Consultation	Consultation responses Response from {ID} Further response from {ID}	Application decision	6 years	Destroy	Business Requirement		The SCA generic planning schedule recommends a 10 year retention period. Decided 6 years is adequate because consultation responses are summarised in the Recommendation.
Application Processing	Contributions	Correspondence from contributors (eg neighbours) Correspondence from {ID}	Application decision	6 years	Destroy	Business Requirement		The SCA generic planning schedule recommends a 10 year retention period. Decided 6 years is adequate because contributions are summarised in the Recommendation.

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Application Processing	Contributions	NA notification to contributors in the event of withdrawal or disposal of an application NPA notification of (withdrawal / disposal) to {ID}	Application decision	3 months	Destroy	Business requirement		Retain for a short period in case of inquiry then destroy because information is also recorded in Uniform so can be verified if necessary.
Application Processing	Planning Assessment	Processing Agreements, draft reports and NPA incidental correspondence relating to the assessment of the application Extension of time request (response) Processing Agreement (Draft / Final) Delegated report draft Committee report draft NPA to {ID},	Application decision	3 months	Destroy	Business requirement		Retain for a short period only - information not needed post decision.
Application Processing	Planning Assessment	Correspondence (other than consultation responses) and notes relating to the assessment of the application Correspondence from {ID} Notes (meeting / phone call / general)	Application decision	6 years	Destroy	Business Requirement		The SCA generic planning schedule recommends a 10 year retention period. Decided 6 years is adequate in this case.
Application Processing	Planning Assessment	Site photographs taken by case officer Photos (submitted / officer) (use 'officer' for site visit photos)	Application decision	10 years	Destroy	Business requirement		Planners decided that 10 years was the appropriate, useful length of time to retain photos.
Application Processing	Committee	Planning Committee information other than committee reports (e.g. correspondence with interested parties re committee procedures) NPA to {ID} Committee report draft Committee report final Notice of Meeting Planning Advice Note Public Participation Form	Application decision	3 months	Destroy	Business requirement		Historical records only - not used since 2011 as recorded in Uniform. (Committee agendas and minutes are saved permanently elsewhere.)
Application Processing	Recommendation	Draft delegated / committee reports Delegated report draft Committee report draft Final delegated / committee reports Delegated report final Committee report final	Application decision	3 months	Retain in DMS	Business requirement		Retain for a short period only - information not needed post decision.
Application Processing	Plan	All plans relating to planning applications prior to determination - by nature temporary as the majority of plans will be approved / refused / superseded. Some plans for info only may remain. Plan {ID}; Location plan Site plan	Application decision	6 years	Destroy	Business requirement		Retain plans that are for info only for 6 years as they may be useful background information.

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Application Processing	Plan superseded	Superseded plans Plan {ID}	Application decision	3 months	Destroy	Business requirement		Not required after the application is decided but useful to retain until that point.
Application Processing	Plan approved	All approved plans Plan {ID}	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Plan refused	All refused plans Plan {ID}	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Document approved	Approved documents forming part of the planning decision Assessment {ID} Statement {ID} Report {ID} Specification {ID} Survey {ID}, Schedule {ID}	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Document refused	Refused documents forming part of the planning decision Any bespoke Development Description that forms part of the refused decision	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Draft Decision	Draft decision notice Decision (notice / letter / email / draft / final)	Application decision	3 months	Destroy	Business requirement		Retain for a short period because it is a word doc. & can be used to create a new decision notice in case of error.
Application Processing	Decision	All final decision notices and confirmation of withdrawal of any application Decision (notice / letter / email / draft / final)	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Decision	Notifications of planning decisions to interested parties (not actual decision notices) NPA notification to (applicant / agent / {CC} / contributor {ID})	Application decision	3 months	Destroy	Business requirement		Historical records only - since 2011 this information is recorded in Uniform.
Application Processing	Decision	NPA disposal of application & applications withdrawn by applicant / agent NPA notification of (withdrawal / disposal) to {ID} Withdrawal of application by (applicant / agent)	Application decision	6 years	Destroy	Historical value		Not required to be kept by statute but useful to retain in the medium term for info.
Application Processing	Legal Agreement	Legal agreement Legal agreement (draft / final) (Officer to delete draft(s) once agreement finalised)	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Referral	Referral of application to Historic Scotland / Scottish Ministers NPA to {ID} Acknowledgment from {ID} NPA notification to (applicant / agent / {CC} / contributor {ID})	Application decision	3 months	Destroy	Business requirement		Retain for a short period in case of inquiry. Information now recorded in Uniform so can be verified if necessary.
Application Processing	Referral	Response from Historic Scotland or Scottish Ministers to NPA referral Response from {ID}	Application decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Non Material Variation	Incidental correspondence re. application for non-material variation of approved development & draft report of handling Cover letter only from (applicant / agent) NPA to {ID} Delegated report draft	Determination of NMV application	3 months	Destroy	Business requirement		

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Application Processing	Non Material Variation	Ancillary information relating to NMV application Cover letter from (applicant / agent) with {supporting info ID} Correspondence from {ID}	Determination of NMV application	6 years	Destroy	Business Requirement		
Application Processing	Non Material Variation	<i>Information relating to an application for a Non-Material Variation</i> Delegated report final Decision (notice / letter / email / draft / final)	Determination of NMV application	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	Development Monitoring	<i>Information relating to development monitoring including discharge of conditions & initiation / completion of development notices</i> Cover letter only from (applicant / agent) Cover letter from (applicant / agent) with {supporting info ID}	Discharge of condition	6 years	Destroy	Business Requirement		
Application Processing	Development Monitoring	Correspondence from {ID} NPA to {ID} Notification of (Initiation/Completion) of Development Discharge of condition {ID}	Discharge of condition	Permanent (Photos delete after 10 years)	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs	
Application Processing	PRE Enquiry	<i>Pre-application enquiry / related information</i> Application (form / letter / email) Cover letter from (applicant / agent) with {supporting info ID} Correspondence from {ID} Plan {ID} Photos (submitted / officer)	Response Date	6 years (Photos delete after 10 years)	Destroy	Historical value	Government advice is to retain pre-application inquiry information that results in an application (transfer to application file). As it would be too time-consuming to sort through those that do and those that don't, keep all for 6 years and then delete because the information is likely to be out of date by then.	
Application Processing	PRE Response	<i>Pre-application response by NPA</i> Decision (notice / letter / email) All other photos not otherwise covered - mostly historical Photos (submitted / officer)	Response Date	6 years	Destroy	Historical value	As above	
Application Processing	Photo		Application decision	10 years	Destroy	Historical value	Determined that 10 years should be the retention period for all photographs	
Application Processing	Other	<i>Not in the public domain. Admin use for confidential info e.g. G/S request, fees</i> Bespoke Document Description	Application decision	0 years	Destroy	Business Requirement		
Application Processing	Appeal	<i>Planning Appeal / Review Decision</i>	Appeal decision	Permanent	Retain in DMS	Historical value	The Act 1997, s36	Duplicate of appeal decision for info in application file.
APPEALS	MODULE		Appeal decision	3 months	Destroy	Business Requirement		Retain for a short period in case of inquiry then destroy as key information is recorded in Uniform.
Appeals	Receipt and Validation	<i>All information relating to receipt and validation of an appeal or review</i> NPA review (acknowledgement / valid / invalid) Correspondence from {ID}						

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Appeals	Application	Appellant's substantial submission Notice of (appeal / review) form Statement (appeal / review) by {ID} DPEA (notification / correspondence) to {ID}	Appeal decision	10 years	Destroy	Business Requirement	The 1985 Act requires background papers be kept for 4 or 6 years (delegated or committee decisions respectively)	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Supporting Documents	Ancillary information provided by appellant/agent to LRB Correspondence from {ID} PARF Statement (appeal / review) by {ID} Assessment {ID} Report {ID} Plan {ID} Survey {ID} Specification {ID} Schedule {ID} Photos (submitted / officer)	Appeal decision	10 years	Destroy	Business Requirement	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Notification	Notification of appeal / review by DPEA / NPA to interested parties NPA (notification / correspondence) to {ID} NPA advert	Appeal decision	3 months	Destroy	Business Requirement	Retain for a short period in case of inquiry then destroy as this information is recorded in Uniform.	Retain for a short period in case of inquiry then destroy as this information is recorded in Uniform.
Appeals	Further Documentation	Comments from notified parties & other information (e.g. from application file) forming part of the appeal assessment Comments from {ID} (includes representations from third parties), DPEA (notification / correspondence) to {ID} Assessment {ID} Report {ID} Plan {ID} Specification {ID} Survey {ID} Photos (submitted / officer) Schedule 4 Conditions {ID}	Appeal decision	10 years	Destroy	Business Requirement	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Pre-examination meeting	Draft minutes re. pre-application meetings for complex review cases involving more than one procedure (rare) Minutes draft	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period only - information not needed post decision.	Retain for a short period only - information not needed post decision.
Appeals	Pre-examination meeting	Information relating to pre-examination meeting Agenda Minutes final NPA procedure notice NPA (notification / correspondence) to {ID} Correspondence from {ID}	Appeal decision	10 years	Destroy	Business Requirement	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Initial LRB meeting	Draft minutes re. Initial LRB meeting Minutes draft	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period only - information not needed post decision.	Retain for a short period only - information not needed post decision.

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Appeals	Initial LRB meeting	Initial LRB meeting (to decide the appeal or agree a further procedure)	Appeal decision	10 years	Destroy	Business requirement		The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Hearing	Agenda NPA (notification / correspondence) to {ID} Minutes final NPA procedure note	Draft minutes re. LRB / DPEA Hearing Session information Minutes draft	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period only - information not needed post decision.
Appeals	Hearing	Minutes final Hearing (statement/document) {ID}	LRB / DPEA Hearing Session information Agenda Minutes final	Appeal decision	10 years	Destroy	Business Requirement	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Inquiry	NPA (notification / correspondence) to {ID} DPEA (notification / correspondence) to {ID} Correspondence from {ID}	Draft minutes re. Inquiry Minutes draft	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period only - information not needed post decision.
Appeals	Inquiry	Information relating to an appeal/inquiry Agenda Preognition (summary / full) by {ID} Minutes final Assessment {ID}	Information relating to an appeal/inquiry Agenda Preognition (summary / full) by {ID} Minutes final Assessment {ID}	Appeal decision	10 years	Destroy	Business Requirement	The SCA generic planning schedule recommends a 10 year retention period. Decided 10 years in this case.
Appeals	Site Inspection	Report {ID} Plan {ID} Specification {ID} Survey {ID} Photos (submitted / officer) Schedule 4 Conditions {ID}	LRB site inspection NPA (notification/correspondence) to {ID} DPEA (notification / correspondence) to {ID} Correspondence from {ID}	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period only - information not needed post decision.
Appeals	Draft Decision	Draft LRB review decision Decision Notice draft	Draft LRB review decision Decision Notice draft	Appeal decision	3 months	Destroy	Business requirement	Retain for a short period because it is a word doc. & can be used to create a new decision notice in case of error.
Appeals	Decision	Appeal / review decision by DPEA / LRB Decision Notice final Intentions Decision Notice Expenses Decision Notice	Appeal / review decision by DPEA / LRB Decision Notice final Intentions Decision Notice Expenses Decision Notice	Appeal decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs
Appeals	Legal Agreement	Legal Agreement (draft / final) (Officer to delete all drafts once final signed off)	Legal Agreement (draft / final) (Officer to delete all drafts once final signed off)	Appeal decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs
Appeals	Court of Session (Appeal)	Information re. a court of session appeal Court Decision Court document {ID}	Court of Appeal decision	Court of Appeal decision	Permanent	Retain in DMS	Legal requirement	The Act 1997 & DM procedure regs
Appeals	Document Descriptions from explanatory	Public Comment, Support Comment, Consultee Comment, Objection Comment, Consultee Comment	Receipt & Validation stage	0 years	Destroy	Business requirement		These descriptions are entered by explanatory and changed by Admin to fit NPA naming convention.

Activity / Function	Sub-activity / Sub-function	Transaction / Description of record	Retention Period Trigger	Retention Period	Disposal Action	Authority / Reason / Citation	Legislative requirement	NOTES:
Enforcement	Projects	Project work e.g. advertisement management project, caravans.	Completion of project	6 years	Review and destroy information no longer useful or relevant	Business requirement		Retain key info for the duration of the project and key outcomes thereafter.
Enforcement	Licensing	Licensing information including s23/s50 certificate database, planning comments on licence applications	Ongoing	Permanent	Review and destroy ancillary information no longer useful or relevant	Business requirement		Database is in use on an ongoing basis. Planning comments on licence applications currently saved in Outlook archive (consider saving in DMS)
Enforcement	Monitoring	Monitoring folder containing mainly historical monitoring information (investigations, correspondence, photographs). Monitoring database in active use - to be retained	Receipt of Notice of Completion of Development	10 years	Review and destroy information no longer useful or relevant	Business requirement		
Records	Historical appeals	Appeals Application files	Application / Appeal Decision	Apply DMS retention schedule	Review / Destroy / Retain	Business & legal requirement	The Act 1997, s36	
Records	Inquiries	General planning inquiries	Response to inquiry	6 years	Destroy	Business requirement		Historical & current general inquiries - retain for a 6 year period following NPA response in case of inquiry, thereafter the information is likely to become outdated.
Records	History searches	Completed history searches	Response to request	6 years	Destroy	Business requirement		
Records	Old council files	Historical files	Application / Appeal Decision	Apply DMS retention schedule	Review / Destroy / Retain	Business & legal requirement	The Act 1997, s36	
Records	Records database	Historical application records	Ongoing	Permanent	Retain	Business requirement		Database in use on an ongoing basis - including file records, historical monitoring info, consultation requests, property history. (It does not include private personal data.)
Records	Planning reports database	Historical application reports	Ongoing	Permanent	Retain	Business requirement		Database in use on an ongoing basis - including file records, historical monitoring info, consultation requests, property history. (It does not include private personal data.)
Records	Section 75 Agreements DM procedure manual	Legal agreement information Current and draft new procedures	Signed a agreement Retain current manuals	Permanent	Review / Destroy / Retain	Legal requirement Business requirement		Passed to Legal Retain current manual information only

Function: Development Planning

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Local Development Planning	Habitats Regulation Assessments & Screenings Strategic Environmental Assessments & Screenings	end of current year	10 years	Destroy	Business requirement
Local Development Planning	Draft Local Development Plans and consultations on the drafts	superceded by final version	5 years	Destroy	Business requirement
Local Development Planning	Final Local development plans - including Development Plan Schemes, Policies, Action Programmes, Main Issues Report, consultations and Appendices			Permanent	Transfer to Archive
Local Development Planning	Draft Main issues Report - including associated documentation	superceded by final version	5 years	Destroy	Business requirement
Local Development Planning	Final Main Issues Report - Including associated documentation			Permanent	Transfer to Archive
Local Development Planning	Examination of local development plans including written submissions, hearings and enquiry	Completion of subsequent planning cycle	5 years	Review for re-use and historical value	Business requirement
Local Development Planning	Monitoring and review of Local Development Plans	Completion of subsequent planning cycle	5 years	Review for re-use and historical value	Business requirement
Supplementary Planning Guidance	Draft Supplementary Planning Guidance	superceded by final version	1 year	Destroy	Business requirement
Supplementary Planning Guidance	Final Supplementary Planning Guidance			Permanent	Transfer to Archive

Function: Environmental Management

Activity	Transaction	Retention Period/Trigger	Retention Period	Disposal Action	Reason/ Citation
Awareness and promotion	Greening Group records and promotional activities	End of current year	5 years	Destroy	Business requirement
Energy Management	Monitoring of the NPA's consumption of energy. (Reports, Statistics)	End of current year	5 years	Destroy	Business requirement

Function: Education & Inclusion

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Outreach and Inclusion	Outreach and inclusion initiatives, projects and activities	end of current year	5 years	Review for re-use and historical value	Business requirement
Outdoor Learning Programmes & Resource Development	Outdoor Learning Engagement programmes and projects including grants	end of current year	5 years	Review for re-use and historical value	Business requirement
Outdoor Learning Programmes & Resource Development	Curriculum for Excellence resources	end of current year	5 years	Review for re-use and historical value	Business requirement
Skills & Teacher Training	Skills development, training resources and projects	end of current year	5 years	Review for re-use and historical value	Business requirement

Function: Estates Management

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Access Route Management	Permissions & Consents, Work Schedules, Designs & Specifications, Repairs & Maintenance, Monitoring, Reports.	End of current year	5 years	Review for re-use and historical value	Business Requirement
Car Park Management	Permissions & Consents, Work Schedules, Designs & Specifications, Repairs & Maintenance, Monitoring, Reports, Security	End of current year	5 years	Review for re-use and historical value	Business Requirement
Construction works	Site Meetings, Work Instructions, Monitoring, Reports	End of current year	5 years	Review for re-use and historical value	Business Requirement
Grounds Maintenance	Agreements & Schedules, Location Plans, Inspections, Contractor Liaison	End of current year	5 years	Review for re-use and historical value	Business Requirement
Infrastructure Management	Acquisition & Disposals, Agreements & Schedules, Designs & Specifications, Location Plans, Inspectins, Repairs & Maitenance, Landowner Liaison, Contractor Liaison, Works Instructions, Monitoring, Reports	End of current year	5 years	Review for re-use and historical value	Business Requirement
Memorials	Requests, Liaison, Approvals, Installation, Memorials Registers, Inspections	End of current year	5 years	Review for re-use and historical value	Business Requirement
Remedial Works	Maintenance Meetings, Site Meetings, Work Instructions, Monitoring, Reports, Landowner Liaison	End of current year	5 years	Review for re-use and historical value	Business Requirement
Stock Management	Audits - Goods & Materials & Tool & Equipment, Purchases - Goods & Materials & Tool & Equipment, Repairs & Maintenance, Servicing	End of current year	5 years	Review for re-use and historical value	Business Requirement
Waste Management	Collection & Disposal, Waste Reduction, Waste Records, Inspections, Work Instructions	End of current year	5 years	Review for re-use and historical value	Business Requirement

Function: Facilities Management

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/Citation
Built Facilities	Fit out of a facility or refurbishment	Completion of fit out	10 years	Destroy	Business requirement
Built Facilities	Negotiation and acquisition or disposal of a property through purchase, lease, transfer, donation including surveys, valuations, correspondence and Title Deeds			Permanent Transfer to Archive	Business requirement
Built Facilities	Security monitoring, Investigations, Inspections, Access Controls (i.e. security passes, security date logs)	End of current year	5 years	Destroy	Business requirement
Built Facilities	Conduct and outcomes of an inspection of a facility by an enforcing authority and action taken to deal with matters raised	Completion of subsequent inspection	5 years	Destroy	Business requirement
Built Facilities	Planned routine or emergency maintenance and repairs to fixtures, fittings and interior decoration.	Completion of work	10 years	Destroy	Business requirement
Fleet Management	Negotiation and acquisition or disposal of a vehicle through purchase, lease, transfer, donation including valuations.	Disposal of the vehicle	7 years	Destroy	Business requirement
Fleet Management	Planned, routine or emergency repairs to vehicles including Road Tax, MOT and Servicing	Disposal of the vehicle	5 years	Destroy	Business requirement
Fleet Management	Monitoring of both driver and vehicle usage	End of current year	5 years	Destroy	Business requirement
Office Management	Forms, Contact Details, Stationery, Hospitality, ID Badges	End of current year	2 years	Review for re-use and historical value	Business Requirement
Logistics	Inventories of tools and equipments, stock control sheets, Requisitions, Uniforms	End of current year	2 years	Review for re-use and historical value	Business Requirement

Function: Finance Management

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
External reporting	Reports prepared for external bodies	End of current financial year	6 years	Destroy	Business requirement
Financial Transactions Management	Opening and closure and routine administration of bank accounts.	Closure of account	6 years	Destroy	Business requirement
Financial Transactions Management	Regular payment instructions for bank accounts.	Termination of instruction	6 years	Destroy	Business requirement
Financial Transactions Management	Deposits/withdrawals/transfer of funds.	End of current year financial year	6 years	Destroy	Business requirement
Financial Transactions Management	Processing and payment of purchase and sales invoices	End of current year financial year	6 years	Destroy	Legislative Requirement Taxes Management Act 1970.
Financial Transactions Management	Petty cash records	End of current year financial year	6 years	Destroy	Legislative Requirement Taxes Management Act 1970.
Financial Transactions Management	Processing and payment of expenses claims	End of current year financial year	6 years	Destroy	Legislative Requirement
Financial Transactions Management	Reports to government - Outputs	End of financial year request submitted	6 years	Destroy	Business requirement
Financial Transactions Management	Reports to government - preparatory records	End of financial year request submitted	6 years	Destroy	Business requirement
Financial Transactions Management	Internal recharging records	End of current financial year	6 years	Destroy	Business requirement
Financial Transactions Management	Deposits/withdrawals/transfer of funds.	End of current year financial year	6 years	Destroy	Business requirement
Financial Transactions Management	Management of the institution's financial investment portfolio	Divestment	6 years	Destroy	Business requirement
Financial Transactions Management	reconciliation records documenting processes that balance and reconcile financial accounts	Administrative use ends	6 years	Destroy	Business requirement
Financial Transactions Management	Refund records	End of financial year in which the records were created	6 years	Destroy	Business requirement
Management Accounting	Preparation of the NPA's annual capital and revenue budgets: consolidated budget	End of current year financial year	6 years	Review for re-use and historical value	Business requirement
Management Accounting	Budget planning processes including draft budgets, departmental budgets	End of current year financial year	3 years	Destroy	Business requirement
Management Accounting	Budget monitoring and actions to deal with variances: - consolidated annual budget reports	End of current year financial year	6 years	Destroy	Business requirement
Management Accounting	Budget monitoring and actions to deal with variances: - departmental budget reports; budget virement transfers	End of current year financial year	3 years	Destroy	Business requirement

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Taxation	Business Rates	End of current tax year	6 years	Destroy	Business requirement
Taxation	Rateable Properties		Permanent	Transfer to Archives	Business requirement
Taxation	Valuations	End of current tax year	Permanent	Transfer to Archives	Business requirement
Taxation	Preparation and submission of the NPA's tax returns.	End of current tax year	6 years	Destroy	Legislative Requirement Taxes Management Act 1970.

Function: Governance

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Audit Management	Internal & External Audit - Reports & Recommendations		Permanent	Transfer to Archive	Historical value
Board and Committee Management	Board & Committee remuneration and attendance monitoring Board & Committee Appointments Development/Training for Board & Committee members Register of interests	End of current year	10 years	Destroy	Business requirement
Board and Committee Management	Finalised papers for NPA Board Meetings, Committee Meetings and all other member sub groups, (i.e. Delivery Group, Strategy Group etc) Standing Orders Interim Committee records		Permanent	Transfer to Archive	Historical value
Information Management	Data protection - record of subject access request processing	End of current year	3 years	Destroy	Legislative Requirement (Data Protection Act 1988 c.29, s.7
Information Management	Data Protection - record of subject access request processing where appeal made to UK Information Commissioner	Outcome of appeal	6 years	Destroy	Legislative Requirement (Data Protection Act 1988 c.29, s.7
Information Management	Data Protection - Notification & Changes	End of current year	3 years	Destroy	Legislative Requirement (Data Protection Act 1988 c.29, s.7
Information Management	Data protection - General Compliance Records	End of current year	3 years	Destroy	Business requirement
Information Management	Freedom of Information processing of requests for information	Completion of request	3 years	Destroy	Legislative Requirement Freedom of Information (Scotland) Act 2002
Information Management	Freedom of Information processing of requests for information where appeal made to Scottish Information Commissioner	Outcome of appeal	6 years	Destroy	Legislative Requirement Freedom of Information (Scotland) Act 2002
Information Management	Environmental Information Regulations - processing of requests for information	Completion of request	3 years	Destroy	Legislative Requirement The Environmental (Scotland) Regulations 2004 SSI 2004/50
Information Management	Environmental Information Regulations - processing of requests for information where appeal made to Scottish Information Commissioner	Outcome of appeal	6 years	Destroy	Legislative Requirement The Environmental (Scotland) Regulations 2004 SSI 2004/50
Information Management	Complaints - case files	Last action on complaint	5 years	Destroy	Legislative Requirement Prescription & Limitation (Scotland) Act 1973 c52 and 1984 c.45
Information Management	Complaints - analysis	End of current year	5 years	Destroy	Business requirement

		Business requirement		
		End of current year	5 years	Destroy
Information Management	Complaints - Register			
Interim Committee	Records still to be defined			
Records Management	Classification Scheme Retention Schedule	End of current year until superceded	Review for re-use and historical value	Business requirement
Records Management	Archive Register	Permanent	Transfer to Archive	Historical value
Risk Management	Business continuity exercises and incidents including the Business Continuity Plan, Risk Assessments and Risk Registers	End of current year	5 years	Destroy
Risk Management	Liability insurance Details; including liability insurance, insurance certificates etc	Commencement/ Renewal of policy	40 years	Destroy
		Legislative Requirement Prescription and limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984.		

