The Public Records (Scotland) Act 2011

General Teaching Council for Scotland

Progress Update Review (PUR) Report by the PRSA Assessment Team

16th January 2023

Contents

1. Public Records (Scotland) Act 2011

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

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

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

2. Progress Update Review (PUR) Mechanism

Under section 5(1) & (2) of the Act the Keeper may only require a review of an authority's agreed RMP to be undertaken not earlier than five years after the date on which the authority's RMP was last agreed. Regardless of whether an authority has successfully achieved its goals identified in its RMP or continues to work towards them, the minimum period of five years before the Keeper can require a review of a RMP does not allow for continuous progress to be captured and recognised.

The success of the Act to date is attributable to a large degree to meaningful communication between the Keeper, the Assessment Team, and named public authorities. Consultation with Key Contacts has highlighted the desirability of a mechanism to facilitate regular, constructive dialogue between stakeholders and the Assessment Team. Many authorities have themselves recognised that such regular communication is necessary to keep their agreed plans up to date following inevitable organisational change. Following meetings between authorities and the Assessment Team, a reporting mechanism through which progress and local initiatives can be acknowledged and reviewed by the Assessment Team was proposed. Key Contacts have expressed the hope that through submission of regular updates, the momentum generated by the Act can continue to be sustained at all levels within authorities.

The PUR self-assessment review mechanism was developed in collaboration with stakeholders and was formally announced in the Keeper's Annual Report published on 12 August 2016. The completion of the PUR process enables authorities to be credited for the progress they are effecting and to receive constructive advice concerning on-going developments. Engaging with this mechanism will not only maintain the spirit of the Act by encouraging senior management to recognise the need for good records management practices, but will also help authorities comply with their statutory obligation under section 5(1)(a) of the Act to keep their RMP under review.

3. Executive Summary

This Report sets out the findings of the Public Records (Scotland) Act 2011 (the Act) Assessment Team's consideration of the Progress Update template submitted for the General Teaching Council for Scotland. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

4. Authority Background

On 2 April 2012 GTCS was granted independent status by the Scottish Government: The Teaching Council (Scotland) Act 1965 was repealed and replaced by the Public Services Reform (GTC Scotland) Order 2011. The Public Services Reform (General Teaching Council for Scotland) Order 2011 was made by Scottish Ministers in accordance with the Public Services Reform (Scotland) Act 2010 and passed into law on 17 March 2011.

Functions include:

•Maintaining a register of teachers in Scotland.

•Setting the Professional Standards expected of all teachers.

•Accrediting programmes leading to the award of GTCS Standards, including Initial Teacher Education programmes at Scottish universities.

•Advising the Scottish Government on matters relating to Scotland's teachers and teacher professionalism.

•Providing public protection and assuring the high quality of the teaching profession by investigating and adjudicating on the 'Fitness to Teach' of registrants through robust and fair regulation processes.

The 37 members of the GTCS Council have a role to play in shaping the teaching profession of Scotland, maintaining and improving professional standards, and contributing to the development of teacher professionalism and Scottish education.

http://www.gtcs.org.uk/about-gtcs/statutory-functions.aspx

5. Assessment Process

A PUR submission is evaluated by the Act's Assessment Team. The self-assessment process invites authorities to complete a template and send it to the Assessment Team one year after the date of agreement of its RMP and every year thereafter. The self-assessment template highlights where an authority's plan achieved agreement on an improvement basis and invites updates under those 'Amber' elements. However, it also provides an opportunity for authorities not simply to report on progress against improvements, but to comment on any new initiatives, highlight innovations, or record changes to existing arrangements under those elements that had attracted an initial 'Green' score in their original RMP submission.

The assessment report considers statements made by an authority under the elements of its agreed Plan that included improvement models. It reflects any changes and/or progress made towards achieving full compliance in those areas where agreement under improvement was made in the Keeper's Assessment Report of their RMP. The PUR assessment report also considers statements of further progress made in elements already compliant under the Act.

Engagement with the PUR mechanism for assessment cannot alter the Keeper's Assessment Report of an authority's agreed RMP or any RAG assessment within it. Instead the PUR Final Report records the Assessment Team's evaluation of the submission and its opinion on the progress being made by the authority since agreeing its RMP. The team's assessment provides an informal indication of what marking an authority could expect should it submit a revised RMP to the Keeper under the Act, although such assessment is made without prejudice to the Keeper's right to adopt a different marking at that stage.

Key:

G	The Assessment Team agrees this element of an authority's plan.	**A**	The Assessment Team agrees this element of an authority's progress update submission as an 'improvement model'. This means that they are convinced of the authority's commitment to closing a gap in provision. They will request that they are updated as work on this element