Function: Health & Safety

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Compliance Management	Audits and inspections	End of current year.	3 years	Destroy	Business Requirement
Compliance Management	Logs of control measures and reports	Date of last action.	10 years	Destroy	Legislative Requirement The Management of Health at Safety at Work Regulations 1992
Compliance Management	Risk assessment reports	Approval of assessment report	3 years	Destroy	Legislative Requirement The Management of Health at Safety at Work Regulations 1992.
Compliance Management	First Aid records	End of current year.	3 years	Destroy	Legislative Requirement Social Security (Claims and Payments) Regulations 1999; Social Security Administration Act 1992; and Health and Safety (First Aid) Regulations 1981.
Compliance Management	Fire Safety Manual Handling records	End of current year.	5 years	Review for re-use and archival	Business Requirement
Incident management	Accidents to adults - Investigations, Notifications & Reporting	Close of case	3 years	Destroy	Legislative Requirement Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 and the Social Security (Claims and Payments) Regulations 1979.
Incident management	Accidents to children - Investigations, Notifications & Reporting	Close of case	until the child reaches the age of 21 st .	Destroy	Legislative Requirement

Function: Human Resources

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Absence Management	Development , review, operation and monitoring of a workforce welfare service.	Termination of contract of employment	5 years	Destroy	Business Requirement
Absence Management	Individual employee's receipt of a welfare service by or on behalf of the NPA	Termination of contract of employment	5 years	Destroy	Business Requirement
Absence Management	Sickness Absence Reporting including monitoring	End of current tax year	3 years	Destroy	Legislative Requirement National Minimum Wage Regulations 199
Absence Management	Sickness records where major injuries were received at work	Termination of contract of employment	40 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1988
Employee Relations	All communications,consultations, negotiations with trade union representatives	End of current year	10 years	Review for re-use and historical value	Business Requirement
Employee Relations	Contract of employments; including changes to contract	Termination	6 years	Destroy	Business Requirement
Employee Relations	Disciplinary proceedings - unfounded	Date of decision not to proceed	6 years	Destroy	Business Requirement
Employee Relations	Disciplinary proceedings against the employee - ie where action is taken	Case closure	6 years	Destroy	Business Requirement
Employee Relations	Discipline - Final disciplinary warnings	Date of warning	18 months / 6 months after warning	Destroy	Business Requirement
Employee Relations	Discipline - Written disciplinary warnings	Date of warning	12 months	Destroy	Business Requirement
Employee Relations	Employee Records including; Name, DOB, Date of Appointment, Work history details, Titles & dates of posts held.	Date of birth	25 years	Destroy	Business Requirement
Employee Relations	Grievances taken out by an employee	Termination of contract of employment	6 years	Destroy	Business Requirement
Organisational Development	Course materials for training including evaluation/feedback	End of current year	2 years	Review for re-use and historical value	Business Requirement
Organisational Development	Individual training records - not related to training for work with children or vulnerable adults	Termination of employment	7 years	Destroy	Business Requirement

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Organisational Development	Strategic plans for learning and development opportunities for individual staff members	Date superseded	5 years	Destroy	Business Requirement
Organisational Development	Succession Planning - Development, Assessment and analysis of workforce requirements, and the identification and evaluation of options.	End of current year	3 years	Review for re-use and historical value	Business Requirement
Payroll and Pensions	P45 (Income tax - employee leaving)	End of employment	5 years	Destroy	Legislative Requirement Taxes Management Act 1970
Payroll and Pensions	P60	End of current year	2 years	Destroy	Legislative Requirement Taxes Management Act 1970
Payroll and Pensions	Payroll records - major records including copy payslips, payroll year end prints and cumulative salary listings	End of current tax year	6 years	Destroy	Legislative Requirement Income Tax (Employments) Regulations 1993; National Minimum Wage Regulations 1999; Taxes Management Act 1970; Prescription and Limitation (Scotland) Act 1973; and the Prescription and Limitation (Scotland) Act 1984
Payroll and Pensions	Payroll records - minor records including timesheets, monthly payroll prints	End of current year tax year	3 years	Destroy	Legislative Requirement
Payroll and Pensions	Pension payments	End of the current year after the date of payment	10 years	Destroy	Legislative Requirement Local Government Pension Scheme (Management and Investment of Funds) (Scotland) Amendment Regulations 2000
Payroll and Pensions	Pension scheme reports including accounts, returns, valuation	End of current year	6 years	Destroy	Legislative Requirement Taxes Management Act 1970 and the Income and Corporation Taxes Act 1998.
Payroll and Pensions	Statutory Maternity Pay scheme records including; include calculations, certificates (Mat B1s) or other medical evidence	End of the tax year tax year in which the maternity period ends	3 years	Destroy	Legislative Requirement Statutory Maternity Pay (General) Regulations 1996.

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Payroll and Pensions	Statutory Sick Pay scheme records including; calculations, certificates and self-certificates,	End of the tax year to which they relate	3 years	Destroy	Legislative Requirement Statutory Sick Pay (General) Regulations 1982.
Performance & Reward	Competencies for job roles	Superceded	5 years	Destroy	Business Requirement
Performance & Reward	Development of workforce performance assessment systems.	End of life of system	5 years	Destroy	Business Requirement
Performance & Reward	Individual performance assessment records	End of current year	5 years	Destroy	Business Requirement
Recruitment and Resourcing	Analyses of recruitment effectiveness e.g. use of advertising media.	Report approved	1 year	Destroy	Business Requirement
Recruitment and Resourcing	Individual Job Descriptions	Date superceded	5 years	Destroy	Business Requirement
Recruitment and Resourcing	Individual Job Evaluations	End of current year	1 year	Destroy	Business Requirement
Recruitment and Resourcing	Recruitment process - including application forms and interview notes and authorisations - unsuccessful candidates	End of recruitment process	6 months	Destroy	Legislative Requirement Data Protection Act 1998
Recruitment and Resourcing	Recruitment process - including application forms and interview notes and authorisations - successful candidates	End of recruitment process	6 years	Destroy	Legislative Requirement Data Protection Act 1998
Recruitment and Resourcing	Secondments for staff members	Termination of secondment	5 years	Destroy	Business Requirement

Function: Information and Communication Technologies

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
GIS Management	Management of GIS supported applications and system suppliers	Applications & systems obsolete	7 years	Destroy	Business requirement
GIS Management	Management of GIS Related data and data suppliers	Data no longer relevant	7 years	Destroy	Business requirement
GIS Management	Management of data supplies to contractors, partners or 3rd parties	Data no longer relevant	7 years	Destroy	Business requirement
System Development	Development and post-implementation modification of an ICT system.	Decommissioning of system	5 years	Review for re-use and historical value	Business requirement
System Development	Initial development of an ICT system which is not implemented.	Last action on development	5 years	Destroy	Business requirement
System Operations Management	Routine monitoring and testing of an ICT system, and action taken to rectify problems and optimise performance.	End of current year	1 year	Destroy	Business requirement
System Operations Management	Investigation of faults reported by users of an ICT system, and action taken to rectify problems.	Closure of investigation	3 years	Destroy	Business requirement
System Operations Management	Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines.	End of current year	1 year	Destroy	Business requirement
System Operations Management	Maintenance of software licence(s) for an ICT system.	Expiry/Termination of licence	5 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and 1984
System Operations Management	Management of an ICT System - system files	Decommissioning of system	5 years	Destroy	Business requirement
System Operations Management	Removal/return of mobile ICT systems, hardware & software from the NPA premises	Return of equipment	5 years	Destroy	Business requirement
System Operations Management	Arrangements for the sanitisation and disposal of institutional ICT equipment	Disposal of equipment	5 years	Destroy	Business requirement
System security management	Security protocols for an ICT system.	Decommissioning of system	5 years	Destroy	Business requirement
System security management	Opening, maintenance and closure of a user account for an ICT system.	Closure of account	1 year	Destroy	Business requirement
System security management	Routine monitoring of access to, and use of, an ICT system	End of current year	1 year	Destroy	Business requirement
System security management	Detection and investigation of security breaches of an ICT system, and action taken.	Last action on incident.	3 years	Destroy	Business requirement
System User Training & Support	Internal fault and change request logging and tracking	Close of call	1 year	Destroy	Business requirement
System User Training & Support	Development of technical and application training for ICT system users.	Superseded	1 year	Destroy	Business requirement

Function: Legal

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Claims	Legal claims by or against the NPA which do not proceed to litigation or settlement by agreement.	Settlement/ Withdrawal of claim	5 or 20 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984.
Contracts	Legal support for the negotiation, establishment and review of a contract to which the NPA is a party.	Termination or expiry of contract	5 or 20 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984.
Litigation	Conduct of litigation involving the NPA where no legal precedent was established.	Settlement of case	5 or 20 years	Review for re-use and historical value	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984.
Litigation	Conduct of litigation involving the NPA, where a legal precedent was established.		Permanent	Transfer to archives	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984
Opinions & Advice	Management of external legal advice	Last action	5 years	Review for re-use and historical value	Business requirement
Opinions & Advice	Provision of legal advice to NPA members and officers in relation to a specific NPA case.	Settlement of case or last action	5 or 20 years	Review for re-use and historical value	Business requirement
Property Documentation	Negotiations for the transfer of ownership of real property to or from the NPA, where no transfer was made.	Last action on case	5 years	Destroy	Business requirement
Property Documentation	Transfer of ownership of real property to or from the NPA.	Completion of conveyance	Permanent	Transfer to Archives	Business requirement
Bylaws	Enactment		Permanent	Transfer to Archives	Business requirement
Bylaws	Enforcement		5 years	Destroy	Business requirement
Land Registration	Land Charges - Searches, Registers	Date matter concluded	12 years	Destroy	Legislation Requirement & Limitation (Scotland) Act 1973 and 1984

Function: Outdoor Access & Recreation

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Access Management	Final Core Paths Plan - including Background Report Appendices, Strategic Environmental Assessments and maps Examination of the Core Paths Plan including written submissions, hearings and enquiry		Permanent	Transfer to archive	Historical value
Access Management	Action programmes delivered through the Core Paths Plan including progress reports	Completion of Action programme	10 years	Review for re-use and historical value	Business requirement
Access Management	General enquiries/Advice relating to core paths	End of current year	2 years	Destroy	Business Requirement
Access Management	Agenda's, minutes of meetings etc from the Access Forum	End of current year	5 years	Destroy	Business requirement
Access Management	Individual cases under the Countryside Rights of Way Act	Closure of case	10 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984
Access Management	Publications on legislation relating to Countryside Rights of Way Act	Superseded by new legislation	Permanent	Transfer to Archive	Historical value
Access Management	Individual cases under the Land Reform Act	Closure of case	10 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984
Access Management	Individual S11 applications which do not require NPA Board approval	Closure of case	5 years	Destroy	Business requirement
Access Management	Individual S11 applications which do require NPA Board approval	Closure of case	10 years	Destroy	Business requirement
Access Management	Publications on legislation relating to Land Reform Act	Superseded by new legislation	Permanent	Transfer to Archive	Historical value
Recreation Management	Final version of the Outdoor Recreation Plan - including Background Report Appendices, Strategic Environmental Assessments and maps Reports on progress against the Outdoor Recreation Plan and Action Programmes.		Permanent	Transfer to Archive	Historical value
Recreation Management	General enquiries/Provision of Advice	Completion of report	10 years	Review for re-use and historical value	Business requirement
Recreation Management		End of current year	2 years	Destroy	Business Requirement
Strategic Routes Management	Management Plans		Permanent	Transfer to archive	Business requirement

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Strategic Routes Management	Records documenting content for the WHW website	End of current year	5 years	Destroy	Business requirement
Strategic Routes Management	Funding proposals	End of current year	5 years	Destroy	Business requirement
Strategic Routes Management	General enquiries/Provision of Advice	End of current year	2 years	Destroy	Business Requirement
Strategic Routes Management	Records documenting maintenance plans and agreements	Superceded by new version	10 years	Destroy	Business requirement

Function: Procurement

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Contract Management	Management, monitoring and review of NPA contracts with external suppliers including contract variations records and Supplier Performance records	Termination or expiry of contract	6 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984.
Procurement Competition	Records involved in participation in Scottish and UK Collaborative Procurement	End of current year	6 years	Destroy	Legislative Requirement Public Contracts (Scotland) Regulations 2012
Procurement Competition	Quotes, issue of Tender invitations, handling of incoming tenders and related correspondence - successful or unsuccessful. Including negotiations and notification records	Termination or expiry of contract	6 years	Destroy	Business requirement
Procurement Competition	Tender evaluation, negotiation and notification records Tenders. Notifications. Standstill periods	End of contract	6 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973; the Prescription and Limitation (Scotland) Act 1984 and the Public Contracts (Scotland) Regulations 2012.
Procurement Competition	Business case/requisition; contract advertisement, statements of interest (successful); pre-qualification questionnaire (PQQ) and evaluation, draft and agreed specification, evaluation criteria, invitation to tender	End of contract	6 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973, the Prescription and Limitation (Scotland) Act 1984 and the Public Contracts (Scotland) Regulations 2012
Procurement Competition	Initial proposal - including Business case/requisition; contract advertisement, statements of interest (successful); pre-qualification questionnaire (PQQ) and evaluation, draft and agreed specification, evaluation criteria, invitation to tender - contract under seal	End of contract	20 years	Destroy	Legislative Requirement
Purchasing Administration	Purchase ordering records including Purchase orders; goods received notes	End of current financial year	6 years	Destroy	Legislative Requirement Prescription and Limitation (Scotland) Act 1973 and the Prescription and Limitation (Scotland) Act 1984
Purchasing Administration	Internal authorisations for procurement	End of current financial year	1 year	Destroy	Business requirement

Function: Visitor Experience - Tourism

Activity	Transactions	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Business Development	Communications and information with individual businesses	End of current year	10 years	Review for business and historical value	Business requirement
Business Development	Projects/Initiatives	Cross reference to "Corporate Management" for Project Management retention			
Business Development	Business Grant files, eg Business growth grants, start up grants, business investment grants	End of current year	10 years	Review for business and historical value	Business requirement
Destinations Development	Final Strategic Plans and Guidance			Transfer to Archive	Business requirement
Destinations Development	Projects/Initiatives	Cross reference to "Corporate Management" for Project Management retention			
Destinations Development	Research commissioned	Cross reference to "Corporate Management" for Research retention			
Promotion	Projects/Initiatives	Cross reference to "Corporate Management" for Project Management retention			

Function: Volunteering

Activity	Transaction	Retention Period Trigger	Retention Period	Disposal Action	Reason/ Citation
Recruitment	Application forms, Training, Induction records & Clothing requirements, Induction(Welcome packs)	expiry of contract	5 years	Destroy	Business Requirement
Volunteer Development	Strategies & Plans		Permanent	Transfer to Archive	Business Requirement
Volunteer Development	Working Group meetings and associated documentation		2 years	Destroy	Business Requirement
Volunteer Management	CERVIS Volunteer Management System Rota's, Resource Plans, Yearly Planners	Applications & systems obsolete		Review for re-use and historical value	Business Requirement

Element 5 – Retention schedule on internal Intranet

The screenshot shows a SharePoint 2010 interface for a 'Governance - All Documents' library. The left navigation pane includes links for 'Home', 'Resources' (with categories like 'Our Plans', 'Our Values and Behaviours', etc.), 'Documents', 'Library Tools', and 'Governance'. The main content area displays a table of documents with columns for Name and Modified. The table lists various policies and procedures, such as 'Anti-Fraud and Corruption Policy' (modified 31/01/2014 12:42), 'External Consultations Procedure' (31/01/2014 12:43), and 'Retention Schedule (v2.1)' (25/06/2014 15:29). The 'Retention Schedule' document is expanded to show its contents: 'Naming conventions and version control guidance' (08/07/2014 16:37), 'Project Management Guidance' (04/06/2015 12:26), 'EQUA Staff Guidance VI_0' (04/06/2015 12:34), 'Data Protection Policy' (10/07/2015 10:50), 'Information Security Policy' (10/07/2015 10:51), 'Unacceptable Behaviours Policy' (17/09/2015 15:51), 'Procedure for Managing Unacceptable Behaviour' (17/09/2015 15:51), and 'Claims Management Procedure' (15/11/2016 13:34).

Name	Modified
Anti-Fraud and Corruption Policy	31/01/2014 12:42
External Consultations Procedure	31/01/2014 12:43
Freedom of Information and Environmental Information	31/01/2014 12:43
Whistleblowing Policy	31/01/2014 12:45
Staff Data Protection FOI and EIR Training Slides	10/03/2014 09:19
Guidance for signing the attached Agreement	14/04/2014 21:45
Complaints Handling Procedure - Guide for Customers	26/05/2014 14:29
Complaints Handling Procedure - Quick Staff Guidance	26/05/2014 14:29
Complaints Handling Procedure - Staff Guidance	26/05/2014 14:29
Migration of documents to new network drive	06/06/2014 13:37
Retention Schedule (v2.1)	25/06/2014 15:29
Naming conventions and version control guidance	08/07/2014 16:37
Project Management Guidance	04/06/2015 12:26
EQUA Staff Guidance VI_0	04/06/2015 12:34
Data Protection Policy	10/07/2015 10:50
Information Security Policy	10/07/2015 10:51
Unacceptable Behaviours Policy	17/09/2015 15:51
Procedure for Managing Unacceptable Behaviour	17/09/2015 15:51
Claims Management Procedure	15/11/2016 13:34



Element 6 Destruction Arrangements

ICT statement on destruction arrangements for the disposal of the Park Authority's public records

As part of the Park Authority's records management plan, records that are no longer required are securely disposed of in accordance with Section 1 of the Public Records (Scotland) Act 2011.

For hard copy records, confidential waste bins are provided for staff. Electronic shredding machine facilities are also available. The Park Authority has a contract with the waste disposal company 'Shred-it' who are employed to provide a secure off-site shredding service. All records taken for off-site shredding is shredded within 24 hours of collection without being sorted. Immediately after destruction, the Park Authority is sent a certificate of destruction, showing the time and number of units destroyed.

Electronic records are backed up on servers on a daily and weekly basis and copied on to tapes on a monthly basis. Off-site secure storage facilities are used to protect the tapes, which can then be completely overwritten and re-used as part of the monthly server backup process.

Stevie Thomson
ICT Systems Manager
Loch Lomond and the Trossachs National Park Authority

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

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Printed on paper sourced from certified sustainable forests



**Customer Reference:
307602**

CCL Job No: C27996

Confirmation of Secure Destruction

Collected From:

**NVT, c/o Loch Lomond & Trossachs, National Park, Carrochan, 20
Carrochan Road, Balloch, G83 8EG**

Description of Equipment:

2 Plasma Televisions, 25 Computers, 1 Server, 7 Laptops, Cables, Telephones, 2 Loose Hard Drives

Destruction Method:

All data bearing devices removed and shredded. All other equipment dismantled for base material recycling.

Carried Out By:

CCL (North) Ltd.

1 Dunlop Drive, Meadowhead Industrial Estate, Irvine, KA11 5AU

REUSE, RECYCLE, RELAX
IT'S WHAT WE DO

Data Retention Forecast and Compliance Report

Report 9.0.0(BUILD84) generated on 09/14/2016 12:31:36

CommCell ID: F6EE8

CommCell: commserve

-- Report Criteria --

- Agent Types:All
- Storage Policy (Copy):All
- Locale:English

Disk Media Summary				
Library	Storage Policy/ Copy Name	Media	MB to Free	MB to Keep
LL Maglib	CommServeDR(commvaultmedia1) / Primary (Primary)	F:\	0.00	12798.45
		I:\	0.00	35629.50
		K:\	0.00	24410.52
		L:\	0.00	18346.10
		M:\	0.00	11172.14
		N:\	0.00	6669.76
		O:\	0.00	2220.28
		P:\	0.00	24492.88
	SP_Compliance / Primary (Primary)	F:\	0.00	14092.98
		I:\	0.00	27959.93
		K:\	0.00	23985.85
		L:\	0.00	17278.38
		M:\	0.00	22035.23
		N:\	0.00	15622.45
		O:\	0.00	6624.70
		P:\	0.00	2328.21
		R:\	0.00	13215.86
	DDB_SP_Backups_Live / Primary (Primary)	F:\	110.10	4516897.85
		G:\	0.00	177459.98
		I:\	228.51	9787865.70
		K:\	180.73	11700871.96
		L:\	91.40	5203397.27
		M:\	76.86	8064033.51
		N:\	116.97	4159069.48
		O:\	72.71	1935340.69
		P:\	110.10	6147746.70
		Q:\	0.00	78820.92



Off-Site Shredding

Shred-it can provide a secure off-site shredding service. All off-site destruction will be carried out in accordance to BS EN15713 Standard Shred Level 3 – 15mm.

Every Shred-it solution follows the same secure process. From the moment your materials are deposited into our secure units, to when they are destroyed by a security vetted Customer Service Representative, our off-site document destruction solution provides an end-to-end chain of security for your information. Our consistent process, end-to-end chain of security and Certificate of Destruction help to ensure you are compliant and gives you peace of mind that your confidential materials have been destroyed securely.



A Shred-it Customer Service Representative vetted to BS 7858:2006 Standard who will be wearing the distinctive Shred-it uniform and carrying photo identification will arrive at your location on the pre-agreed date in one of our specially adapted logo marked collection vehicles. On arrival our Customer Service Representative will make contact with the designated site contact and collect the confidential material from our secure consoles or from a central storage location. The material would be scanned by our hand held device at this point and then the Shred-it Customer Service Representative will walk the pre-agreed route back to the secure vehicle. Once unlocked, our Customer Service Representative will move the material into the vehicle, making sure they scan the collection again. Once this has been done, our Customer Service Representative will ensure the truck is locked and no access can be gained.

Our Customer Service Representative will then return to the building and obtain a signature using the hand held device for the collection, at this point he will issue the site contact with a copy of Shred-it's service order detailing the quantity of bags securely taken off-site, giving you a transparent auditable trail.

When the Shred-it Customer Service Representative has completed his collections the vehicle will be returned to the Shred-it 24 hour alarmed service centre. Here the Customer Service Representative will reverse to the security cage and turn off the vehicle and close the shutter doors. All the confidential material is then transferred to a secure cage within our CCTV monitored warehouse which fully complies with BS EN 15713 Standard. The Customer Service Representative will scan the collection again at this point, maintaining the chain-of-custody. Here the job is placed ready for shredding.



All confidential information taken off-site is shredded with 24 hours of collection without being sorted.

Immediately after destruction the Certificate of Destruction is sent your location showing the time and number of units destroyed.

Shred-it can confirm that you can audit this procedure giving Shred-it 2 working days' notice.





Element 7 – Archiving and transfer arrangements

Correspondence with the National Archives of Scotland

From: @nrscotland.gov.uk [mailto:r@nrscotland.gov.uk]

Sent: 26 September 2016 13:00

To: Information Officer

Cc: d@nrscotland.gov.uk

Subject: RE: Public Records (Scotland) Act - Glasgow Surgery

As promised last week, please find our standard guidance on archiving.

I've attached:

- The generic guidance on the kind of information which is usually suitable for permanent preservation
- Information about transfer processes
- Guidance on transfer of Born Digital records (still marked as draft, but that's a long story)
- The MoU template

Hopefully this makes some kind of sense, but please feel free to call if you have any questions!

As mentioned last week, we usually find it really valuable to meet in person and go over this. We also find these meetings a very useful way of finding out more about the records you create.

Depending on timescales with your RMP and BCS/Retention Schedules, a meeting can wait – it's usually better to wait until you've made progress in these areas before trying to work out what we might take longer term. So just let us know what stage you're at and we can agree the best way to take this forward.

(also at the Surgery last week) will be your Client Manager. However, I think I mentioned that we'd been understaffed for a while; this is probably going to get worse before it gets better, so there's a chance it won't permanently be when we (hopefully) get some more staff we'll need to reassess some client manager responsibilities. But that may not be for several months.

I hope this all makes sense, but just let me know if there's anything else we can do to help.

Kind regards,

Senior Inspecting Officer

National Records of Scotland | Government Records Branch | West Register House | Charlotte Square | Edinburgh EH2 4DJ

@nrscotland.gov.uk | www.nrscotland.gov.uk

Preserving the past | Recording the present | Informing the future

From: Information Officer

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N
t: 01389 722600 f: 01389 722633 e: info@lochlomond-trossachs.org w: lochlomond-trossachs.org

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Page 1 of 2

Sent: 28 September 2016 09:42
To: @nrscotland.gov.uk'
Cc: Governance Manager
Subject: Public Records (Scotland) Act - Glasgow Surgery

Thank you for all of the information you have provided, it's really helpful. I would be happy to meet up with you in early January, as this gives me time to complete the review of the business classification scheme and to do more work on the retention schedule. In terms of legacy records, we have some planning files that were inherited from the four local authorities within the National Park area when we were set up in 2002, but relative to other organisations we certainly don't have warehouses full of files thankfully!

Would you like to suggest a date in January for us to meet? I'm happy to come through to Edinburgh, and you're most welcome to come through to Balloch, whatever suits you best. I will follow up with you again when I've read through the MOU template and I will send you more detailed information about our records before Christmas.

Kind regards

Information Officer

Loch Lomond & The Trossachs National Park

www.lochlomond-trossachs.org

www.twitter.com/lomondtrossachs

www.facebook.com/lomondtrossachs

From: [@nrscotland.gov.uk](#) [mailto:[@nrscotland.gov.uk](#)]

Sent: 17 January 2017 08:37

To: Information Officer

Subject: RE: Meeting on Monday

It was nice to meet you yesterday, I hope you had a safe journey home. As promised here is our questionnaire. If you could look over it and give us any feedback that would be great. Thanks in advance.

Inspecting Officer

National Records of Scotland | Government Records Branch | West Register House | Charlotte Square | Edinburgh EH2 4DJ

@nrscotland.gov.uk | www.nrscotland.gov.uk

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National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N
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Page 2 of 2



IT Policy

IT Policy

Version: May 2012
Owner: ICT / Corporate Services

IT Policy

IT Policy

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IT Policy

1.0 Purpose & Scope

This policy outlines what constitutes appropriate and inappropriate use of Loch Lomond & the Trossachs National Park Authority's (LLTNPA's) internet, e-mail and telephone systems and services.

LLTNPA's internet, e-mail & telephone systems are critical business tools used by staff and other authorised individuals to assist in delivering the organisation's objectives.

The purpose of this policy is to:

- Ensure that all users of these systems and services are aware of the criteria for their appropriate use;
- Prevent or minimize disruptions to services and activities for all users of these systems;
- Comply with applicable policies and laws governing Information and Communication Technology (ICT) use;
- Outline the circumstances in which we will monitor use of these systems
- The action we will take in respect of breaches of these standards.

The LLTNPA's electronic Internet E-mail & Telephone systems and services must be used with respect and in accordance with the goals of LLTNPA. This policy applies to:

- All internet e-mail & telephone systems and services owned by LLTNPA; and
- All internet, e-mail and telephone account users/holders at LLTNPA (both temporary and permanent).

Use of these services and systems are subject to the conditions outlined in this policy document.

2.0 Principles

- The Authority encourages its employees to use email, telephony and the internet at work where this can save time and expense. However, it requires that employees follow the rules below. It is a term of each employee's contract that he/she complies with these rules, and any serious breach could lead to dismissal. Any employee who is unsure about whether something he/she proposes to do might breach this email and internet policy should seek advice from his/her manager.
- Although the Authority encourages the use of email, telephony and the internet where appropriate, their use entails some risks. For example, employees must take care not to introduce viruses on to the system and must take proper account of the security advice below. Employees must also ensure that they do not send libellous statements in emails as the Authority could be liable for damages.
- These rules are designed to minimise the legal risks to the Authority when its employees use email at work and access the internet. Where something is not specifically covered in this policy, employees should seek advice from their manager.

IT Policy

- Technology and the law change regularly and this policy will be updated to account for changes as and when necessary. Employees will be informed when the policy has changed but it is their responsibility to read the latest version of this document

3.0 Account Activation/Termination

Access to all ICT systems (internet, e-mail & telephone) is controlled through individual accounts and passwords. **It is the responsibility of each system user to protect the confidentiality of their account and password information.** Passwords are unique to each user and must be changed regularly to ensure confidentiality.

All employees of LLTNPA will receive an internet, e-mail & telephone account, at the start of their employment contract. This is arranged by the line/contract manager through liaison with the HR and IT Managers. Non-employees that may be eligible for these accounts and access to systems on a case by case basis.

Applications for these temporary accounts must be approved by a Senior Manager in the first instance and a request made to the IT Manager.

System accounts are terminated when the employee or third party completes their contract or association with LLTNPA. LLTNPA is under no obligation to store or forward the contents of an individual's e-mail inbox/outbox after the term of their contract has ceased.

4.0 Account Security

Access to internet, e-mail & telephone systems is controlled through individual accounts and passwords. Staff are responsible for the security of the equipment allocated to or used by them, and must not allow it to be used by anyone other than in accordance with this policy. For security and confidentiality purposes, users must not share account or password information with another person. Similarly users are prohibited from attempting to access the account of another system user.

Attempting to obtain another user's account password is strictly prohibited. A user must contact the IT help desk to obtain a password reset if they have reason to believe that any unauthorized person has learned their password. Users must take all necessary precautions to prevent unauthorized access to internet, e-mail & telephone services via their account. Each user's internet and e-mail activity is logged and archived on a real-time basis against the individuals user account.

Staff should not delete, destroy or modify existing systems, programs, information or data which could have the effect of harming our business or exposing it to risk.

IT Policy

No device or equipment should be attached to our systems without the prior approval of the IT department. This includes any USB flash drive, MP3 or similar device, PDA or telephone. It also includes use of the USB port, infra-red connection port or any other PC port.

5.0 Appropriate Use of E-Mail System and the Internet

Loch Lomond and the Trossachs National Park Authority uses e-mail as one of the tools to deliver important official communications. Therefore users are expected to check their e-mail in a consistent and timely manner to be aware of important announcements and updates. Staff should ensure that they access their e-mails at least once every working day, stay in touch by remote access when travelling and use an out of office response when away from the office for more than a day.

E-mail users are responsible for mailbox management, including organization and clearing. Any users subscribing to a mailing list, must be aware of how to unsubscribe, and must do so in the event of a change of e-mail address.

Any e-mail sent from a LLTNPA address reflects and represents the organisation. When communicating by e-mail, users must remain aware of the need to comply with standards of professional conduct and courtesy as well as following the organisation's brand guidelines (the intranet provides details of how to set up a standard e-mail signature block).

E-mail and internet systems are available for uses which further the goals and objectives of LLTNPA. Types of use considered appropriate in this context include:

1. Communicating with staff, LLTNPA partners, clients, suppliers or other appropriate contacts within the context of an individual's responsibilities;
2. Researching or sharing information necessary or related to the performance of a individual's responsibilities;
3. Participating in educational or professional development activities; and
4. Participating in actions that contribute to achieving LLTNPA objectives.

LLTNPA permits the incidental use of internet, email and telephone systems to send personal e-mail, browse the internet and make personal telephone calls subject to certain conditions set out below. Personal use is a privilege and not a right. It must be neither abused nor overused and we reserve the right to withdraw our permission at any time.

The following conditions must be met for personal usage to continue:

1. use must be minimal and take place substantially out of normal working hours (that is, during lunch hours, before 8:30 am or after 6.00pm);
2. personal e-mails must be labeled "personal" in the subject header;
3. use must not interfere with business or office commitments; and

IT Policy

4. use should not commit the organization to additional cost over and above the cost required to supply these systems for work purpose.

Loch Lomond & the Trossachs National Park Authority allows limited personal use to Internet services such as personal webmail, shopping and social networking sites. Access to these sites is limited between the hours of 12:00pm to 14:00 pm. Access to social networking sites can be allowed if it is confirmed to be an inherent part of an employee's role by an appropriate manager.

6.0 Inappropriate Use of E-Mail System and the Internet

LLTNPA's e-mail systems and services are not to be used for purposes that could be expected to strain storage or bandwidth e.g. e-mailing large attachments instead of pointing to a location on a shared drive

Personal individual e-mail or internet use should not interfere with the business use of these resources by others.

Users must not use e-mail or the internet for inappropriate or unlawful purposes. This includes, but is not limited to, the following:

1. Copyright infringement, obscenity, libel, slander, fraud, defamation, plagiarism, harassment, intimidation, forgery, impersonation, illegal gambling, soliciting for illegal pyramid schemes and computer tampering (e.g. spreading computer viruses).
2. Personal business for commercial purposes.
3. Use of e-mail for transmitting messages or jokes that may be deemed obscene, profane or offensive or create an intimidating or hostile work environment.
4. Use which in any way violates LLTNPA policies, is inconsistent with the aims of, or misrepresents the organization or codes of conduct.
5. Subscription to non-business related internet sites or mailing lists.
6. Mass unsolicited mailings, access for non-employees to LLTNPA resources or network facilities, uploading and downloading of files for personal use, political campaigning, access to pornographic sites (which for the avoidance of any doubt includes any nudity), gaming, competitive commercial activity (unless pre-approved by LLTNPA), and the dissemination of chain letters.
7. Use of LLTNPA computers as participants in any peer-to-peer network (e.g. Skype) unless approved by management.
8. Use of e-mail or the internet to view, copy alter destroy data, software, files, or data communications belonging to LLTNPA or another individual without authorisation
9. Forwarding files, data or information inappropriately (particularly information which may be considered to contain sensitive internal information) to others including persons external to the organization without appropriate authorization.

IT Policy

10. Opening e-mail attachments from unknown or unsigned sources. Attachments are the primary source of computer viruses and should be treated with caution; if unsure of an e-mail's validity, forward the e-mail to spam@lochlomond-trossachs.org. The IT team will scan the email and return to sender if virus check is clear.

In the interest of maintaining network performance, users should not send unreasonably large electronic mail attachments or video files, unless required for business purposes. The total size of an individual e-mail message sent (including attachment) should be 10Mb's or less.

7.0 Appropriate Use of Telephone Resources

As with all business resources, the use of telephone and voicemail systems should be as cost effective as possible and in keeping with the objectives of LLTNPA. All users of these systems must operate within the following policy guidelines:

1. All telephones, equipment, voicemail boxes, and messages contained within voicemail boxes are the property of LLTNPA.
2. The IT Department is responsible for installation and repair of all LLTNPA telephone equipment and administration of telephone and voicemail accounts.
3. Managers are responsible for overseeing use and policy compliance, as well as ensuring IT is notified of any changes required to these services.
4. All staff will be assigned a direct line with an associated extension and have access to a dedicated voicemail box.
5. Telephone calls made should be limited in number and duration to those necessary for effective conduct of business.
6. All voicemail boxes will be protected with a PIN (personal identification number). PINs must not be shared with others.
7. Voicemail is to be used as a backup in the event you are not available to answer a call, and should not be used to "screen" calls. Each user is expected to respond to voicemail messages in a timely manner.
8. Users should ensure that voicemail greetings reflect their accessibility, and advise callers of alternate contacts if applicable (e.g. for periods of absence or working away from the office).
9. Use of directory assistance (i.e. 118 ***) should be avoided since a fee is incurred with each use. If unsure of a number, please consult telephone directories first.
10. Use of premium rate numbers should be avoided unless deemed absolutely necessary.

IT Policy

8.0 Inappropriate Use of Telephone Services

LLTNPA's telephone and voicemail services may not be used for the following:

1. Transmitting obscene, profane, or offensive messages.
2. Transmitting messages or jokes that violate Dignity at Work policy or create an intimidating or hostile work environment.
3. Unauthorized use of a PIN to access another user's voicemail box.
4. Broadcasting unsolicited personal views on social, political, or other non-business related matters.
5. Soliciting to buy or sell goods or services unrelated to LLTNPA
6. Making personal long-distance/international phone calls without permission.

9.0 Limited Personal Acceptable Use

In general, limited personal use of telephone and voicemail services is allowed, but must be restricted to a reasonable frequency and duration which does not interfere with the performance of business duties or consume significant resource. Use must be minimal and unless unavoidable take place substantially out of normal working hours (that is, during lunch hours, before 8:30 am or after 6.00pm);

10.0 Monitoring and Confidentiality of Internet, E-mail & Telephone Resources

LLTNPA may monitor any activity occurring on business systems or accounts. LLTNPA uses filtering software to limit access to certain sites on the Internet. If any activities are discovered which breach any law or organisational policy, records retrieved may be used to document the wrongful content in accordance with due process.

As owners of these services, LLTNPA has the right to monitor e-mail traffic passing through its systems. Monitoring activity may include, but is not limited to, review by the legal team during the e-mail discovery phase of litigation, or observation by management in cases of suspected abuse. There is also a possibility that IT staff may inadvertently read e-mails during the normal course of managing the e-mail system.

If LLTNPA discovers or has good reason to suspect activities that breach applicable laws or this policy, e-mail records may be retrieved and used to document the activity in accordance with due process. All reasonable efforts will be made to notify an employee if his or her e-mail records are to be reviewed. Notification may not be possible, however, if the employee cannot be contacted, for example if on leave.

IT Policy

Users should exercise extreme caution when communicating confidential or sensitive information via e-mail. Users should keep in mind that all e-mail messages sent outside of LLTNPA become the property of the receiver and may subsequently be made public. Demonstrate particular care when using the "Reply" command to ensure the resulting message is not delivered to unintended recipients.

11.0 Reporting Misuse of Systems

Any allegations of system misuse should be promptly reported to the IT Helpdesk either by e-mail at ithelpdesk@lochlomond-trossachs.org or alternatively by phone on 01389 722673.

If you receive an offensive e-mail, do not forward, delete, or reply to the message, but report it to the IT Help Desk.

12.0 Failure to Comply with this Policy

A reported breach of this policy will be addressed in the same way as any other allegation of misconduct at LLTNPA and will be handled within the appropriate HR policy. Sanctions for proven inappropriate use on LLTNPA's e-mail, telephone and internet services may include, but are not limited to, one or more of the following:

1. Temporary or permanent revocation of internet, e-mail or telephone access.
2. Disciplinary action in line with applicable LLTNPA policies.
3. Legal action according to applicable laws and contractual agreements.

13.0 Monitoring & Review

LLTNPA will monitor and review this procedure to reflect organisational needs, experience and statutory obligations as necessary.

Element 8 – Staff access to IT Policy and Information Security Policy on internal Intranet

The screenshot shows a SharePoint 2010 intranet page titled 'ICT - All Documents'. The browser address bar displays the URL: <http://sharepoint2010/Resources/ICT/Forms/AllItems.aspx>. The page header includes the LUMOND & THE TROSSACHS NATIONAL PARK logo, Site Actions, Library Tools, and navigation links for PEOPLE AND TEAMS, PARK LIFE, RESOURCES, and MY SITE. The top right corner shows a welcome message for 'Linda Baird'. The main content area shows a list of documents in the 'ICT' library, with columns for Name and Modified. The documents listed are:

Name	Modified
GIS Helpdesk and Project Request	31/01/2014 13:14
IT Policy	31/01/2014 13:15
Remote Access to National Park Systems	31/01/2014 13:15

The left sidebar contains a navigation menu under the 'Resources' category, listing items such as Our Plans, Our Values and Behaviours, Policies, Procedures & Guidance, Corporate Templates, Brand Guidelines, Staff Induction, Health and Safety, Learning and Development, Internal Request Forms, and External Links.

http://sharepoint2010/Resources/Corporate%20Governance/Form Governance - A... Accessing your pe... (8 unread) - laura... Laura Baird

Site Actions Browse Library Tools

Documents Library PEOPLE AND TEAMS PARK LIFE RESOURCES MY SITE

Home Governance All Documents

Resources

- Our Plans
- Our Values and Behaviours
- Policies, Procedures & Guidance
- Corporate Templates
- Brand Guidelines
- Staff Induction
- Health and Safety
- Learning and Development
- Internal Request Forms
- External Links
- News and External Consultations
- Park Central Admin

<input type="checkbox"/> Name	Modified
Anti-Fraud and Corruption Policy	31/01/2014 12:42
External Consultations Procedure	31/01/2014 12:43
Freedom of Information and Environmental Information	31/01/2014 12:43
Whistleblowing Policy	31/01/2014 12:45
Staff Data Protection FOI and EIR Training Slides	10/03/2014 09:19
Guidance for signing the attached Agreement	14/04/2014 21:45
Complaints Handling Procedure - Guide for Customers	26/05/2014 14:29
<input type="checkbox"/> Complaints Handling Procedure - Quick Staff Guidance	26/05/2014 14:29
Complaints Handling Procedure - Staff Guidance	26/05/2014 14:29
Migration of documents to new network drive	06/06/2014 13:57
Retention Schedule (V2.1)	25/06/2014 15:29
Harming conventions and version control guidance	08/07/2014 16:37
Project Management Guidance	04/06/2015 12:26
EQIA Staff Guidance V1_0	04/06/2015 12:34
Data Protection Policy	10/07/2015 10:50
Records Management Policy	10/07/2015 10:50
Information Security Policy	10/07/2015 10:51
Unacceptable Behaviours Policy	17/09/2015 15:51
Procedure for Managing Unacceptable Behaviour	17/09/2015 15:51

13:24 13/10/2016

Element 9

Screen shot from internal staff Intranet showing link to Data Protection Policy

Home

Resources

Our Plans

Our Values and Behaviours

Policies, Procedures & Guidance

Corporate Templates

Brand Guidelines

Staff Induction

Health and Safety

Learning and Development

Internal Request Forms

External Links

News and External Consultations

Park Central Admin

Governance > All Documents

Name	Modified	Modified By
Anti-Fraud and Corruption Policy	31/01/2014 12:42	
External Consultations Procedure	31/01/2014 12:43	
Freedom of Information and Environmental Information	31/01/2014 12:43	
Whistleblowing Policy	31/01/2014 12:45	
Staff Data Protection FOI and EJR Training Slides	10/03/2014 09:19	
Guidance for signing the attached Agreement	14/04/2014 21:45	
Complaints Handling Procedure - Guide for Customers	26/05/2014 14:29	
Complaints Handling Procedure - Quick Staff Guidance	26/05/2014 14:29	
Complaints Handling Procedure - Staff Guidance	26/05/2014 14:29	
Migration of documents to new network drive	06/06/2014 13:57	
Retention Schedule (V2.1)	25/06/2014 15:29	
Naming conventions and version control guidance	08/07/2014 16:37	
Project Management Guidance	04/06/2015 12:26	
EQIA Staff Guidance V1_0	04/06/2015 12:34	
Data Protection Policy	10/07/2015 10:50	
Records Management Policy	10/07/2015 10:50	
Information Security Policy	10/07/2015 10:51	
Unacceptable Behaviours Policy	17/09/2015 15:51	
Procedure for Managing Unacceptable Behaviour	17/09/2015 15:51	

11:56
13/10/2015



If you'd like to make a request for any personal information we hold about you, please make your request in writing to the following address:

Information Officer
Loch Lomond & The Trossachs National Park Authority
Carrochan
Carrochan Road
Ballock
G83 8EG

Or via email to info@lochlomond-trossachs.org

Your request should include a contact address and documentary evidence of your identity (e.g. copies of your driving licence, passport or birth certificate). Please don't send us original documents. Please also provide as many details as possible about the information you're asking for.

There's a £10 fee for any Subject Access Request and that fee must be paid before any information is supplied. We reserve the right to refuse to release information where the fee has not been paid.

If we need more information to help find your information or identify you, we will ask. When we've received your £10 payment, confirmation of your identify, and we have all the necessary information, your request will be processed and a response will be sent to you within 40 calendar days.



ico. Data Protection Register - Entry Details

Information Commissioner's Office

Registration Number: Z6815521

Date Registered: 24 June 2003 **Registration Expires:** 23 June 2017

Data Controller: Loch Lomond & The Trossachs National Park Authority

Address:

Carrochan
20 Carrochan Road
Ballock
Alexandria
Dunbartonshire
G83 8EG

This register entry describes, in very general terms, the personal data being processed by:

Loch Lomond & The Trossachs National Park Authority

Nature of work - National Park Authority

Description of processing

The following is a broad description of the way this organisation/data controller processes personal information. To understand how your own personal information is processed you may need to refer to any personal communications you have received, check any privacy notices the organisation has provided or contact the organisation to ask about your personal circumstances.

Reasons/purposes for processing information

We process personal information to enable us to promote our goods and services, to maintain our accounts and records, to support and manage our staff and guiding and setting the direction for the National Park.

Type/classes of information processed

We process information relevant to the above reasons/purposes. This may include:

- personal details
- family, lifestyle and social circumstances
- financial details
- employment and education details
- goods or services provided

We also process sensitive classes of information that may include:

- physical or mental health details
- racial or ethnic origin
- religious or other beliefs of a similar nature
- trade union membership

Who the information is processed about

We process personal information about our:

- employees
- customers and clients
- suppliers and services providers
- advisers, consultants and other professional experts
- complainants and enquirers

Who the information may be shared with

We sometimes need to share the personal information we process with the individual themselves and also with other organisations. Where this is necessary we are required to comply with all aspects of the Data Protection Act (DPA). What follows is a description of the types of organisations we may need to share some of the personal information we process with for one or more reasons.

Where necessary or required we share information with:

- family, associates and representatives of the person whose personal data we are processing
- employment and recruitment agencies
- current, past and prospective employers
- educators and examining bodies
- central government
- credit reference agencies
- suppliers and service providers
- debt collection and tracing agencies
- financial organisations

Transfers

It may sometimes be necessary to transfer personal information overseas. When this is needed information is only shared within the European Economic Area (EEA). Any transfers made will be in full compliance with all aspects of the data protection act.

© Copyright

Park Authority Staff Training
**Data Protection
&
Freedom of Information**

DATA PROTECTION

- Data Protection Act 1998
- Covers “personal data” and “sensitive personal data”
- Information recorded as part of a “relevant filing system” or recorded information “held by a public authority”

RIGHTS OF ‘DATA SUBJECTS’

- Subject Access Requests
- Direct Marketing

8 Data Protection Principles

- Fair and lawful use
- Obtained for one or more specified purpose
- Adequate, relevant and not excessive
- Accurate and kept up to date
- Not kept for longer than necessary
- Processed in accordance with data subject’s rights
- Stored securely
- Not transferred outside the EEA

DATA PROTECTION – EXEMPTIONS

- There are some cases where personal information will be given out:
 - Criminal investigations
 - Court cases

DATA PROTECTION IN PRACTICE

- Case Study 1: Specification of documents
- Case Study 2: Details of suspected offenders
- Case Study 3: Customer contact details

DATA SECURITY

- Major role for IT – appropriate measures
- Other staff:-
 - Appropriate access / password sharing
 - Emails – auto-complete & BCC
 - Emailing ‘personal’ email address (check with Stevie)
 - Shred confidential waste
 - Clear desk

DATA PROTECTION – SO WHAT?

- Information Commissioner has power to enforce – can issue fine of up to £500,000
 - Sony – system hacked – hacker accessed personal data and credit card details – accessed – fined £250,000
 - Glasgow City Council – lost 2 unencrypted laptops – laptops contained personal data and bank details – fined £150,000
 - Brighton & Sussex NHS Trust – third party engaged to destroy hard drives but sold them online – hard drives contained very sensitive personal data – fined £325,000

WHAT CAN YOU DO?

- Be aware!
- Regularly Review
- Keep personal information secure
- If you have any queries, ask!

Freedom of Information & Environmental Information

ACCESS TO INFORMATION COMMON GROUND

- Individuals have the right to request information from Scottish public authorities and don't have to explain why they want the information.
- Public authorities have to respond within 20 working days
- Authorities are not obliged to release all information – exemptions

ACCESS TO INFORMATION RECOGNISE A REQUEST

- What has been requested?
- How was the request made?
- Does the request mention FOI / EIR?

ACCESS TO INFORMATION WHAT IS REQUIRED OF YOU?

- Pass over new requests quickly & set 'out of office' – use standard wording
- Prioritise finding information
- If you have concerns about the release of the information - raise this with the Information Officer as soon as possible
- If you have any queries, ask!

ACCESS TO INFORMATION WHAT IF...?

- ...someone asks you for a copy of information while out on site?
- ...someone emails you a request for information?
- ...a colleague asks you to help find relevant information?

Who to contact?

- Laura Baird – Information Officer
laura.baird@lochlomond-trossachs.org
X2302
- Sandra Dalziel – Governance & Legal Services Manager
Sandra.dalziel@lochlomond-trossachs.org
X2124

Incident Response and Business Continuity Plan – CONFIDENTIAL



Incident Response and Business Continuity Plan - CONFIDENTIAL

Version: 1.4

Owner: Corporate Services

Incident Response and Business Continuity Plan – CONFIDENTIAL

VERSION HISTORY

This document is controlled by the Director of Corporate Services of Loch Lomond & The Trossachs National Park Authority (NPA) as plan owner.

DOCUMENT CONTROL INFORMATION

This document is stored in secure electronic location: [REDACTED]
[REDACTED] which is accessible to the following staff – Executive Team, Operational Managers and Facilities Co-ordinators.

LIST OF COPY HOLDERS

Each copy holder should retain a copy of the document off-site.

Title	Location
Incident Director, Director of Corporate Services	[REDACTED]
Chief Executive	[REDACTED]
Incident Manager, Likely to be a member of the Executive Team or Operational Manager; appointed based on the circumstances of the incident	[REDACTED]
Primary Call out Person, Director of Corporate Services	[REDACTED]
[REDACTED]	[REDACTED]
Incident Box [REDACTED] - access code [REDACTED]	[REDACTED]

Anyone with access to this plan MUST respect the confidentiality of the information contained within it

Authorisation

Name:	Jaki Carnegie
Signature:
Position:	Director of Corporate Services

Incident Response and Business Continuity Plan – CONFIDENTIAL

Date: January 2017

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Incident Response and Business Continuity Plan – CONFIDENTIAL

1.0 INTRODUCTION

The purpose of this Business Continuity Plan is to:

- a) highlight the potential serious risks which may disrupt the business of Loch Lomond and the Trossachs National Park Authority;
- b) summarise the plans to prevent or mitigate these risks occurring; and
- c) in the event of a serious incident, describe the disaster recovery procedures which can be activated.

It is impossible to foresee all potential incidents, therefore this plan focuses information to support suitable responses in the event of a range of potential serious emergency incidents.

This plan mainly focuses on events which may prevent the normal operation of business from the National Park Authority's Headquarters office in Balloch, Carrochan, as this the base for the majority of staff, telecoms, IT infrastructure and other core business support services for the National Park Authority. However, the principles outlined in this plan also apply (scaled as appropriate) to any incidents which threaten operations at other NPA locations.

This plan also provides guidance on the approach to be taken in the event of sudden or unexpected loss of key staff which may seriously disrupt operations.

Priorities in the event of any emergency are always: -

- The safety of staff, visitors, the public and anyone else impacted by the incident
- Effective, accurate and up to date communication
- Preserving the ability to deliver our services
- Maintaining the National Park Authority's reputation
- Continuing to achieve business targets, so far as is reasonably practicable
- Restoring normality as soon as possible

This plan should be reviewed on an annual basis, and can also be updated whenever significant information within it changes.

2.0 SCOPE

The key recommended elements for any Business Continuity Plan and supporting documents include:

- A summary of the organisation's assets
- Assessment of potential threats to these assets
- Incident response and disaster recovery procedures
- Arrangements for data backup procedures
- Identified roles and responsibilities for incident response and management

- Communication plans

This Business Continuity Plan covers each of these elements as they relate to the business operations of Loch Lomond and the Trossachs National Park Authority.

3.0 OUR ASSETS

We depend on a wide range of valuable 'assets' in order to successfully deliver our services and objectives, as follows:

Our People	Staff Volunteers Board members Tenants Other building or vehicle users
Our Information & Knowledge	Contact databases Files and documents (written/electronic) Reference books Product designs, specifications and support agreements (written/electronic) Business strategy documents (written/electronic) Leases and legal agreements (written/electronic) Employee knowledge and staff expertise (human resources)
Our Buildings, Equipment & Vehicles	Facilities and fixed assets Motor vehicles Boats Cash and valuables on premises Product inventory and materials Tools and equipment
Our Systems	Telecommunications systems E-mail system and archives (or at a more basic level, the ability to send and receive email) Finance system Payroll system Web site GIS database E-Planning system

The day-to-day operational safety security and continuity of our assets is managed through our corporate procedures, processes and support systems, Including Human Resources, Health and Safety, Financial Processing, ICT, Audit, Data Management and Governance. This Business Continuity Plan accompanies, complements and is supported by these other corporate systems and procedures.

This Business Continuity Plan comes into effect whenever a serious and/or sustained incident or event (or the potential of such an incident/event) significantly threatens any of our valuable assets.

INTERNAL AUDIT SERVICES

REPORT REF No 2016/17 - 003

**Loch Lomond & The Trossachs
National Park Authority**

**Disaster Recovery/Business Continuity
Controls**



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Personnel associated with the report

Catriona Morton: Financial Performance Manager (Loch Lomond & The Trossachs National Park Authority)

Stevie Thomson: ICT Manager (Loch Lomond & The Trossachs National Park Authority)

Iain Kerr: ICT Security Officer (West Dunbartonshire Council)

1. AUDIT REPORT SUMMARY

1.1 General

An audit was conducted on Disaster Recovery/Business Continuity Controls and we are pleased to report that the systems examined are working effectively.

The review highlighted that robust Business Continuity arrangements are in place and ICT Disaster Recovery procedures are effective:

The Audit highlighted areas of good practice as follows:

- A comprehensive Business Continuity plan exists
- A comprehensive ICT Disaster Recovery plan exists
- An effective Disaster Recovery site has been established
- Both the Business Continuity and Disaster Recovery plans have been exercised recently with resulting reports and actions recorded

2. MAIN REPORT

2.1 Introduction

An audit was carried out on Disaster Recovery/Business Continuity Controls as part of Internal Audit's Planned Programme of Audits for 2016/17.

2.2 Scope and Objectives

- 2.2.1 An audit launch meeting was held with Catriona Morton, Stevie Thomson, Paul Scullion, Jaki Carnegie, Colin McDougall and Iain Kerr to agree the objectives of the audit, the scope was signed off by Jaki Carnegie, Director of Corporate Services for Loch Lomond & The Trossachs National Park Authority (the Authority) consisting of:

The Business Continuity Plan

- Critical business partner relationships and stakeholder dependencies are identified and considered (including key suppliers, vendors, and outsourced functions);
- Does the Business Continuity Plan scope cover the entire operation, including all business processes and operations, as well as related facilities and workforce that are the responsibility of the Authority;
- All relevant entities and critical functions are considered within this Business Continuity Plan;
- Various types of events that could prompt the formal declaration of a crisis or disaster and the process for invoking the Business Continuity Plan are clearly described;
- The Business Continuity Plan includes impact and probability of disruptions of all business, operational, and IT areas, and considers acceptable downtime;
- Procedures exist to execute the plan's priorities for critical versus noncritical functions, services, and processes;
- Adequate risk mitigation, including preparedness and prevention strategies, have been considered, such as:
 - Alternative locations and capacity.
 - Back-up of data, applications, telecommunications, and other relevant data is ensured and procedures exist;
 - Communication channels in case of emergency are clearly defined; and
 - All critical personnel are identified and the contact list is updated.

Review/Testing

- The Business Continuity Plan is updated, reviewed, and tested at a frequency appropriate for risks, vulnerabilities, and value of Authority functions;
- Members of the Business Continuity Plan team understand their roles in case of emergency;
- Within the Business Continuity Plan, the Authority has set testing requirements for the continuity of services, functions, business lines, support functions;
- Conclusions regarding the testing program and whether it is appropriate for the size, complexity, and risk profile of the Authority are documented; and
- The Business Continuity Plan exercise details, such as content, participants, and timing are documented.

- 2.2.2 The following documents were reviewed as part of the Audit process:
- Business Continuity Plan;
 - DR Documentation;
 - ICT DR Exercise; and
 - BCP Desktop Exercise Report.
- 2.2.3 A detailed Audit response questionnaire was submitted in advance of the audit meeting with questions expanded and minute of responses agreed.
- 2.2.4 A site visit to the main Disaster Recovery location and explanations of key systems and processes provided.

2.3 FINDINGS

The findings are based upon evidence obtained from sampling/substantive testing.

- 2.3.1 The audit was conducted in conformance with the Public Sector Internal Audit Standards (PSIAS).
- 2.3.2 This report details all points arising during the audit review. We stress that these are the points arising via the planned programme of work and are not necessarily all of the issues that may exist.
- 2.3.3 The factual accuracy of this report has been verified by the Officers involved in the audit.
- 2.3.4 The Business Continuity Plan is a comprehensive document covering all expected aspects of such a plan and is a "live" document, changing as new scenarios come to light.
- 2.3.5 The Disaster Recovery plan is a comprehensive document covering all expected aspects of such a plan and is a "live" document changing to adapt to new and emerging threats.
- 2.3.6 The Disaster Recovery site has all the expected hardware and communication equipment to allow the authority to run in the event of a complete failure of ICT systems.
- 2.3.7 The capacity of the Disaster Recovery site has been considered by the Auditor and relevant staff, and all the Authority's functions could operate from the DR site within the stated timescales, albeit slightly slower- this being a normal expectation for a DR site.
- 2.3.8 A "Battle box" at the Disaster Recovery site has all required documentation and equipment to re-establish the Authority's systems
- 2.3.9 The Business Continuity plan was exercised recently using a flooding scenario with relevant staff considering challenges presented by the loss of the primary site for a lengthy time period. Recommendations for improvements were documented and a commitment to exercise annually agreed.
- 2.3.10 The Disaster Recovery Plan was exercised recently emulating a complete loss of the primary data centre and full recovery at the secondary site. Outcomes were documented and a commitment to exercise annually agreed.

- 2.3.11 Internal Audit would like to note the good practice of exercising both the Business Continuity Plan and Disaster Recovery plans annually.
- 2.3.12 Audit would like to thank all staff involved in the audit process for their time and assistance.

Note: About this report

This Report has been prepared on the basis set out in the Memorandum of Understanding (MOU) between the Loch Lomond & The Trossachs National Park Authority as the Client and West Dunbartonshire Council (WDC) as the provider of Internal Audit services. Nothing in this report constitutes a valuation or legal advice. We have not verified the reliability or accuracy of any information obtained in the course of our work, other than in the limited circumstances set out in the MOU. This Report has been prepared for the benefit of the Client only. This Report has not been designed to be of benefit to anyone except the Client. In preparing this Report we have not taken into account the interests, needs or circumstances of anyone apart from the Client, even though we may have been aware that others might read this Report. This Report is not suitable to be relied on by any party wishing to acquire rights against WDC, other than the Client for any purpose or in any context. Any party other than the Client that obtains access to this Report or a copy (under the Freedom of Information (Scotland) Act 2002, the Environmental Information (Scotland) Regulations 2004 through the Client's Publication Scheme or otherwise) and chooses to rely on this Report (or any part of it) does so at its own risk. To the fullest extent permitted by law, WDC does not assume any responsibility and will not accept any liability in respect of this Report to any party other than the Client. In particular, and without limiting the general statement above, since we have prepared this Report for the benefit of the Client alone, this Report has not been prepared for the benefit of any other public sector body nor for any other person or organisation who might have an interest in the matters discussed in this Report, including for example those who work in the public sector or those who provide goods or services to those who operate in the public sector.



Element 11 – IDOX screen shots

The screenshot shows the 'Category Development Management' search page. On the left, there's a sidebar with 'Actions' (Search, Logout), 'My IDOX' (Documents, Recent Documents, Personal Settings), and system information (IDOX EDRMS (LIVE), Version: 4.2.12, User: laurabaird, Copyright © TR94-2014 IDOX plc). The main area has search fields for Case Number, Alternative Reference, UPRN, Address Text, Status (dropdown), Document Type (dropdown), Date (calendar), Drawing Number, Document Description, Sensitivity (checkboxes for Public, Sensitive, Consultee), Folder Access Level (checkboxes for Public, Sensitive, Consultee), and Online Ref. Below these are 'Search Development Management' and 'Clear' buttons. The status bar at the bottom shows the date and time (26/10/2016, 08:57).

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N
t: 01389 722600 f: 01389 722633 e: info@lochlomond-trossachs.org w: lochlomond-trossachs.org
Printed on paper sourced from certified sustainable forests

http://ltdms:8080/IDOX/Software/secure/IG_Main?url=

Park Central Home - Log In laurambeir... IDOX ED...

Document Pages for Category Development Manag Docs

edrms on **idex** solution

Main Details Renditions (1:1) Versions (0) Notes (0) Audit Trail

Actions

Search Logout

My IDOX

Documents Recent Documents Personal Settings

Document ID: 100132079
Document Type: Application
Date: 07 Apr 2015
Drawing Number:
Document Description: Application form
Sensitivity: Public



IDOX/EDRMS (LIVE)
Version 1.2.1.2
User: BevB
Copyright © 1994-2014
IDOX plc

09:01 26/10/2016

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

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Naming Conventions and Version Control Guidance



Naming Conventions and Version Control Guidance

Version: V0_1

Owner: Corporate Governance / Corporate Services

Naming Conventions and Version Control Guidance

Document Control Sheet

Title	Naming conventions and version control guidance
Prepared By	Allyson Blue
Approved By	Jaki Carnegie
Date Effective From	2014/04/01
Version Number	V1_0
Review Frequency	Annual
Next Review Date	2015/04/01
Contact	Information Officer

Revision History:

Version:	Date:	Summary of Changes:	Name:	Changes Marked:
V0_1	03.12.13	New guidance	Allyson Blue	N/A

Approvals: This document requires the following signed approvals.

Name/Title	Date	Version
Jaki Carnegie	March 2014	Version V0_1

Distribution: This document has been distributed to

Name:	Title/Division:	Date of Issue:	Version:
	All Staff	31.03.14	VersionV0_1

Naming Conventions and Version Control Guidance

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Naming Conventions and Version Control Guidance

1. Introduction and Purpose

This guidance is a best practice guide for all LLTNPA staff. It provides advice and guidance on both the naming of electronic documents and folders in a networked environment and the management of documents with multiple versions.

2. Version Control

2.1 What is Document Version Control?

All documents within LLTNPA, need to be uniquely identifiable. In many instances, it is necessary to track the changes that occur to a document and record its distribution throughout the document's development and subsequent revision(s). Version Control is the management of multiple revisions of documents via the use of a Document Control Sheet and Version Numbering incorporated into each document name.

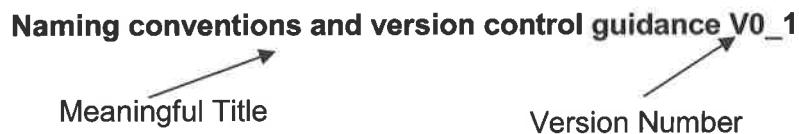


Figure 1: Example of Version Numbering

2.2 Why is Version Control Important?

Version control helps to preserve the authenticity of a document/record, track the changes made and distinguish one version from any subsequent versions. Policies, procedures, guidance, reports, legal agreements are all examples of documents within LLTNPA which go through various iterations before being endorsed and approved for final distribution, and once published will often be amended and re-released a number of times. By ensuring that version control is used on all documents, it will assist in providing an audit trail for future tracking of document development and assist in confirming the authenticity of the final version.

**Naming conventions and version control guidance V0_1
Naming conventions and version control guidance V0_2
Naming conventions and version control guidance V0_3**

Figure 2: Example of multiple versions of a document

Naming Conventions and Version Control Guidance

Knowing which version of a document you are looking at is important if you are trying to find out which version is currently in force, or which version was in use at a particular time or you are working on a collaborative document with a number of contributors and/or frequent revisions.

2.3 How to Version Control your Document

There are two techniques used within LLTNPA to ensure appropriate version control management of your documents.

- Document Control Sheet
- Version Numbering

2.4 Document Control Sheet

The Document Control Sheet is vital for documents that undergo substantial revision and redrafting and is particularly important for electronic documents because they can easily be changed by a number of different users, and those changes may not be immediately apparent. It will allow you to keep track of what changes were made to a document, when and by whom.

The Document Control Sheet should be updated each time a change is made to the document, with answers to the following questions:

- What is the new version number?
- What was the purpose of the change, or what was the change?
- Who made the change?
- When was the change made?

Example: DOCUMENT CONTROL SHEET

Naming Conventions and Version Control Guidance

Title	Naming conventions and version control guidance
Prepared By	Allyson Blue
Approved By	Jaki Carnegie
Date Effective From	2014/04/01
Version Number	V1_0
Review Frequency	Annual
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Contact	Peter Stevenson

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Distribution: This document has been distributed to

Name:	Title/Division:	Date of Issue:	Version:
All Staff		31.03.14	VersionV0_1

Naming Conventions and Version Control Guidance

2.5 Version Numbering

The version number of a document in a draft format will start at V0_1. The zero will always reflect a draft status and then revisions/changes to the document are revised by incrementing the number to the right of the underscore. The version number will convert to V1_0 upon the document receiving all required approvals, and deemed ready for publishing.

Naming conventions and version control guidance V0_1

Naming conventions and version control guidance V0_2

Naming conventions and version control guidance V0_3

Naming conventions and version control guidance V1_0

The above example shows that this document was revised 3 times before being approved, V1_0.

Figure 3: Example of multiple versions of a document

The benefit of version control number is at a glance the document will provide a great deal of information. If the version number of the document is V1_0 then you know that there have been no changes since the document was authorised and published. A version number on a document of V3_5 would reflect that there had been two major changes and five minor revisions to the document since it was last reviewed/approved. Therefore, indicating that the document has been kept current and reviewed on a regular basis. The version number should always be displayed clearly on the front cover of the document.

3. Naming Conventions

3.1 What are Naming Conventions?

The principle of naming conventions is to use standard rules that are applied to all documents, and to electronic folders that contain these documents, in order to enforce consistency in the form of name and in the words used. By implementing structured names to documents, it can support the following objectives:

- Facilitate better access to and retrieval of electronic documents,
- Allow sorting of documents in logical sequence (e.g. version number, date),
- Help users identify the documents they are looking for easily and also support the ability to recognise the content of a document from a file list,
- Help keep track of multiple versions of the document.

Naming Conventions and Version Control Guidance

The rules for the naming of documents and electronic folders should be kept as simple and clear as possible. Without standard approaches to naming folders the context of the records held within the folder becomes meaningless to anyone other than the creator.

3.2 Why use Naming Conventions?

Naming records consistently, logically and in a predictable way will help to distinguish similar records from one another at a glance, and by doing so will facilitate the storage and retrieval of records, which will enable users to browse file names more effectively and efficiently. Naming records according to agreed conventions should also make file naming easier for colleagues because they will not have to 're-think' the process each time.

3.3 Naming Convention Rules

Rule 1: Keep file names short but meaningful

Folders and file names should be kept as short as possible while also being meaningful. The use of long file names can increase the likelihood of error, and also are often more difficult to remember and recognise. Although it must be remembered that the best practice is to avoid using abbreviations and codes that are not commonly understood.

Make the name of a folder or document descriptive of its content or purpose, always ensuring that the title contains enough information for anyone else to identify it. A title, taken together with the folder path, should act as a summary of the document's contents.

File name:	✓ Sausage Mash Committee Remit.doc	✗ The_sausage_and_mash_committee_ remit.doc
Explanation:	Some words add length to a file name but do not contribute towards the meaning, for example words like "the", and "and". Where the remaining file name is still meaningful within the context of the file directory these elements can be removed.	

Rule 2: Avoid unnecessary repetition in file names

If possible avoid repetition in file names, as this increases the length of the file name and file path, which is incompatible with rule 1.

Naming Conventions and Version Control Guidance

Do not include the format of a document in the title. For example, don't name it "Word document" or "Excel spreadsheet" because this information can be seen from the file extension or suffix.

File name:	✓ /.../Procedures/Appeals.doc	✗ /.../Procedures/Appeals Procedures.doc
Explanation:	The folder is called "Procedures" so it is not necessary to include the word "Procedures" in the file name because all the records in that folder are procedure records.	

Rule 3: Leave spaces between words – don't run them together or use dots. Underscores are acceptable (if necessary)

Using plain English with spaces between words makes the titles of documents easier to read and search for. Document titles in a network environment no longer require a file title of eight characters or less with no spaces, as was the case with MS-DOS.

File name:	✓ Risk Management.doc	✗ Risk.management.doc
Explanation:	Using spaces between words makes the file name more readily recognisable.	

Rule 4: When including a number in a file name always give it as a two-digit number, unless it is a year or another number with more than two digits.

The file directory displays file names in alphanumeric order. To maintain the numeric order when file names include numbers it is important to include zero for number 0-9. This helps to retrieve the latest record number.

Naming Conventions and Version Control Guidance

File name:	<p>✓</p> <p>Office Procedures V0_1 Office Procedures V0_2 Office Procedures V0_3 Office Procedures V0_4 Office Procedures V0_5 Office Procedures V0_6 Office Procedures V0_7 Office Procedures V0_8 Office Procedures V0_9 Office Procedures V0_10 Office Procedures V0_11</p> <p>(Ordered alphanumerically as the files would be in a directory list)</p>	<p>✗</p> <p>Office Procedures V1 Office Procedures V10 Office Procedures V11 Office Procedures V2 Office Procedures V3 Office Procedures V4 Office Procedures V5 Office Procedures V6 Office Procedures V7 Office Procedures V8 Office Procedures V9</p> <p>(Ordered alphanumerically as the files would be in a directory list)</p>
Explanation:	This example shows the successive versions of an office procedures document. If two-digit numbers are used the latest version will always be at the bottom of the list when ranked in ascending order.	

Rule 5: **If using a date in the file name always state the date ‘back to front’, and use four digit years, two digit months and two digit days: YYYY-MM-DD.**

Dates should always be presented ‘back to front’, that is the year first (always given as a four digit number), followed by the month (always given as a two digit number), and the day (always given as a two digit number).

Giving the dates back to front means that the chronological order of the records is maintained when the file names are listed in the file directory.

This helps when trying to retrieve the latest dated record. It also complies with the International Standard for recognising dates, ISO8601.

Naming Conventions and Version Control Guidance

File name:	✓ 2004-03-24 Agenda.doc 2004-03-24 Minutes.doc 2004-03-24 Paper A.doc 2005-02-01 Agenda.doc 2005-02-01 Minutes.doc (Ordered alphanumerically as the files would be in the directory list)	✗ 1 Feb 2005 Agenda.doc 1 Feb 2005 Minutes.doc 24 March 2004 Agenda.doc 24 March 2004 Minutes.doc 24 March 2004 Paper A.doc (Ordered alphanumerically as the files would be in the directory list)
Explanation:	This example shows the minutes and papers of a committee. By stating the year 'back to front' the minutes and papers from the most recent meeting appear at the bottom of the directory list.	

Rule 6: Avoid using common words such as 'draft' or 'letter' at the start of the file names.

Avoid using common words such as 'draft' or 'letter' at the start of file names, or all of those records will appear together in the file directory, making it more difficult to retrieve the records that you are looking for.

File name:	✓ Communications Plan V0_1 Communications Strategy V0_1 (Ordered alphanumerically as the files would be in the directory list)	✗ Final Communications Plan Final Communications Strategy (Ordered alphanumerically as the files would be in the directory list)
Explanation:	The file directory will list files in alphanumeric order. This means that all records with file names starting "Draft" or "Final" will be listed together. When retrieving files it will be more useful to find the draft budget report next to the previous year's budget, rather than next to an unrelated draft record.	

Rule 7: The version number of a record should be indicated in its file name by the inclusion of 'v' followed by the version number and, where applicable, 'Draft', 'Final' or 'Review'.

Some records go through a number of versions, for example they start out as working drafts, become consultation drafts and finish with a final draft, which may then be reviewed and updated at a later date.

Naming Conventions and Version Control Guidance

It is important to be able to differentiate between these various drafts. The version number should always appear in the file name of the record so that the most recent version can be easily identified and retrieved.

File name:	✓ Workforce Model V3_1 (Review) Workforce Model V4_0 (Final).	✗ Workforce Model draftv3.1 Workforce Model finalv4,0
Explanation:	The example above shows that the workforce model has been approved (V3_1), however, it was then subsequently updated again before it became the final approved version.	

4. Where to find further Guidance

If you require further advice regarding these guidelines or any other Corporate Records Management issue, please contact the Governance Manager.

5. Monitoring and Reporting

Monitoring activities will be carried out by the Working Group members on an annual basis and the Information Officer will monitor on an ongoing basis.

Where non-compliance to this guidance is discovered, this will be escalated to the Steering Group by way of an exception report outlining the current status together with recommendations for suitable action to be implemented to ensure resolution.

6. Related policies

- Archiving & Transfer Arrangements
- Data Protection Policy
- Information Security Policy



Element 11 – Screen shot from Intranet to evidence staff access to naming conventions and version control guidance

The screenshot shows a SharePoint 2010 interface. At the top, there's a navigation bar with links for 'Site Actions', 'Browse', 'Library Tools', 'Documents', 'Library', 'PEOPLE AND TEAMS', 'PARK LIFE', 'RESOURCES', and 'MY SITE'. The URL in the address bar is <http://sharepoint2010/Resources/Corporate%20Governance/Form.aspx>. The main content area is titled 'Governance > All Documents'. On the left, there's a vertical navigation menu under 'Resources' with categories like 'Our Plans', 'Our Values and Behaviours', 'Policies, Procedures & Guidance', 'Corporate Templates', 'Brand Guidelines', 'Staff Induction', 'Health and Safety', 'Learning and Development', 'Internal Request Forms', 'External Links', 'News and External Consultations', and 'Park Central Admin'. The main content area displays a list of documents with columns for 'Name' and 'Modified'. The list includes:

Name	Modified
Anti-Fraud and Corruption Policy	31/01/2014 12:42
External Consultations Procedure	31/01/2014 12:43
Freedom of Information and Environmental Information	31/01/2014 12:43
Whistleblowing Policy	31/01/2014 12:45
Staff Data Protection FOI and EIR Training Slides	10/03/2014 09:19
Guidance for signing the attached Agreement	14/04/2014 21:45
Complaints Handling Procedure - Guide for Customers	26/05/2014 14:29
Complaints Handling Procedure - Quick Staff Guidance	26/05/2014 14:29
Migration of documents to new network drive	06/06/2014 13:57
Retention Schedule (V2.1)	25/06/2014 15:29
Naming conventions and version control guidance	08/07/2014 16:37
Project Management Guidance	04/06/2015 12:26
EQIA Staff Guidance V1_0	04/06/2015 12:34
Data Protection Policy	10/07/2015 10:50
Records Management Policy	10/07/2015 10:51
Information Security Policy	10/07/2015 10:51
Unacceptable Behaviours Policy	17/09/2015 15:51
Procedure for Managing Unacceptable Behaviour	17/09/2015 15:51

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N

t: 01389 722600 f: 01389 722633 e: info@lochlomond-trossachs.org w: lochlomond-trossachs.org

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Style Guide



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1. Purpose

1.1. Background

The purpose of this document is to ensure the continuity of the Park Authority brand across all documentation created and issued by members of staff. Should you have any suggestions regarding the content that should be included within this document, please do not hesitate to contact Sharon McIntyre (sharon.mcintyre@lochlomond-trossachs.org) to have this included within the document.

All template documents and guides included in this document will be posted on Park Central [here](#).

2. Content

2.1. Templates

2.1.1. Introduction

In relation to the types of documentation that can be presented to the Board, this documentation can fall into the following categories:

- Board paper for decision – This heading should be used when recommendations are being put to the Board for decision.
- Board paper for information – This heading should be used when a report is being put to the Board for their information. Board members are therefore asked to note the content of a report.
- Covering paper and report – Should a document be put to the Board, e.g. the Annual Health & Safety Report, the covering paper should outline whether the attached document is for decision or for information.

For creating a paper, please click [here](#) to set up a new template.

2.1.2. Populating the template

On opening your chosen template, this will open as a new document. Please select 'file' and then 'save as' to save this document into the file location where you wish your working version to be saved on the R drive.

Once your final version of the file is complete, please save a copy of this into the file location advised by the Governance team. The file path provided will normally be e.g. Governance → Board Committee Management → [National Park Board/Audit Committee/Delivery Group/Strategy Group/Remuneration Committee] → 'Year of the meeting' → 'Date of the meeting'.

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Once you have transferred your final version of the file into this location, please inform the Governance Team that this is now available for review by the Executive Team.

2.1.3. Header

National Park Authority Board Meeting

Agenda Item



Board Paper Title



2.1.3.1. Agenda Item

Firstly update the agenda item number in the header, as indicated by the arrow. This will then automatically update the header throughout the document.

The current agenda item can be found on reviewing the agenda for the meeting which is saved in the meeting folder. The file path will normally be e.g. Governance → Board Committee Management → [National Park Board/Audit Committee/Delivery Group/Strategy Group/Remuneration Committee] → 'Year of the meeting' → 'Date of the meeting'.

2.1.3.2. Title

National Park Authority Board Meeting

Agenda Item

Board Paper Title



Following this, update the title of the paper as indicated by the arrow e.g. Annual Health and Safety Report. Again this will update automatically throughout the document. The Committee Clerk will review the document to ensure that the correct agenda item and title is detailed.

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Please note all visual examples provided are in relation to populating a Board paper.

The header in this document has been set to ensure that the Park Authority logo will appear on only the first page of the document. In subsequent pages the logo does not appear although the agenda item and title of the paper remain. The positioning of the logo has been fixed to ensure that it is the same in every document.

2.1.4. Footer

Agenda Item 7 - Test
Meeting Date e.g. 27th April 2015



2

The date of the meeting should then be entered into the footer. Again this will then automatically update throughout the document.

The first line of text above the date in the footer is linked to the file name therefore when the document is saved for example as e.g. 'Agenda Item 11 – Organisational Update', right click on this text and select 'update field'. This will then automatically update throughout the document. The Committee Clerk will review the document to ensure that the footer details the correct information.

2.1.5. Paragraphs

The template is pre-populated with the styles required for the document therefore all exact paragraph indents have been pre-set and the numbering will also automatically update on changing the style applied.

To start a new heading click on 'Heading 1' on the style toolbar, this will then allow you to enter text in the correct format for a new heading.



Once the heading is in place, press return and then select 'List Paragraph' on the style toolbar. This style selection will then allow you to enter text for this paragraph.

This will provide you with the top line heading e.g. 1. Purpose, 2. Recommendation, 3. Background and 4. Conclusion.

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National Park Authority Board Meeting

Agenda Item

Board Paper Title

**LOCH
LOMOND
& THE TROSSACHS
NATIONAL PARK**



Paper for Information / decision

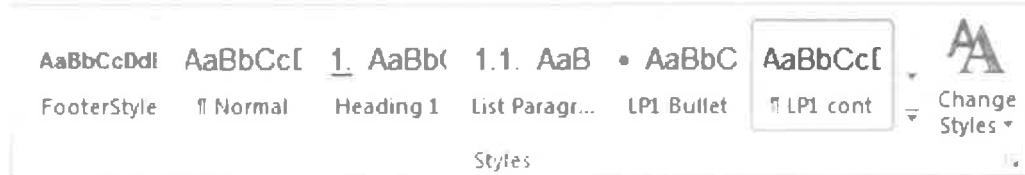
1. Purpose
 - 1.1. Outline purpose of report
2. Recommendation
 - 2.1. Detail recommendation
3. Background
 - 3.1. Outline background of report.
4. Conclusion
 - 4.1. Provide conclusion.

To then start the next paragraph below, press return and then select 'LP1 cont' on the style toolbar.



This will provide you with the next level e.g. 1.1. Outline purpose of report, 2.1. Detail recommendation, 3.1. Outline background of report and 4.1. Provide conclusion.

To then start the next paragraph below, press return and then select 'LP1 cont' on the style toolbar.



Should you require further levels in the document such as 3.1.1. below, the same process above can be followed although you would then select 'LP2' to

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begin section '3.1.1. First stage of the project' and then to continue this section select 'LP2 cont' for the paragraph below.

National Park Authority Board Meeting

Agenda item

Board Paper Title



Paper for information / decision

1. Purpose
 - 1.1 Outline purpose of report
2. Recommendation
 - 2.1. Detail recommendation
3. Background
 - 3.1. Outline background of report.
→ 3.1.1 First stage of the project
4. Conclusion
 - 4.1. Provide conclusion.

The template is set for one further lower level to give 3.1.1.1. to begin this section select 'LP3' to begin section and then to continue this section select 'LP3 cont'.

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National Park Authority Board Meeting

Agenda item

Board Paper Title



Paper for information / decision

1. Purpose

1.1. Outline purpose of report

2. Recommendation

2.1. Detail recommendation

3. Background

3.1. Outline background of report

3.1.1. First stage of the project

This was started in May 2015 and has shown good progress to date meeting all key performance indicators.

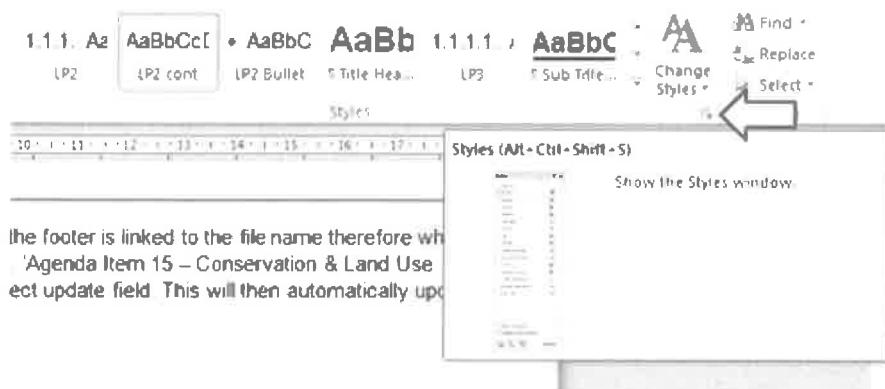
3.1.1.1. Key Performance Indicators

The main indicators for this project were:

4. Conclusion

4.1. Provide conclusion.

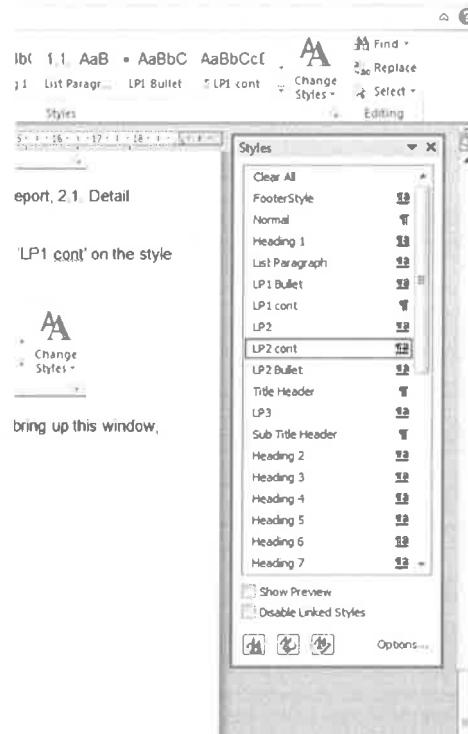
Styles can also be selected by showing the styles window in full. To bring up this window, click on the box where the red arrow is pointing below.



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This then brings up the panel to the right, shown below. This panel also allows you to select styles the same as the toolbar above.



2.1.6. Checking styles

Should you wish to check what style is applied throughout the document, two main tools can be used to review this, the style inspector and reveal formatting.

For information on these tools and for further information on using the styles pane and managing styles, please click [here](#) to view a further guide.

2.1.7. Creating new styles

As the styles have been set within the templates there should be no requirement to modify these styles. However should you wish to understand how this is achieved, please click [here](#) to view a further guide.

2.2. Style Guide

2.2.1. Introduction

Once the template has been selected please find outlined below key points to take into consideration when populating your report. These points ensure

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that all documentation is produced in a similar format and that the language used in these reports is consistent.

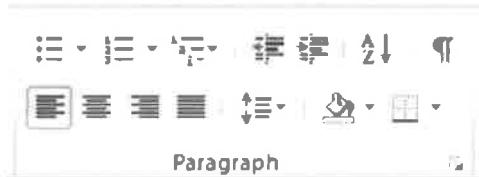
2.2.2. Font

The font used should be Arial size 11. This can be changed on the toolbar under the ‘Font’ section. This should therefore be displayed as below.



2.2.3. Justification

All text should be justified to the left. This can be changed on the toolbar under the ‘Paragraph’ section, if it is displayed as below the document is set to the correct justification.



2.2.4. Line Spacing

All text in the document should be set with line spacing of 1.15. This is already set in the styles for the document although this can be checked in the ‘Paragraph’ section of the toolbar.

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2.2.5. Headings

Only the main heading, style ‘Heading 1’ should be underlined. All other headings should use the selected style e.g. ‘LP2’ where the heading should be detailed a return made and then ‘LP2 cont’ selected.

2.2.6. Page numbers

Please ensure that all documents include page numbers. The template is set with these included in a central position on the document however if you are creating a separate report please ensure that these are included. The reason for the requirement of page numbers is to ensure that members are able to refer to sections of the document at meetings.

2.2.7. Page breaks

Once your report is finalised, please review to see if any headings are left independently or tables are split over two pages etc. Please insert a page break at the appropriate point to ensure that these are then displayed on the same page. Should you wish to remove a page break that has been inserted the easiest way to do this is to ‘Reveal Formatting’ (refer to section 2.1.6. Checking styles) in the document, then select ‘Show all formatting marks’. If a page break has been inserted this will be shown as below and can be deleted to remove the page break.

----- Page Break ----- ¶

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2.2.8. Tables/maps/pictures

All tables/maps/pictures inserted into the document should have a corresponding title to explain what they represent.

Please note that all maps should include the appropriate title and copyright statement (from GIS). Please also check all labels are official names.

2.2.9. Language

To ensure continuity throughout all Park Authority documentation, please can you ensure that the following formats/terminology is followed in the production of reports:

- We should be referred to as the Park Authority and not Loch Lomond and the Trossachs National Park Authority or National Park Authority.
- Dates - All dates should be detailed in full e.g. 22nd January 2015 not 22 January 2015, 22nd January, 22-1-15, 22/01/15.
- In terms of abbreviations if you are using a term a couple of times, please write this term in full although should this then be required throughout the document on several occasions, please abbreviate.
- Quarter 1 should be written in full and not as Q1, this ensures that public documents are easy to understand.
- Numbers should be detailed as 1,000 or 1,000,000 and not as 1000 or 1000000. Unless decimals or detailed numbers are critical to the understanding, it is acceptable to round numbers up or down.
- Convenor should be spelt this way in documentation and not as 'Convenor'.

2.2.10. Bullets

As a style has been set for bullets please use these according to section of the document you are using e.g. LP1 Bullet, LP2 Bullet, LP3 Bullet. Please use these bullets or numbering instead of using a), b) c) etc.

Please also note how to use bullets correctly e.g.

We are carrying out work on several projects:

- Red Squirrels,
- Black Grouse; and
- Grant agreements.

Should the items detailed be whole sentences please use a full stop at the end of each sentence.

2.2.11. Copying

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When copying text or pictures into the template, please select the option for 'text only' and then apply the correct formatting. Should you be inserting two or more pictures to display together it may be beneficial to insert these into a table and then hide the lines of the table to ensure that these are positioned correctly.

2.2.12. Appendices

Any appendices to accompany a paper should be listed at the end of the paper e.g.

Appendix 1 - Summary Report of Consultation

Appendix 2 - Proposed Local Development Plan

Please click [here](#) to view the covering paper for portrait appendices and [here](#) for landscape appendices, should these be necessary.

2.2.13. Authors

All authors who have worked on the paper should be detailed at the end of the paper as outlined below. Should there be multiple authors they should all be listed by name, followed by job title. There should always be an Executive Sponsor for a paper.

Author: Sharon McIntyre, Committee Clerk

Executive Sponsor: Jaki Carnegie, Director of Corporate Services

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National Park Authority Board Meeting
Agenda Item
Board Paper Title

Paper for Information / decision

1. **Purpose**
1.1. Outline purpose of report

2. **Recommendation**
2.1. Detail recommendation

3. **Background**
3.1. Outline background of report
3.1.1. First stage of the project
This was started in May 2015 and has shown good progress to date meeting all key performance indicators.
3.1.1.1. Key Performance Indicators
The main indicators for this project were...

4. **Conclusion**
4.1. Provide conclusion

Author(s): Heads of Service
Operational Managers
Executive Team – update as required
Executive Sponsor: Gordon Watson, CEO – update as required

2.2.14. Printing

No colour should be used when printing documentation unless this is necessary for understanding. All documents should be printed double sided.

2.2.15. Thank you

Thank you for taking the time to read this documentation and good luck in producing your paper!

Should you have any questions, please do not hesitate to contact Sharon McIntyre (sharon.mcintyre@lochlomond-trossachs.org).



Element 12 – Information Officer Competencies

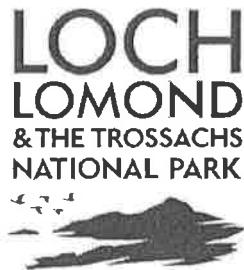
The post of Information Officer was created in 2014 to ensure that the Park Authority had a member of staff in place with the appropriate skills and experience to undertake the activities required to ensure the Park Authority is fully compliant with its statutory responsibilities in relation to the Public Records Scotland act 2011. The key purpose of this post, as stated in the job description, submitted as evidence for Element 2 of the Park Authority's records management plan is:

"To ensure that all information, data and records held by Loch Lomond & The Trossachs National Park Authority is managed in accordance with statutory requirements and internal policies. To ensure that complaints are effectively handled in line with the Public Service Reform (Scotland) Act 2010 and internal policies. To improve, develop and implement information management, records management and complaints policies and processes. To provide training and improve staff awareness and engagement with relevant policies and policies. To regularly report key performance information to the Governance Manager and relevant statutory bodies."

The post holder is also required to deal with issues in relation to the requirements of the Data Protection Act and the Freedom of Information (Scotland) Act 2002. In addition to the criteria specified in the job description for this post, the current post holder is involved in the following:

- Member of the Information and Records Management Society
- Member of the Part 7 FOI Practitioner's group
- Attendance at the Annual Scottish ICO conference
- In regular contact with the Park Authority's Sponsor team within Scottish Government
- Maintain regular contact with FOI counterparts in SEPA, Scottish Natural Heritage, Forestry Commission Scotland and, Cairngorms National Park Authority
- Member of Society of National Park Staff
- Established contacts with staff in Scottish Public Services Ombudsman, Ethical Standards Commission, Police Scotland, Scottish Information Commissioner and UK Information Commissioner

National Park Authority Audit Committee Meeting



Report on Internal Audit of Records Management 2014/15

Paper for decision

1. Background
 - 1.1 The internal audit of records management was carried out by KPMG in February 2015.
 - 1.2 The report from KPMG outlining their findings is attached at Appendix 1. Please note that although the report cover states it is draft it is actually final from our perspective as it is CNPA actions that are to be completed.
 - 1.3 The report highlights a significant number of areas of good practice and concludes that the records management system was well implemented.
 - 1.4 There is one low risk finding from the audit in relation to 'areas of future focus', the post implementation phase of the records management system already takes these recommendations into account.

2. Recommendation
 - 2.1 Members are invited to note the contents of the reports and endorse the management response noted therein.

Author: Catriona Morton, Finance & Performance Manager

Executive Sponsor: Jaki Carnegie, Director Corporate Services



cutting through complexity

Loch Lomond & The Trossachs National Park Authority and Cairngorms National Park Authority

DRAFT

Internal audit report 2014-15
Records management pre-implementation review
2 March 2015

Contents

DRAFT

This report is for:

Action

David Cameron - Corporate Services Director (Cairngorms National Park)

Jaki Carnegie – Director of Corporate Services (Loch Lomond & The Trossachs National Park)

Information

Audit Committee

	Page
Introduction and background	2
Key findings and recommendations	4
Summary of internal audit findings	5
Action plan	11
Appendix one: objective, scope and approach	15
Appendix two: Classification of internal audit findings	16

Notice: About this report

This Report has been prepared on the basis set out in our Engagement Letter addressed to Loch Lomond & The Trossachs National Park Authority and Cairngorms National Park Authority ("the Clients") dated 15 June 2011 and extended as of the letter dated 28 August 2014 (the "Services Contracts") and should be read in conjunction with the Services Contract. Nothing in this report constitutes a valuation or legal advice. We have not verified the reliability or accuracy of any information obtained in the course of our work, other than in the limited circumstances set out in the Services Contract. This Report is for the benefit of the Clients only. This Report has not been designed to be of benefit to anyone except the Clients. In preparing this Report we have not taken into account the interests, needs or circumstances of anyone apart from the Clients, even though we may have been aware that others might read this Report. We have prepared this report for the benefit of the Clients alone. This Report is not suitable to be relied on by any party wishing to acquire rights against KPMG LLP (other than the Clients) for any purpose or in any context. Any party other than the Clients that obtains access to this Report or a copy (under the Freedom of Information (Scotland) Act 2002, through the Clients' Publication Scheme or otherwise) and chooses to rely on this Report (or any part of it) does so at its own risk. To the fullest extent permitted by law, KPMG LLP does not assume any responsibility and will not accept any liability in respect of this Report to any party other than the Clients. In particular, and without limiting the general statement above, since we have prepared this Report for the benefit of the Clients alone, this Report has not been prepared for the benefit of any other central government body nor for any other person or organisation who might have an interest in the matters discussed in this Report, including for example those who work in the central government sector or those who provide goods or services to those who operate in the sector.

Introduction and background

DRAFT

**The contacts at KPMG
in connection with this
report are:**

Andy Shaw
Director, KPMG LLP

Tel: 0131 527 6673

Fax: 0131 527 6666

andrew.shaw@kpmg.co.uk

Matthew Swann

Senior Manager, KPMG LLP

Tel: 0131 527 6662

Fax: 0131 527 6666

matthew.swann@kpmg.co.uk

Carol Alderson

Assistant Manager, KPMG LLP

Tel: 0141 309 2502

Fax: 0141 204 1584

carol.alderston@kpmg.co.uk

Introduction and scope

In accordance with the 2014-15 annual internal audit plan for Loch Lomond & The Trossachs National Park Authority ("LLTNPA") and Cairngorms National Park Authority ("CNPA"), as approved by the audit committees, we have performed an internal audit of the records management plans and processes at LLTNPA and CNPA ("the Authorities").

The objective of this audit was to consider the design and compliance with legislation of the Authorities' record management plan. The specific objective, scope and approach, as agreed with management, is detailed in appendix one.

Background

In January 2013, the Public records (Scotland) Act 2011 came into force. This Act requires all Scottish public authorities to submit a records Management Plan ("RMP"), to the Keeper of the Records of Scotland ("the Keeper"), which sets out arrangements for the management of records. The process of scrutinising all the RMPs is likely to take some time and a rolling programme will run until 2017.

The Authorities have followed the guidance supplied by the Keeper in the form of a model plan and have updated relevant policies and procedures. LLTNPA drafted the RMPs in 2014-15 and supporting evidence has been provided to the Keeper for initial review. The Authorities are at different stages of implementation of their relative plans.

LLTNPA recognised there was an urgent organisational driver for improving the records management procedures and used the RMP model to achieve the required improvements. The existing filing structure was out-dated, inconsistent and problematic to use and staff did not consistently adhere to existing records management procedures. This resulted in inconsistent approaches to file and document naming and widespread duplication of records. Going forward LLTNPA proposes to develop a more functional approach to storing records according to business context which will allow greater flexibility, easier access and reduce duplication.

At CNPA a governance and corporate performance manager was recruited to oversee the management of this project. With no existing formal controls or procedures over records management, an entirely new process of records management procedures was introduced and implemented as part of the first phase of the project. CNPA is aware of the larger impact and importance of the migration of electronic data onto the new system and are currently planning for this process.

Executive summary: Key findings and recommendations

DRAFT

We identified no 'critical' or 'high' graded recommendations for either Authority in the course of our work.

LLTNPA:
The records management process was well implemented and we include areas of good practice in the report.

As management moves to the post implementation phase we have discussed areas of focus, as noted in the action plan.

CNPA:
We identified one 'moderate' graded recommendations and two 'low' risk graded recommendations. We identified areas of good practice.

The findings identified during the course of this internal audit are summarised below. A full list of the findings and recommendations are included in this report. Management has accepted the findings and agreed reasonable actions to address the recommendations.

Authority	Critical	High	Moderate	Low
Number of internal audit findings				
LLTNPA	-	-	-	1
CNPA	-	-	1	2
Number of recommendations accepted by management	LLTNPA	-	-	1
LLTNPA	-	-	-	1
CNPA	-	-	TBC	TBC

The review of records management plan showed that the guidance has been followed and the new structure was implemented effectively at the Authorities. The moderate graded recommendation and areas of added value are summarised below:

Moderate graded recommendation CNPA

During testing it was identified that some policies and procedural documents remained in draft format and are not yet approved. It is recommended that this is remedied.

Areas of added value

The focus of this review included compliance with legislation and including the achievement of good practice from the record management processes. The findings noted below explicitly identify areas where value could be added and good practice could be achieved by the Authorities:

- Timely completion of all policies and keeping to deadlines set (CNPA); and
- As management moves to the post implementation phase we have discussed areas of focus, as noted in the action plan (LLTNPA).

Executive summary: Key findings and recommendations (continued)

DRAFT

We summarise areas of
good practice.

Areas of good practice

LLTNPA

- there was good evidence to support all aspects of the records management plan including updated policies and procedures;
- a working group, with members from across the different business units, was set up early in the implementation stage of the new records management system, which enabled them to have responsibility for the proposed structure to ensure it met their business needs;
- clear guidance and training was provided for setting-up the file structure and naming convention for all documents saved on the shared drive;
- restricting ability of folder creation maximises compliance with document structure and reduces inefficient use of storage; and
- risk management was considered from the early stages of the project and appropriate back up controls were in place and back ups were taken before migration to the new shared drive.

CNPA

- the RMP that has been produced appears to be appropriate for the size of the organisation;
- appropriate back-ups controls were in place and taken before any changes were made;
- use of version control was well documented within policy documents;
- restricting ability of folder creation maximises compliance with document structure and reduces inefficient use of storage; and
- implementation of recommendations previously presented by KPMG as part of the project management review.

Summary of internal audit findings - LLTNPA

DRAFT

We outline the main findings from our review at LLTNPA.

Records management plan, policies and procedures

We obtained and reviewed the RMP to verify it was in accordance with the legislative requirements and the 14 elements as set out by the Keeper in the template RMP.

The draft records management plan has been submitted to the Keeper of the Records of Scotland assessment team for review prior to formal submission. Informal comments were provided on the draft RMP to help improve the format of the RMP before formal submission and scrutiny by the Keeper. There were no major issues identified as part of this informal review.

The RMP was presented in line with best practice and was supported with relevant evidence.

We reviewed the RMP and related policies, procedures and guidance. New versions of these were developed as part of the project plan by the project manager and approved in March 2014. These covered the full implementation of the RMP. We considered these against our experience of best practice, both across the public sector and record management in general.

The policies and procedures which have been developed and approved include:

- records management policy statement;
- business classification framework;
- retention schedule;
- arrangements for the disposal of hard copy and electronic records;
- archiving and transfer arrangements policy;
- naming convention and version control guidance;
- information security policy;
- statement on data sharing;
- data protection policy and training;
- business continuity and vital records statement; and
- back up schedule.

Review of the policies and procedures at LLTNPA demonstrated that they were in line with best practice and meet any legislative and business requirements.

Summary of internal audit findings – LLTNPA (continued)

DRAFT

Preparation for migration of data – back ups and duplicates

Management identified the loss of electronic files during migration as a risk during the project planning stages. To mitigate the risk, guidance was provided to all staff for the migration of files from the G; and S: drives to the new R:drive. The new R:drive was available to all staff from 2 June 2014 and the migration of files was finalised by October 2014. To aide with the migration the IT Manager used software to review the files for the different business units and duplicate files were documented on an excel spreadsheet and the majority of the duplicates were manually deleted by the file owners.

The risk of data loss due to the migration exercise was considered to be low as the drives are backed up on a daily basis and on a weekly and monthly basis to tape which are stored offsite.

The integrity of the data was tested through a health check which was performed by the IT Manager after the data was transferred. Following the migration exercise there were no files left on the old drives and these can no longer be accessed by staff.

We did not identify any issues. The guidance issued to staff was appropriate to facilitate the successful migration of data onto the new shared drive without loss of data integrity and the back up process was appropriate to ensure the risk of data loss was low.

Staff training

All staff receive training on Data Protection at their staff induction. In addition, refresher training is provided every three years. The training is delivered by senior staff and the external legal advisers. The most recent all staff training programme was held in October 2013.

All staff were provided with formal guidance on the migration of documents to the new network drive with built in "dos and don'ts". The project manager attended team meetings to reinforce the process and give assurance over the security measures to ensure safe migration of the data. Mandatory training was provided to staff to explain the purpose of the changes to the records management system, the new structure, version controls and how to apply naming conventions. 112 staff have been trained over eight workshops, however there were a small number of staff who missed the training as a result of long term leave. We reviewed the training slides and found they provided appropriate communication to staff and highlighted their responsibility to migrate data and remap to the appropriate files.

Staff received adequate training, however no information has been added to the staff induction packs to ensure that new staff or staff returning to work after a period of absence have information on the new file structure and the policies and procedures. As the Authority moves to the post implementation phase, the induction packs should be updated to include guidance on the new records management system, the slides from the training and the new policies and procedures to ensure the new system is maintained.

Recommendation one

Summary of internal audit findings – LLTNPA (continued)

DRAFT

Structure of the records management system

The Authority prepared guidance on developing a file plan, and the file structure on the new drive was set up to provide a functional approach to records management, as recommended by the International Standard on records management (BS15489), focusing on managing the records according to business context. The new file structure enables greater flexibility, improved intellectual control, easier access to records, reduced duplication and reduced costs of maintaining records. The new records management system was designed to promote freedom of information throughout the organisation and therefore the use of permissions has been limited. Where restricted access are required, for example specific finance or HR folders, permissions can only be set-up by the IT manager.

A working group, with members from across the different business unit was set up in the early stages of this project. We discussed the file structure with members from the working group and it was clear that they had input into the file structure to ensure it met their operational and business needs.



The diagram represents an overview of the new structure. The first level is the folders for the business area or function, the second level is folders for the different activities within the business areas and the third level is working folders. Only the IT manager or IT administrator can set up folders in the first two levels but all staff can set up working folders.

The structure was set-up to meet the operational needs of LLTNPA and the statutory requirements; informal staff feedback confirmed that the majority of staff recognise the benefits of the new records management system and there is obvious improvement in efficiency and effectiveness as a result of less duplication of files and the ease in finding documents. Through our review of the new structure we did not identify areas of improvement.

During the implementation phase the project manager and members of the working group carried out ad hoc checks on the new file management system to verify files are saved inline with guidance. When issues have been noted an email has been sent to the owner of the files. To ensure that checks are continued in the longer term a formal process should be implemented in future to check the file structure, naming of files and integrity of the data.

Recommendation one

As part of the RMP a retention schedule has been agreed, however overall there has still not been any decision as to who has overarching responsibility for this and how often or when checks should be carried out. To ensure files and documents are appropriately disposed of in line with the retention schedule and preventing the number of documents saved on the drive escalating to previous levels, management should, in future, identify named individuals who will be responsible for ensuring the retention schedule is adhered to.

Recommendation one

Summary of internal audit findings - CNPA

DRAFT

Record management plan, policies and procedures

We reviewed CNPA's record management plan ("RMP") and related policies, procedures and guidance to ensure it was in accordance with the legislative requirements and the 14 elements as set out by the Keeper in the template RMP. New policies and procedures were developed as part of the project plan by the newly appointed governance and corporate performance manager. These covered the full implementation of the RMP which was planned in three phases, with phase one being complete at the time of our visit. We considered these against our experience of best practice, both across the public sector and record management in general.

The policies and procedures which have been developed and approved include:

- records management policy statement;
- business classification framework;
- retention schedules;
- risk register for records management project;
- naming convention guidance;
- information security policy; and
- statement on data sharing.

The following policies and procedures were reviewed in draft format which had yet to be approved:

- data protection policy;
- records management project plan (phase 2);
- equality impact assessment;
- business continuity plan; and
- archiving and transfer arrangement policy.

CNPA kept strong communication links with LLTNA when developing their RMP. The governance and corporate performance manager also reviewed guidance released by the Keeper as well as consideration of other authorities RMP that have been published. This was evident from the plan that was produced as an example format was used.

Summary of internal audit findings - CNPA (continued)

DRAFT

Record management policies and procedures (continued)

CNPA has coordinated with LLTNPA to ensure policies are in line with best practice and meet legislative and business requirements.

However, policies and procedures are not being approved in a timely manner and this presents the risk that there is no approved guidance in place for users to follow. This allows timeline changes to be made to draft formats and gives rise to the risk of no formal monitoring of deadlines. This could result in the policies not undergoing regular review by the records management team and therefore not following the review and assessment requirements of the Act.

All policies and procedural documents should be approved in a timely manner and undergo an rolling programme of review every five years.

Recommendation one

Record Management Plan

This was obtained and reviewed to verify it is in accordance with the legislative requirements and the 14 elements as set out by the Keeper.

This was presented in line with best practice and was supported with relevant evidence. To reduce the risk of non-compliance with the Keeper's requirements, it is recommended that the governance and corporate performance manager's job description is also included within the evidence that is submitted to the Keeper. This will demonstrate the role of record management on a day-to-day basis.

Recommendation two

Project Phases

The approach to implementing CNPA's RMP was divided into three phases:

- the switching from one Windows server (L: drive) to use the new server (R: drive), this has involved the L: drive becoming read-only and all new records being stored on the R: drive. This involved communication and training with staff on naming conventions and version control in November 2014.
- The second phase is the migration of electronic data from the L: drive using retention schedules in place alongside justification criteria to migrate, delete or archive records.
- The final phase will focus on paper files, determining whether to migrate, destroy or archive.

Summary of internal audit findings – CNPA (continued)

DRAFT

Staff training

As part of the RMP naming convention and version control guidance was issued to all staff via email with additional one-to-one demonstrations and advice given by the governance and corporate performance manager when the system went live. Conversations with various staff members showed an awareness and understanding of the new record management plan showing that the training had been implemented effectively. Monthly audits have since been carried out by the corporate and governance performance manager with any errors being sent back to the individual responsible.

Preparation for migration of data – back ups and duplicates

A software licence has been purchased by CNPA, 'Dup Scout Pro'; a programme designed to identify duplicate documents. The L: drive was fully backed up to LLTNPA before the first duplicate report was run. The R: drive is backed up each night to LLTNPA's back up drive, which is backed up onto tape on a weekly and monthly basis by the IT manager at LLTNPA and stored offsite. Documents that were identified as duplicates were sent to their owner to determine if only the original was required, could be deleted or if additional short cuts were necessary. The same process will be completed with the R: drive.

There is a risk once all the data has been migrated, newly duplicated documents may not be identified if the report is not run on a regular basis. To maximise efficient use of storage space, timing of running these reports should be formalised and documented to ensure this procedure is continued on a regular basis.

Structure of the records management system

Recommendation three

The document management team was set up in the early stages of this project, with members from across the different business units. They agreed the basis of the structure from the business and statutory requirements of each business unit. The plan was distributed across the organisation encouraging any feedback to improve the structure in place.

The drive has a similar structure to that seen at LLTNPA; the business function, broken into activities and then related working folders. There are restrictions in place for the creation of folders, these must be authorised by the corporate and governance performance manager. Where restricted access are required, for example specific finance or HR folders, permissions can only be set-up by the IT manager. As with LLTNPA, the new file structure enables greater flexibility, improved intellectual control, easier access to records, reduced duplication and reduced costs of maintaining records. Through our review of the new structure we did not identify areas of improvement.

Action plan – LLTNPA

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Findings and risk	Recommendations	Agreed management actions
<p>We note the well managed implementation of the records management system. As the project moves to the post implementation phase, we have discussed with management areas of focus, as set out in the action plan.</p>	<p>1 Areas of future focus – post implementation</p>	<p>During the review of the implementation of the records management system we identified areas of future focus, and discussed management's plans for implementation.</p> <p>For completeness and to facilitate audit committee oversight, we note these areas:</p> <ul style="list-style-type: none"> ■ whilst staff have received training on the new structure, policies and procedures the staff induction packs have not been updated, giving a risk in respect of new staff members knowledge; ■ the ad hoc checks on the new file management system are not yet formalised, giving a risk that in the longer term the structure may not be followed or errors identified; and ■ there is currently not a decision of who has overarching responsibility for how often or when retention schedule checks should be performed. <p>We acknowledge management's plans for the post implementation phase and recommend:</p> <ul style="list-style-type: none"> ■ induction policies are updated to include guidance on the new records management system; ■ a formal process is established to ensure file structure compliance checks are performed; and ■ named individuals should be nominated with a role of checking that the retention policy is followed.

The action plan summarises specific recommendations, together with related risks and management's responses.

Findings and risk	Recommendations	Agreed management actions
1 Approval of policies and procedures <p>A number of policies and procedures related to the RMP are in draft format and have yet to be approved. There is a risk that no relevant policy or procedure will be followed if there is no final approved version available to users. There is also a risk that deadlines are not monitored appropriately as the drafts are updated with new timescales.</p>	<p>It is recommended that management should ensure policy and procedural documents are reviewed and approved in a timely manner and updated on a rolling basis and not left in draft format for longer than six months.</p>	<input checked="" type="checkbox"/> Responsible officer: <input checked="" type="checkbox"/> Implementation date: <input checked="" type="checkbox"/> Moderate
2 Record Management Plan and evidence <p>The RMP was largely presented in line with best practice and was supported with relevant evidence. However, the RMP does not clearly state the roles undertaken by the corporate performance manager. However, there is a risk of non-compliance with the Keepers requirements if there is no additional evidence to support the records management responsibility element.</p>	<p>It is recommended that the governance and corporate performance manager's job description is also included within the evidence to demonstrate the role of record management on a day to day basis.</p>	<input checked="" type="checkbox"/> Responsible officer: <input checked="" type="checkbox"/> Implementation date: <input checked="" type="checkbox"/> Low

Action plan - CNPA

DRAFT

The action plan summaries specific recommendations, together with related risks and management's responses.

Findings and risk	Recommendations	Agreed management actions
3 Efficient use of duplicate software Currently there is software that can be run to check if duplicate records are stored on the system. However, there is no set period for this to be performed. There is a risk that once all the data has been migrated, newly duplicated documents may not be identified if the report is not run on a regular basis.	To maximise efficient use of storage space, timing of running duplicate reports should be formalised and documented to ensure this procedure is continued on a regular basis.	<input type="checkbox"/> Responsible officer: Implementation date: Low

Appendices

Appendix one Objective, scope and approach



DRAFT

Objective

The Authorities' record management systems are being upgraded in 2014-15 to update the storage and structure of the previous filing systems.

The objective of the audit is to assess the project management arrangements and consider if they are sufficient to mitigate the risk of inappropriate data migration and inefficient transfer processes. The audit will also consider the plans for ensuring that staff are trained to use the system and that robust post-implementation testing is scheduled.

Scope

The review for 2014-15 is in respect of pre-implementation, with a post-implementation review planned for 2015-16. We will:

- review and discuss with management the proposed project plan for the implementation of the new system and the transfer of data;
- consider the robustness of the planned procedures to migrate the data, including back-up procedures and data integrity testing;
- review the proposed structure of the new records management system and consider areas of improvement if relevant;
- assess the plans for training of staff and communication of user testing and remapping responsibilities; and
- consider improvement opportunities by reference to similar projects at other organisations.

Approach

We will adopt the following approach in this review:

- project planning and scoping;
- conduct interviews with staff to gain an understanding of the Authorities' proposed plan for the implementation of the new records management system and the transfer of data;
- identify and agree key risks and processes with management;
- review the adequacy and effectiveness of key processes through sample testing and discussion;
- consider the testing plans and staff communication plans; and
- agree findings and recommendations with management.

Appendix two Classification of internal audit findings

DRAFT

The following framework for internal audit ratings has been developed and agreed with management for prioritising internal audit findings according to their relative significance depending on their impact to the process.

Rating	Definition	Examples of business impact	Action required
Critical	Issue represents a control weakness, which could cause or is causing severe disruption of the process or severe adverse effect on the ability to achieve process objectives.	<ul style="list-style-type: none"> ■ Potential financial impact of more than 1% of total expenditure. ■ Detrimental impact on operations or functions. ■ Sustained, serious loss in brand value. ■ Going concern of the organisation becomes an issue. ■ Decrease in the public's confidence in the Authority. ■ Serious decline in service/product delivery, value and/or quality recognised by stakeholders and customers. ■ Contractual non-compliance or breach of legislation or regulation with litigation or prosecution and/or penalty. ■ Life threatening. 	<ul style="list-style-type: none"> ■ Requires immediate notification to the Authority's audit committee. ■ Requires executive management attention. ■ Requires interim action within 7-10 days, followed by a detailed plan of action to be put in place within 30 days with an expected resolution date and a substantial improvement within 90 days. ■ Separately reported to chairman of the Authority's audit committee and executive summary of report.
High	Issue represents a control weakness, which could have or is having major adverse effect on the ability to achieve process objectives.	<ul style="list-style-type: none"> ■ Potential financial impact of 0.5% to 1% of total expenditure. ■ Major impact on operations or functions. ■ Serious diminution in brand value. ■ Probable decrease in the public's confidence in the Authority. ■ Major decline in service/product delivery, value and/or quality recognised by stakeholders and customers. ■ Contractual non-compliance or breach of legislation or regulation with probable litigation or prosecution and/or penalty. ■ Extensive injuries. 	<ul style="list-style-type: none"> ■ Requires prompt management action. ■ Requires executive management attention. ■ Requires a detailed plan of action to be put in place within 60 days with an expected resolution date and a substantial improvement within 3-6 months. ■ Reported in executive summary of report.

Appendix two

Classification of internal audit findings (continued)



DRAFT

Rating	Definition	Examples of business impact	Action required
Moderate	Issue represents a control weakness, which could have or is having significant adverse effect on the ability to achieve process objectives.	<ul style="list-style-type: none"> ■ Potential financial impact of 0.1% to 0.5% of total expenditure. ■ Moderate impact on operations or functions. ■ Brand value will be affected in the short-term. ■ Possible decrease in the public's confidence in the Authority. ■ Moderate decline in service/product delivery, value and/or quality recognised by stakeholders and customers. ■ Contractual non-compliance or breach of legislation or regulation with threat of litigation or prosecution and/or penalty. ■ Medical treatment required. 	<ul style="list-style-type: none"> ■ Requires short-term management action. ■ Requires general management attention. ■ Requires a detailed plan of action to be put in place within 90 days with an expected resolution date and a substantial improvement within 6-9 months. ■ Reported in executive summary of report.
Low	Issue represents a minor control weakness, with minimal but reportable impact on the ability to achieve process objectives.	<ul style="list-style-type: none"> ■ Potential financial impact of less than 0.1%* of total expenditure. ■ Minor impact on internal business only. ■ Minor potential impact on brand value. ■ Should not decrease the public's confidence in the Authority. ■ Minimal decline in service/product delivery, value and/or quality recognised by stakeholders and customers. ■ Contractual non-compliance or breach of legislation or regulation with unlikely litigation or prosecution and/or penalty. ■ First aid treatment. 	<ul style="list-style-type: none"> ■ Requires management action within a reasonable time period. ■ Requires process manager attention. ■ Timeframe for action is subject to competing priorities and cost/benefit analysis, eg. 9-12 months. ■ Reported in detailed findings in report.



cutting through complexity

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National Park Authority Board Meeting

Agenda Item 8

Organisational Update

approved by Bòrd na Gàidhlig, which has allowed the drafting of the next Plan to continue. If approved by the National Park Authority Board, the draft Plan will be subject to consultation in early 2017.

8.2 HR Update

- 8.2.1 In the last paper we reported that our first two Modern Apprentices had joined the organisation we are now 4 months into the apprenticeships and they are proving a real success. The apprenticeship sees the two individuals work with different teams across the corporate services area which will provide them with a good insight of the skills that are required for different roles while also providing them with practical experience in the business environment. The individuals have settled well into the organisation and are proving a real hit with all staff.
- 8.2.2 We have also now completed the recruitment of our Digital Modern Apprentice who joined our Communications team in October. We have been able to provide a unique opportunity to work with both Young Scot and West Dunbartonshire which will allow the individual to learn both from us but also from some of the leading names in business such as the BBC and . We are really excited about this partnership and look forward to building on this relationship.
- 8.2.3 We have successfully recruited a General Communications intern and a Digital intern who both joined the team in October both roles will play a pivotal part in developing communications that engage their intended audience, we look forward to following their progress over the coming months.
- 8.2.4 These appointments deliver great progress towards our Youth Investment Plan, part of our commitment to SGs Developing the Young Workforce (DYW) Strategy and our Social Impact Pledge.

8.3 Governance Update

- 8.3.1 We continue to develop our Records Management Plan ready to submit it to the Office of the Keeper of the Records of Scotland by the end of February 2017.

8.4 Legal Update

ID	Task Name	Task Mode	Duration	Start	Finish	Predecessors	Notes	Fri 17/02/17 Records Management Project Plan																
								1st Quarter	2nd Quarter	3rd Quarter	1st Quarter	2nd Quarter	3rd Quarter	1st Quarter	2nd Quarter	3rd Quarter	1st Quarter	2nd Quarter	3rd Quarter	1st Quarter	2nd Quarter	3rd Quarter	1st Quarter	
Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	
1	Records Management Development Plan		584 days	Tue 05/01/16	Fri 30/03/18																			
2	Records Management Policy Statement		240 days	Fri 31/03/17	Thu 01/03/18																			
3	RMP review period		21 days	Thu 01/02/18	Thu 01/03/18																			
4	RMP policy review complete		0 days	Fri 31/03/17	Fri 31/03/17	3																		
5	Refresher training on RM for all staff following review&update		21 days	Fri 31/03/17	Fri 28/04/17	4																		
6	Business classification		305 days	Fri 01/04/16	Thu 01/06/17																			
7	Review Business Classification Scheme		283 days	Mon 01/06/15	Wed 29/06/16																			
8	BCS review completed		0 days	Thu 30/06/16	Thu 30/06/16	7																		
9	Government Protective Marking Scheme to be aligned to BCS Guidance document provided to colleagues		48 days	Wed 01/02/17	Fri 07/04/17	8																		
10			0 days	Fri 07/04/17	Fri 07/04/17	9																		
11	Roll out of Protective Marking Scheme		39 days	Mon 10/04/17	Thu 01/06/17	10																		
12	Retention Schedules		372 days	Thu 31/12/15	Fri 02/06/17																			
13	Permission given to British Library and National Library of Scotland to archive NPA website		1 day	Thu 31/12/15	Thu 31/12/15																			
14	NPA website archiving		0 days	Mon 29/02/16	Mon 29/02/16	13																		
15	Internal tasks		196 days	Fri 02/09/16	Fri 02/06/17																			
16	Review Retention Schedule		38 days	Tue 01/11/16	Thu 22/12/16																			
17	RS reviewed and teams are updated on disposal timescales		0 days	Thu 22/12/16	Thu 22/12/16	16																		
18	Migration/destruction plan to be developed for information held in shared drives		1 day?	Wed 01/02/17	Wed 01/02/17																			
19	Migration/destruction plan complete		59 days	Thu 02/02/17	Tue 25/04/17	18																		
20	Asses content of paper records held off-site for review and destruction			Thu 01/06/17																				
21	Meeting with archivist at NRS		0 days	Mon 16/01/17	Mon 16/01/17																			
22	Include records to be transferred to Nation			Thu 02/06/16																				

Information Officer

31/03

Information Officer

07/04

30/06

29/02

22/12

15/01

Fri 17/02/17 Records Management Project Plan

Fri 17/02/17 Records Management Project Plan																
D	Task Name Mode:	Duration	Start	Finish	Predicates/Notes	1st/2nd/3rd Quarter										
						Jan	Apr	Jul	Oct	Jan	Apr	Jul	Oct	Jan	Apr	
23	Develop MOU for transfer of records to NA for permanent retention	241 days	Mon 02/05/16	Mon 03/04/17	Started and sent to Legal for sense check on 8 Feb 17.									1st Quarter	3rd Quarter	
24	Draft MOU complete	21 days	Mon 09/01/17	Mon 06/02/17	Drafting completed in Jan 17. Approval from NA required...									1st Quarter	3rd Quarter	
25	Open negotiations with NA	1 day?	Mon 05/12/16	Mon 05/12/16	Anticipated starting date is Dec 2016 - first meeting held on 16 Jan 17.									1st Quarter	3rd Quarter	
26	MOU complete	0 days	Mon 03/04/17	Mon 03/04/17	25/24									1st Quarter	3rd Quarter	
27	Destruction Arrangements	217 days?	Wed 31/08/17	Fri 30/06/17	◆ 28/04									1st Quarter	3rd Quarter	
28	Implement Records Disposal Policy	0 days	Fri 28/04/17	Fri 28/04/17	◆ 28/04/17									1st Quarter	3rd Quarter	
29	Investigate e-learning module for staff training	22 days	Thu 01/06/17	Fri 30/06/17	Anticipated starting date is Jun 2017...									1st Quarter	3rd Quarter	
30	Staff training requirements are met and training to be delivered													Team meeting scheduled - 9 Mar 17 - Legal; 19 Apr 17 - Volunteering, Edu & Engagement; 26 Apr 17 - Finance.	1st Quarter	3rd Quarter
31	Statement from ICT confirming that backed up old records													Statement from ICT confirming that backed up old records	1st Quarter	3rd Quarter
31	Statement from ICT confirming that backed up old records													Statement from ICT confirming that backed up old records	1st Quarter	3rd Quarter
32	Consultations with areas where older records													Legal - 9 March 17	1st Quarter	3rd Quarter
33	Introduce destruction date and process for deletion of historical email records	0 days	Fri 31/03/17	Fri 31/03/17	◆ 31/03									Introduce destruction date and process for deletion of historical email records	1st Quarter	3rd Quarter
34	Archiving and Transfer Arrangements	267 days?	Wed 01/02/17	Thu 08/02/18										Archiving and Transfer Arrangements	1st Quarter	3rd Quarter
35	Commence discussions with NRS to confirm what is considered as Records of Historic	263 days	Tue 07/02/17	Thu 08/02/18	Outcome: identifying records that will be transferred to NRS									Commence discussions with NRS to confirm what is considered as Records of Historic	1st Quarter	3rd Quarter
36	Review options for storage of paper records at IPA	Wed 01/03/17			Incorporate into annual review. Destruction of old records.									Review options for storage of paper records at IPA	1st Quarter	3rd Quarter
37	Digital Preservation	1 day	Wed 01/02/17	Wed 01/02/17										Digital Preservation	1st Quarter	3rd Quarter
38	Review of current arrangements and forecast future requirements	Wed 01/02/17			Anticipated starting date is Feb 2017. Discuss with IT...									Review of current arrangements and forecast future requirements	1st Quarter	3rd Quarter
39	Information Security and Password Control	281 days	Fri 01/04/17	Fri 28/04/17										Information Security and Password Control	1st Quarter	3rd Quarter
40	Develop comprehensive BYOD policy based on 1 day		Thu 27/04/17	Thu 27/04/17	Discuss requirements for this with IT...									Develop comprehensive BYOD policy based on 1 day	1st Quarter	3rd Quarter
41	BYOD policy complete	0 days	Fri 28/04/17	Fri 28/04/17	◆ 28/04									BYOD policy complete	1st Quarter	3rd Quarter
42	Review ICT Strategy	64 days	Fri 01/04/16	Wed 29/06/16	Timeline? Discuss with IT...									Review ICT Strategy	1st Quarter	3rd Quarter
43	ICT Strategy review complete	0 days	Thu 30/06/16	Thu 30/06/16	◆ 30/06									ICT Strategy review complete	1st Quarter	3rd Quarter
44	Data Disaster Recovery Plan complete	0 days			◆ 01/04									Data Disaster Recovery Plan complete	1st Quarter	3rd Quarter
45	Data Protection	426 days?	Fri 13/05/16	Fri 29/12/17	◆ 01/04									Data Protection	1st Quarter	3rd Quarter

ID	Task Name	Duration	Start	Finish	Predecessor	Notes	Fri 17/02/17 Records Management Project Plan							
							1st Quarter Jan	1st Quarter Apr	2nd Quarter Jul	2nd Quarter Oct	3rd Quarter Jan	3rd Quarter Apr	1st Quarter Jul	1st Quarter Oct
46	Data Protection Policy	231 days	Fri 13/05/16	Fri 31/03/17										
47	Review of ICO notification - to include char0 days	1 day	Fri 17/02/17	Fri 17/02/17		Update sent 17 Feb 17 - Complete.								17/02
48	Review Data Protection Policy	1 day	Thu 30/03/17	Thu 30/03/17		Will take at least 3 months to complete. Needs to go to Policy Review Group.								Information Officer
49	Data Protection Policy review complete	1 day	Fri 31/03/17	Fri 31/03/17										Information Officer
50	Data Protection training delivered to all teams	1 day	Fri 13/05/16	Fri 13/05/16		During 2017/18. New regulation on DP will come into force in May 2018.								Information Officer
51	Revise wording of Data Protection for new 1 day	1 day	Fri 13/05/16	Fri 13/05/16		Complete								Information Officer
52	Wording revision completed and submitted1 day	1 day	Fri 13/05/16	Fri 13/05/16		Complete								Information Officer
53	Complete overhaul of Ranger Patrol database	21 days	Fri 01/12/17	Fri 29/12/17		Possibly can start in Dec 2017...								
54	Overhaul completed	0 days	Fri 29/12/17	Fri 29/12/17	53									
55	Data Securing Breach Management Procedure					Sent to Director of Corporate Services and IT Manager for review.								
56	Business Continuity and Vital Records	1 day	Tue 05/01/16	Tue 05/01/16										
57	Subtasks to be confirmed													
58	Audit Trail	152 days	Thu 01/12/16	Fri 30/06/17										
59	Review and update Naming Convention and \v15 days		Thu 01/12/16	Wed 21/12/16		Review of existing policy is underway - Feb 17.								
60	Review completed	0 days	Wed 21/12/16	Wed 21/12/16	59									21/12
61	Setting up audit process for annual review an\22 days		Thu 01/06/17	Fri 30/06/17		Inputs to plan. Possible start June 17.								
62	Audit process is complete	0 days	Fri 31/03/17	Fri 31/03/17										31/03
63	Competency Framework for RM staff	22 days?	Tue 01/11/16	Wed 30/11/16		Review complete - Feb 17.								
64	Retain annual membership of the Information 22 days		Tue 01/11/16	Wed 30/11/16		In November every year.								
65	RM Working Group quarterly meetings to be held					Group currently don't meet. Email updates as required.								
66	Shared Information	522 days	Tue 01/03/16	Wed 28/02/18										
67	Setting up template wording for data processing/sharing agreements	213 days	Tue 01/03/16	Thu 22/12/16		Ongoing. Estimated end date Dec 2016. Look at ISP with Police Scotland. Due to set up agreement with Councils for boat licensing...								

ID	Task Name	Duration	Start	Finish	Predecessor/Notes	Fri 17/02/17 Records Management Project Plan							
						1st Quarter Jan	1st Quarter Apr	3rd Quarter Jul	3rd Quarter Oct	1st Quarter Jan	1st Quarter Apr	3rd Quarter Jul	3rd Quarter Oct
68	Template wording set up and accessible to all staff	1 day?	Fri 23/12/16	Fri 23/12/16	67	Wording for agreement on RO/FOI/DP(?) complete. Template wording for filming agreements complete.							
69	Review Publication scheme	99 days?	Fri 15/07/16	Wed 30/11/16		Starting after new NPA website is up and running - Second review Nov 16.							
70	Publication Scheme review completed	0 days	Wed 30/11/16	Wed 30/11/16	69	TBC							
71	Update new NPA website	10 days	Thu 01/12/16	Wed 14/12/16	70	complete							
72	Assess Legal Deposit Requirements		Thu 27/10/16			Part of review of retention schedule - end of Nov 16.							
73	Draft procedure and issue guidance to staff	0 days	Fri 28/10/16	Fri 28/10/16	70	28/10							
74	Gaelic Language Plan - provide input from Rec		Thu 22/12/16			Project finishes in Dec16							
75	Inspire Regulations 2009 - open publication of 105 days	Thu 01/12/16	Wed 26/04/17	70		timeline? Discuss with IT..							
76	SG Data Vision for Scotland 2020 - Publish data 105 days	Thu 01/12/16	Wed 26/04/17	70		SG Data Vision for Scotland 2020 - Publish data 105 days							
77	OD Strategy Review progress meeting		Thu 01/02/18	Wed 28/02/18		Scheduled monthly with update delivered on RM. Ongoing.							
78	NPA Library facility - review current usage and 20 days		Thu 01/02/18	Wed 28/02/18		Anticipated start is Feb 2018							
79	Review and Assessment	260 days	Wed 01/03/17	Wed 28/02/18		28/02							
80	Monthly meetings with PM Adviser												
81	Response to Best Value in Public Services Guidance	23 days	Wed 01/03/17	Fri 31/03/17									
82	RMP annual review completion date	0 days	Wed 28/02/18	Wed 28/02/18									
83	Open Data	1 day?	Tue 05/01/16	Tue 05/01/16		early discussion with IT happened, Open Data workshop attended.							
84	Subtasks to be confirmed												



Element 13 – Records Management Enquiry Log

	A	B	C	E	F	G	H	I	J	K	L	M	N
1	Ref	Date received		Subject	Response	Notes	Date Closed						
2	1 RM 2017-001	09.01.2017		DOX for legal		ongoing							
3	2 RM 2017-002	09.01.2017		RMP questionnaire									
4	3 RM 2017-003	13.01.2017		Your Park System design group									
5	4 RM 2017-004	18.01.2017		Managers meeting									
6	5 RM 2017-005	18.01.2017		YP Polices group									
7	6 RM 2017-006	24.01.2017		Community Empowerment									
8	7 RM 2017-007	31.01.2017		deletion of old permit files									
9	8 RM 2017-008	01.02.2017		records management awareness month									
10	9 RM 2017-009	06.02.2017		Cairngorms retention Q									
11	10 RM 2017-010	01.02.2017		info@mailbox									
12	11 RM 2017-011	07.02.2017		RM policy updates									
13	12 RM 2017-012	15.02.2017		RM at team meetings									
14	13 RM 2017-013	01.03.2017		Project list 2017	reference								
15	14 RM 2017-014	15.03.2017		IRMS seminar	reference								
16	15 RM 2017-015	22.03.2017		Legal Deposit									
17	16 RM 2017-016	22.04.2017		YP complaints management									
18	17 RM 2017-017	27.04.2017		File structure change request									
19	18 RM 2017-018	05.05.2017		Archiving website									
20	19 RM 2017-019	06.05.2017		planning application query	reference								
21	20 RM 2017-020	31.03.2017		managing policy folder									
22	21 RM 2017-021	30.05.2017		project management folder	weed current folder before creating new top level project folder								
23	22 RM 2017-022	23.06.2017		ELL byelaws on website	publication scheme								
24	23 RM 2017-023	26.06.2017		complaints training slides									
25	24 RM 2017-024	26.06.2017		managing tourism records									
26	25 RM 2017-025	28.06.2017		Email expiry dates	circulate guidance								
27	26 RM 2017-026	07.04.2017		back up of data									
28	27 RM 2017-027	07.07.2017		CLP acknowledgements									
29	28 RM 2017-028	14.07.2017		archive room									
30	29 RM 2017-029	02.08.2017		NRS survey Irvine	reference								
				update to planning									

LOCH LOMOND & THE TROSSACHS NATIONAL PARK AUTHORITY

National Park Headquarters, Carrochan, Carrochan Road, Balloch, G83 8EG Long: 4°34'24"W Lat: 56°00'12"N

t: 01389 722600 f: 01389 722633 e: info@lochlomond-trossachs.org w: lochlomond-trossachs.org

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Template wording used in agreements between the Park Authority and external third parties

1 Data Protection, Freedom of Information and Records Management

1.1 For the purposes of the Data Protection Act 1998 ("DPA"), the Park Authority and the Licensee agree that they shall each be the Data Controllers (as defined in the DPA) and shall (and shall procure that any of their staff involved in connection with the activities under this Agreement shall) duly observe all their obligations under the DPA, including, but not limited to, any notification requirements which arise in connection with any Personal Data processed (as defined in the DPA) by them pursuant to this Agreement. In the event that the Licensee processes Personal Data on behalf of the Park Authority pursuant to this Agreement of which the Park Authority is the data controller ("**Park Authority Personal Data**"), the Licensee shall be the Data Processor (as defined in the DPA) of such Park Authority Personal Data. As Data Processor, the Licensee undertakes:

- 1.1.1 to process the Park Authority Personal Data strictly in accordance with the Park Authority's instructions from time to time and the DPA;
- 1.1.2 to put in place appropriate technical and organisational processes and procedures to safeguard against any unauthorised and unlawful processing of or accessing of, and against accidental loss or destruction of, or damage to, the Park Authority Personal Data;
- 1.1.3 that any of its employees who will have access to the Park Authority Personal Data have undergone data protection training and are aware of their obligations under the DPA;
- 1.1.4 to assist the Park Authority with all requests which may be received from Data Subjects (as defined in the DPA) in relation to the Park Authority Personal Data under the DPA and to notify the Park Authority of any such request within five (5) business days of receipt;
- 1.1.5 to provide the Park Authority with such information as the Park Authority may require to satisfy itself that the Licensee is complying with its obligations under the DPA and this Clause 0;
- 1.1.6 to notify the Park Authority immediately if it receives a complaint, notice or any other communication concerning the Licensee's processing of the Park Authority Personal Data;
- 1.1.7 to notify the Park Authority of any breach of the security measures required to be put in place by the Licensee pursuant to Clause 1.1.2;

and

- 1.1.8 to indemnify the Park Authority fully on demand against all losses, liabilities, damages, costs, claims, demands and expenses of whatsoever nature and howsoever incurred by the Park Authority arising from any breach by the Licensee, or any of its employees or agents, of this Clause 0.
- 1.2 The Licensee shall comply with its obligations under the DPA which arise in connection with this Agreement.
- 1.3 The Licensee acknowledges that the Park Authority is subject to the requirements of the Freedom of Information (Scotland) Act 2002 ("FOISA") and the Environmental Information (Scotland) Regulations 2004 ("EISR") and shall assist and co-operate with the Park Authority (at the Licensee's expense) to enable the Park Authority to comply with the information disclosure requirements of the FOISA and the EISR. The Licensee shall, and shall procure that its subcontractors shall,:
 - 1.3.1 transfer requests for information received under the FOISA and the EISR ("**Request for Information**") to the Park Authority as soon as practicable after receipt and, in any event, within two (2) business days of receiving a Request for Information;
 - 1.3.2 provide the Park Authority with all necessary assistance as requested by the Park Authority to enable the Park Authority to respond to a Request for Information within the time limit for compliance set out within the FOISA or the EISR; and
 - 1.3.3 not respond directly to a Request for Information unless expressly authorised to do so by the Park Authority.
- 1.4 The Licensee agrees that:
 - 1.4.1 the Park Authority shall be responsible for determining at its absolute discretion whether any information which it has received from the Licensee pursuant to this Agreement, any information relating to this Agreement or any information produced in the course of this Agreement ("**Information**") is exempt from disclosure in accordance with the provisions of the FOISA or the EISR and whether the Information is to be disclosed in response to a Request for Information; and
 - 1.4.2 the Park Authority may disclose Information in response to a Request for Information without consulting the Licensee or following consultation with the Licensee and having taken its views into account, provided always that the Park Authority shall not be bound to take the Licensee's views into account when determining whether to disclose Information in response to a Request for Information.
- 1.5 The provisions of Clauses 1.1 to 1.4 shall apply during the continuance of this

Agreement and after its termination howsoever arising.

- 1.6 The Licensee shall, for the duration of this Agreement, provide the Park Authority with all assistance requested by the Park Authority to assist the Park Authority in complying with its obligations under the Public Records (Scotland) Act 2011 ("PRSA") and with the Park Authority's Records Management Plan where such compliance is in respect of records created or to be created by the Licensee on behalf of the Park Authority in terms of this Agreement. This assistance will be at no cost to the Park Authority.
- 1.7 The Licensee shall, for the duration of this Agreement and, in respect of records created during the term of this Agreement for the duration set out for that class of record in the Licensee's Retention Schedule after the termination or expiry of this Agreement, comply with the Records Management Provisions notified by the Park Authority to the Licensee from time to time.
- 1.8 In this Clause 0, "**Records Management Plan**" means the plan prepared by the Park Authority and approved by the Keeper of the Records of Scotland under Section 1 of the PRSA; "**Records Management Provisions**" refers to the policies, procedures and arrangements for the management and preservation of the records created by the Licensee further to this Agreement; and "**Licensee's Retention Schedule**" refers to those parts of the Records Management Provisions relating to how long particular records or classes of records created or managed by the Licensee are to be retained for after they have come to the end of their normal operational use.
- 1.9 At the end of the relevant period set down in the Licensee's Retention Schedule for a particular record or class of records, then if the Licensee's Retention Schedule for that record or class of records lists the final disposal of the record or class of records as "Pass to the Park Authority", the Licensee shall offer to transfer the records in question to the Park Authority, such transfer to include full ownership of the records (including transfer of the status of Data Controller of any Personal Data contained in the records, full beneficial ownership and transfer of any Intellectual Property Rights relating to the records.) The transfer shall be at no cost to the Park Authority. The Licensee shall ensure that all relevant indices and any other relevant information reasonably required to locate individual items within the records, including metadata and database schema, are also offered to the Park Authority on the same terms.

Data Sharing Agreement

between

Loch Lomond & The Trossachs National Park Authority

and

[INSERT NAME OF PARTY]

This Agreement is [among][between]:

1. Loch Lomond & The Trossachs National Park Authority, a body established in terms of and acting under the National Parks (Scotland) Act 2000 and The Loch Lomond & Trossachs National Park Designation, Transitional and Consequential Pensions (Scotland) Order 2000 and having its principal office at National Park Headquarters, Carrochan, Carrochan Road, Balloch G83 8EG (“NPA”); and
2. [INSERT NAME OF PARTY] (the “[**INSERT SHORT FORM DESCRIPTION**”]);

together referred to as the “**Parties**” and separately as a “**Party**”.

Background:

This Agreement regulates the relationship between the NPA and [INSERT NAME OF PARTY] relating to the sharing of Data for the purposes of establishing a mutual framework pursuant to which the NPA and [INSERT NAME OF PARTY] may share Data relating to [**INSERT PURPOSES FOR WHICH DATA IS BEING SHARED**].

It is agreed as follows:

1 Definitions

- 1.1 In this Agreement, the following terms have the following meanings:

“**Agreement**” means this agreement, including the Schedule;

“**Data**” means the Personal Data of [**INSERT DESCRIPTION OF DATA SUBJECTS**];

“**Data Controller**”, “**Data Subject**”, “**Data Processor**”, “**Process**”, “**Personal Data**” and “**Sensitive Personal Data**” all have the meanings ascribed to them in the DPA;

“**Data Sets**” means the data sets set out in Part 1 of the Schedule or as otherwise agreed between the Parties in writing from time to time;

“**DPA**” means the Data Protection Act 1998 as amended from time to time;

“**Effective Date**” means [**INSERT DATE**];

“**Good Practice**” means that standard of skill, care, knowledge and foresight which would be reasonably and ordinarily expected of an experienced and responsible person carrying out the activity in question;

“**Protocol**” means the data sharing protocol set out in Part 3 of the Schedule as the same may be changed from time to time in accordance with its terms;

“**Purpose**” means the purpose or purposes described in Part 2 of the Schedule or as otherwise agreed between the Parties in writing from time to time; and

“**Schedule**” means the schedule to this Agreement in four parts.

- 1.2 In this Agreement:

1.2.1 the singular includes the plural and vice versa;

- 1.2.2 references to gender include references to all genders;
- 1.2.3 unless otherwise stated, references to sub-Clauses and Clauses are to sub-Clauses and Clauses in this Agreement;
- 1.2.4 the Clause headings are for reference only and shall not affect the construction or interpretation of this Agreement; and
- 1.2.5 references to statutes, any statutory instrument, regulation or order shall be construed as a reference to such statute, statutory instrument, regulation or order as amended or re-enacted from time to time.

2 Responsibilities and obligations

- 2.1 The Parties agree that they are Data Controllers in relation to all Data which they Process under this Agreement.
- 2.2 Each Party shall act at all times in accordance with Good Practice and shall:
 - 2.2.1 only Process Data in compliance with the DPA and all other applicable laws, enactments, regulations, orders, standards and any guidance or codes of practice issued from time to time by the Office of the UK Information Commissioner or the Scottish Government;
 - 2.2.2 adhere to the Data retention periods set out in Part 4 of the Schedule; and
 - 2.2.3 otherwise adhere to the terms of the Protocol and, in particular, its obligations under the Protocol.
- 2.3 Each Party shall not:
 - 2.3.1 sub-contract the performance of any of its obligations under this Agreement (or otherwise authorise any third party to Process the Data on its behalf);
 - 2.3.2 sub-license the exercise of any of its rights under this Agreement; or
 - 2.3.3 assign or otherwise transfer (as applicable) its rights and obligations under this Agreement,

in each case, whether in whole or in part, without the prior written consent of the other Party to this Agreement.

3 General obligations

- 3.1 The Parties agree that they shall:
 - 3.1.1 ensure that access to Data is limited to:
 - 3.1.1.1 those employees who need access to the Data for the Purpose; and
 - 3.1.1.2 in the case of any access by any employee, such part or parts of the Data as is strictly necessary for performance of that employee's duties;

- 3.1.2 ensure that all employees:
 - 3.1.2.1 are informed of the confidential nature of the Data;
 - 3.1.2.2 have undertaken training in the laws relating to handling Data, including but not limited to the DPA; and
 - 3.1.2.3 are aware both of the duties of their employer and their personal duties and obligations under such laws and this Agreement;
- 3.1.3 who have access to the Data in terms of Clause 3.1.1 of this Agreement are reliable; and
- 3.1.4 keep adequate records of all Processing of Data that they carry out.

- 3.2 Each Party shall promptly inform the other Party in writing of any breach or suspected breach of any of its obligations in terms of this Agreement and of any other unauthorised or unlawful Processing of any of the Data and any other loss or destruction of or damage to any of the Data, specifying the date and all other relevant circumstances of such breach or suspected breach.

4 Indemnities

- 4.1 Each Party agrees to indemnify and keep indemnified and defend at its own expense the other Party against all claims, losses, damages and reasonable costs and expenses incurred by the other Party or for which the other Party may become liable as a result of a failure by the first Party to comply with its obligations under this Agreement.
- 4.2 The following provisions of this Clause 4 govern the conduct of claims which are the subject of the indemnities contained within Clause 4.1.
- 4.3 For the purposes of this Clause, the following terms have the following meanings:

“Claim” means any claim, action, proceeding, demand or allegation or any threatened claim, action, proceeding, demand or allegation of whatever nature, whether in contract, delict (including negligence) or otherwise;

“Indemnifying Party” means the Party giving the relevant indemnity to which the Claim relates; and

“Indemnified Beneficiary” means the Party who is being indemnified under the relevant indemnity to which the Claim relates.
- 4.4 Subject to Clauses 4.5, 4.6 and 4.7, the Indemnifying Party shall have conduct and control of the negotiations and litigation resulting from any Claim and the Indemnified Beneficiary shall, at the request and expense of the Indemnifying Party, afford to the Indemnifying Party all reasonable assistance for the purpose of contesting any such Claim.

- 4.5 The Indemnifying Party shall consult regularly and fully with the Indemnified Beneficiary in relation to the handling of any Claim and shall give all due consideration and weight to any recommendations made by the Indemnified Beneficiary. The Indemnifying Party shall keep the Indemnified Beneficiary fully advised of the progress of the Claim, including by providing the Indemnified Beneficiary with copies of all

court and other legal documents relating to it.

- 4.6 If the Indemnified Beneficiary shall have the option to conduct any litigation and negotiations arising from any Claim against it and shall have the exclusive right to defend, conduct and settle such Claims and/or proceedings in connection with such Claims. The Indemnified Beneficiary wishes to exercise such option it should do so by sending notice in writing to be received by the Indemnifying Party not more than 30 days after first being notified by the Indemnifying Party of the existence and nature of the claim.
- 4.7 Where the Indemnified Beneficiary has conduct of the negotiations and/or litigation arising from any Claim against it the Indemnifying Party shall, at its own cost and expense, at the request of the Indemnified Beneficiary, afford to the Indemnified Beneficiary all reasonable assistance for the purpose of contesting such Claim.
- 4.8 The Indemnified Beneficiary shall take reasonable steps to mitigate the impact of any breach of the Agreement.

5 Duration and Termination

- 5.1 This Agreement will come into effect on the Effective Date and will continue, subject to earlier termination in accordance with Clauses 5.2 and 5.3.
- 5.2 Any Party may terminate this Agreement by giving to the other Party not less than [60] days prior written notice to that effect.
- 5.3 Any Party (the “**Terminating Party**”) shall be entitled to terminate this Agreement if:
 - 5.3.1 the other party (the “**Defaulting Party**”) commits any material breach of any term of this Agreement and which (in the case of a breach capable of being remedied) the Defaulting Party shall not have remedied within [14] days of receipt by the Defaulting Party of written notice from the Terminating Party requiring the Defaulting Party to remedy the same;
 - 5.3.2 the Defaulting Party ceases to exist in law;
 - 5.3.3 the Defaulting Party suspends, or threatens to suspend, payment of its debts, is unable to pay its debts as they fall due, admits inability to pay its debts or (being a company) is deemed unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
 - 5.3.4 the Defaulting Party commences negotiations with all, or any class of, its creditors with a view to rescheduling any of its debts, or makes a proposal for, or enters into any compromise or arrangement with, its creditors other than for the sole purpose of a scheme for a solvent amalgamation of the Defaulting Party with one or more other companies, or the solvent reconstruction of the Defaulting Party;
 - 5.3.5 a petition is filed, a notice is given, a resolution is passed, or an order is made, for or in connection with the winding up of the Defaulting Party other than for the sole purpose of a scheme for a solvent amalgamation of the Defaulting Party with one or more other companies, or the solvent reconstruction of the Defaulting Party;

- 5.3.6 an application is made to court, or an order is made, for the appointment of an administrator, a notice of intention to appoint an administrator is given, or an administrator is appointed over the Defaulting Party;
 - 5.3.7 a floating charge holder over the assets of the Defaulting Party has become entitled to appoint, or has appointed, an administrative receiver;
 - 5.3.8 a person becomes entitled to appoint a receiver over the assets of the Defaulting Party, or a receiver is appointed over the assets of the Defaulting Party; or
 - 5.3.9 a creditor or encumbrancer of the Defaulting Party attaches or takes possession of, or a distress, execution, sequestration or other such process is levied or enforced on or sued against, the whole or any part of its assets and such attachment or process is not discharged within 14 days.
- 5.4 The expiry of termination of this Agreement (for any reason) will not affect:
- 5.4.1 any rights or obligations of a Party that have accrued prior to such expiry or termination; or
 - 5.4.2 any provision of this Agreement which is expressly or by implication intended to come into or to continue in force on or after such expiry or termination.
- 5.5 Upon the expiry or termination of this Agreement, a Party will promptly cease Processing Data that it has received from the other Party pursuant to this Agreement.

6 Notices

- 6.1 Any notice to be sent by a Party in connection with this Agreement may be sent by letter or by fax. Notices should be sent to the address for each Party shown below. Any Party can change the address or fax number for notices by telling the other Party in writing the new address, but the previous address will continue to remain valid for seven days after the change is notified. If sent to the correct address, a notice will be treated as received 48 hours after sending if a letter, even if it is not actually received.

NPA: [INSERT ADDRESS]

[INSERT NAME OF PARTY]: [INSERT ADDRESS]

7 Governing law and jurisdiction

- 7.1 This Agreement and any dispute or claim arising out of or in connection with it or its subject matter or formation (including non-contractual disputes or claims) will be governed by and construed in accordance with the law of Scotland.
- 7.2 The Parties irrevocably prorogate the exclusive jurisdiction of the Scottish courts to settle any dispute or claim that arises out of or in connection with this Agreement or its subject matter or formation (including non-contractual disputes or claims).

IN WITNESS WHEREOF these presents typewritten on this and the five preceding pages are executed as follows:-

Subscribed for and on behalf of Loch Lomond &
The Trossachs National Park Authority

By _____
At _____
On _____
before _____

Witness
Full Name
Address

Subscribed for and on behalf of [INSERT]
NAME OF PARTY]

by _____
at _____
on _____
before _____

Witness
Full Name
Address

This is the Schedule in 4 parts referred to in the foregoing agreement between Loch Lomond & The Trossachs National Park Authority and [INSERT NAME OF PARTY].

Schedule

Part 1

Data Sets

Data to be provided

1. The NPA shall provide the following Data Sets to [INSERT NAME OF PARTY] (subject to the provisions of Clause 2 of this Agreement) in relation to [INSERT PURPOSES FOR WHICH DATA IS BEING SHARED]:
 - 1.1. [INSERT DATA SETS].
2. The [INSERT NAME OF PARTY] shall provide the following Data Sets (subject to the provisions of Clause 2 of this Agreement) to the NPA in relation to [INSERT PURPOSES FOR WHICH DATA IS BEING SHARED]:
 - 2.1. [INSERT DATA SETS].

Schedule

Part 2

Purpose

1. The agreed purposes for which the Data may be Processed are:
 - 1.1. [INSERT PURPOSES IN HIGH LEVEL DETAIL].

Schedule

Part 3

Data Sharing Protocol

This document is a binding agreement between the Parties. It sets out the arrangements between the Parties in relation to the sharing of Data. This document adheres to the Information Commissioner's Data Sharing Code of Practice issued in May 2011.

1 Section A - Introduction

1.1 Purpose

The purpose of this document is to provide a Data sharing Protocol for the NPA and [INSERT NAME OF PARTY].

1.2 Background

The NPA has been in discussions with [INSERT NAME OF PARTY] with a view to establishing a mutual framework pursuant to which the NPA and [INSERT NAME OF PARTY] may share Data relating to [INSERT PURPOSES FOR DATA SHARING].

[INSERT THE RATIONALE FOR THE POLICY REASONS BEHIND THE PROPOSED DATA SHARING]

The NPA and [INSERT NAME OF PARTY] consider that the data sharing arrangement between them will deliver the following benefits:

[INSERT KEY BENEFITS IN HIGH LEVEL BULLET POINT FORMAT]

The NPA and [INSERT NAME OF PARTY] have a key role in delivering these benefits.

2 Section B - General Considerations

2.1 Purpose and Scope of Data Sharing

The Purpose of the data sharing arrangement derives from the benefits described in Part 2 of the Schedule and is defined in the Protocol as:

[INSERT PURPOSES IN HIGH LEVEL DETAIL]

The Parties shall only Process the Data in a manner that is consistent with the Purpose and shall not use it for any other purpose.

In addition, the NPA's and [INSERT NAME OF PARTY] respective privacy notices must inform Data Subjects of the manner in which their Data will be Processed, including possible disclosure to [INSERT NAME OF PARTY] for the Purpose. This is covered in more detail in Section C (Legals) to this Protocol.

The Parties shall not share the Data with any other organisation unless the recipient organisation has entered into a data sharing agreement with the Parties which is identical in its terms and form to this Protocol.

Data from which a person cannot be identified i.e. anonymised data is outside the scope of the DPA and can therefore be shared with any organisation.

2.2 Powers, DPA and Scottish Government Management and Privacy Principles

All participants in data sharing require an appropriate legal basis for doing this.

With regard to the NPA [INSERT REFERENCE TO AND DETAILS OF THE LEGISLATION WHICH GRANTS THE NPA THE POWER TO CARRY OUT THE FUNCTION TO WHICH THE DATA SHARING RELATES].

With regard to [INSERT NAME OF PARTY], [INSERT REFERENCE TO AND DETAILS OF THE LEGISLATION WHICH GRANTS [INSERT NAME OF PARTY] THE POWER TO CARRY OUT THE FUNCTION TO WHICH THE INTENDED DATA SHARING RELATES].

The Parties agree to adhere to the overarching requirements of the DPA and other relevant legislation.

Appendix 1 to this Part of the Schedule sets out the eight data protection principles contained in the schedule to the DPA and how they are each addressed in relation to this Protocol.

The Parties also agree to adhere to the Scottish Government Identity Management and Privacy Principles <http://www.scotland.gov.uk/Publications/2010/12/PrivacyPrinciples>. Appendix 2 to this Part of the Schedule shows how the Parties intend to meet the requirements of the said Principles.

2.3 Roles and Responsibilities

The Parties are Data Controllers of the Data that they hold on their own management information systems in relation to this Agreement. If the Parties contract with other organisations to process the Data on their behalf then these other organisations are Data Processors.

[IF THE NPA AND THE OTHER PARTY INTEND TO USE DATA PROCESSORS FOR THE PURPOSES OF PROCESSING THE DATA THEN THE IDENTITIES OF THE DATA PROCESSORS SHOULD BE SET OUT HERE, TOGETHER WITH THE NATURE OF THE SERVICES THAT THEY WILL PROVIDE]

2.4 Disclosure Procedures

All disclosures of Data among the Parties must be made in writing.

Disclosures can be made by fax but care must be taken.

Only the minimum amount of Data required for the Purpose will be shared between the Parties.

3 Section C – Operational

3.1 Overview

3.1.1 Legals

This Protocol defines the purposes of Data sharing, the specific Data to be exchanged, and the legal framework that underpins the Data sharing.

Privacy notices are the second component of the legal framework. The NPA and [INSERT NAME OF PARTY] privacy notices must tell Data Subjects what their Data will be used for. The NPA and [INSERT NAME OF PARTY] must therefore ensure that their privacy notices are consistent with the Purpose, accurately reflect what happens to the Data and explain that Data may be shared between the Parties to this Protocol.

The Parties confirm that their Processing of the Data complies with the Human Rights Act 1998.

3.1.2 Governance

Governance covers why Data is shared, how it works in practice and who does what. It provides guidance and supports the sustainability and resilience of Data sharing in the long term. The Data sharing governance covers Data flowing between the Parties, and includes:

- (a) who is involved and their respective roles and responsibilities;
- (b) the non-technical and technical Data sharing processes and practices;
- (c) the Data standards and common Data Sets;
- (d) identifying risks and how these will be managed; and
- (e) how to resolve issues and make changes to the Data sharing processes.

The governance structures for the data hub are set out in Section D.

The Parties have conducted a privacy impact assessment (“PIA”) of the Data sharing framework set out in this Protocol. The PIA report confirmed that privacy considerations were being suitably addressed and made recommendations for ensuring that this continued. These recommendations form a PIA action plan and progress against this is monitored by the Parties. The PIA report also sets out the conditions that trigger a decision as to whether changing circumstances require a review of the PIA and the process for making that decision. The final decision on whether a PIA review is required is the responsibility of the Parties.

3.1.3 IT

The Parties agree to take all appropriate technical and organisational measures to ensure that common security standard IS027001 is adhered to in relation to all Data transmitted, stored, deleted or destroyed as part of this Protocol.

3.2 Data Sharing Practicalities

3.2.1 Data Sets and information flows

Data sharing and privacy considerations mean that the Parties will exchange the minimum amount of Data that is consistent with achieving the Purpose and benefits of the proposed Data sharing set out in this Agreement. The Data Sets to be shared between the Parties have been agreed through discussion and are set out in Part 1 of the Schedule. As Data sharing progresses, these Data Sets will be reviewed as part of the governance work described in section D of this Protocol.

3.2.2 Data Quality

As Data Controllers in terms of the DPA, each Party is responsible for the quality and accuracy of the Data that they record on their own management information systems. Identified discrepancies between what is on different Parties' management information systems will be discussed and resolved as part of ongoing partnership working. It is the responsibility of each Party to correct any recognised errors or inaccurate Data on their own management information system and notify the correction to the other Party. This is to ensure that accurate Data is shared at all times.

3.2.3 Data Retention

The DPA requires that Personal Data is not held for any longer than is necessary for the purposes for which it is Processed. It is a matter of judgement as to how long shared Data should be kept in order to ensure consistency with this, while achieving the stated Purpose and benefits of the Data sharing.

The NPA's Data Retention Schedule is set out in Part 4 of the Schedule.

3.2.4 DPA Subject Access Requests

Under the DPA, any individual who so requests is entitled to be told if any Personal Data are held about them by a Data Controller and, if so to be:

- (a) given a description of the Personal Data;
- (b) told for what purposes the Personal Data are Processed;
- (c) told the recipients or the classes of recipients to whom the Personal Data may have been disclosed; and
- (d) given a copy of the Personal Data and to be given any information available about the source of the Personal Data.

Any Party receiving a subject access request will provide the person with details on what they hold across any and all of their management information systems (as would be the case with or without Data sharing).

To complement this, a mechanism is required by which the Parties can advise each other when a subject access request has been received by any of them from Data Subjects in order that they can keep a record of subject access requests. The methodology for this will be developed by, and then managed through, the governance structure, including any considerations of privacy raised by this approach.

3.2.5 Freedom of Information Requests

Individuals, including Data Subjects, may make requests under the Freedom of Information (Scotland) Act 2002 (“FOISA”) to the NPA and/or [INSERT NAME OF PARTY] to find out about the Parties’ Data sharing policies, procedures and actions. In this case, the NPA or [INSERT NAME OF PARTY] will issue a formal response using its current FOISA procedures.

To complement this, a mechanism is required in terms of which the NPA and [INSERT NAME OF PARTY] can advise each other when a FOISA request has been received by each of them in order that they can keep a record of FOISA requests. The methodology for this will be developed by, and then managed through, the governance structure.

4 Section D – Governance

4.1 Compliance Framework

4.1.1 Audit, inspection and testing

Each Party is responsible for the secure Processing of the Data that it receives. As part of the Protocol, any Party may audit the other Party’s compliance with their obligations under this Protocol. This includes the right to inspect the relevant portions of other Party’s management information systems on which the shared Data is stored within a mutually agreed framework.

4.1.2 Data security incident management

Each Party will have its own defined processes for managing any Data security breaches.

To complement this, the Parties will advise each other when a Data security breach has occurred in order that they can keep a record of such breaches.

4.1.3 Liability for breaches of this Protocol

The underpinning principle for liability is that each Party, as Data Controller of the Data, is responsible for their own management information systems, the Data held on them, and the actions of their staff and of any Data Processor(s) that they use.

4.2 Review of and changes to this Protocol

The terms of this Protocol will be reviewed annually by the Parties. Any changes to the Protocol will require the written consent of the Parties.

Appendix 1

The Data Protection Principles

1. Personal Data shall be Processed fairly and lawfully and, in particular, shall not be Processed unless:
 - 1.1. at least one of the conditions in Schedule 2 to the DPA is met; and
 - 1.2. in the case of Sensitive Personal Data, at least one of the conditions in Schedule 3 to the DPA is also met.

In the present Protocol, the condition that is met from Schedule 2 to the DPA is that the Processing of the Data is:

[INSERT THE SCHEDULE 2 DPA CONDITIONS WHICH ARE MET IN RELATION TO THE DATA SHARING IN QUESTION. IT IS LIKELY THAT THE NPA WILL BE ABLE TO RELY ON THE CONDITION THAT THE PROCESSING IS NECESSARY FOR THE EXERCISE OF ANY FUNCTIONS CONFERRED ON ANY PERSON BY OR UNDER ANY ENACTMENT. IF THE OTHER PARTY IS ALSO A PUBLIC AUTHORITY THEN IT TOO MAY BE ABLE TO RELY ON THIS CONDITION. A FURTHER CONDITION IS THAT THE PROCESSING IS NECESSARY FOR THE PURPOSES OF THE LEGITIMATE INTERESTS PURSUED BY THE NPA/OTHER PARTY EXCEPT WHERE THE PROCESSING IS UNWARRANTED IN ANY PARTICULAR CASE BY REASON OF THE PREJUDICE TO THE RIGHTS, FREEDOMS OR LEGITIMATE INTERESTS OF THE DATA SUBJECT. THE LEGITIMATE INTERESTS COULD BE LINKED TO THE BENEFITS OF THE DATA SHARING.]

In the present case, the condition that is met from Schedule 3 to the DPA is that the Processing of the Data is:

[INSERT THE SCHEDULE 3 DPA CONDITIONS WHICH ARE MET IN RELATION TO THE DATA SHARING IN QUESTION. IT IS LIKELY THAT THE NPA WILL BE ABLE TO RELY ON THE CONDITION THAT THE PROCESSING IS NECESSARY FOR THE PURPOSES OF ESTABLISHING, EXERCISING OR DEFENDING LEGAL RIGHTS. IF THE OTHER PARTY IS ALSO A PUBLIC AUTHORITY THEN IT TOO MAY BE ABLE TO RELY ON THIS CONDITION. A FURTHER CONDITION IS THAT THE PROCESSING IS NECESSARY FOR THE EXERCISE OF ANY FUNCTIONS CONFERRED ON ANY PERSON BY OR UNDER AN ENACTMENT.]

2. Personal Data shall be obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes.

The Purposes of Processing are set out in this Protocol.

3. Personal Data shall be adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed.

This Protocol sets out which pieces of Data are shared between the NPA and [INSERT NAME OF PARTY].

4. Personal Data shall be accurate and, where necessary, kept up to date.

The NPA and [INSERT NAME OF PARTY] are responsible for the quality and accuracy of the Data that they record on their own management information systems. If discrepancies are identified between Data on their respective management information systems, such discrepancies will be discussed and the NPA and [INSERT NAME OF PARTY] as the case may be, shall take all reasonable endeavours to ensure that their respective management information systems are up-to date. It is the responsibility of each Party to correct any recognised errors or inaccurate Data on their own management information system and inform the other Party of this.

5. Personal Data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes.

The Parties agree to adhere to the Data retention periods set out in Part 4 of the Schedule.

6. Personal Data shall be processed in accordance with the rights of Data Subjects under the DPA.

When Processing the Data received from the other, each Party will respect the rights of Data Subjects under the DPA and shall apply their existing processes for handling subject access requests, rights to object to Data Processing and rights to rectify inaccurate Data.

7. Appropriate technical and organisational measures shall be taken against unauthorised or unlawful Processing of Personal Data and against accidental loss or destruction of, or damage to, Personal Data.

The Parties are each responsible for the secure Processing of the Data that they receive and agree to take the following technical and organisational security measures [INSERT SECURITY MEASURES TO BE TAKEN e.g. access restricted to authorised users; protective marketing of documents and e-mails; encrypted memory sticks; only use fax machines as a last resort; and destroy paper copies after use].

8. Personal Data shall not be transferred to a country or territory outside the European Economic Area unless that country or territory ensures an adequate level of protection for the rights and freedoms of Data Subjects in relation to the Processing of Personal Data.

The Parties will not transfer Data outside the European Economic Area.

Appendix 2

Scottish Government Privacy Principles

Principle	How requirement will be met
1. Proving Identity and Entitlement	Data Subjects do not access the Data themselves this does not raise any issue
2. Governance and Accountability	These factors are addressed as set out in the Protocol
3. Risk Management	A PIA has been completed and published.
4. Data and Data Sharing	<p>The Protocol, records retention policies and procedures define and control the scope and nature of Data being shared. The Parties intend to retain the Data in their independent management information systems and there will be no centralised databases containing the Data.</p> <p>Matching is required to provide reliable matching of Data to the right individual.</p>
5. Education and Engagement	<p>Parties will continue to ensure their staff are suitably trained and informed about data sharing, data security and privacy.</p> <p>The Parties will apply their standard subject access procedures when handling requests for Data from Data Subjects.</p>

Appendix 3

Privacy Impact Assessment Review Process

The Parties agree to refresh the Privacy Impact Assessment carried out in terms of Section C of Part 3 of the Schedule every three years. The Privacy Impact Assessment will also require to be refreshed where there is a significant extension to the type and scope of the Data to be shared among the Parties and/or a significant extension to the range of Data Subjects whose Data is processed by the Parties.

Schedule

Part 4

Retention Periods

[INSERT NPA DATA RETENTION POLICY]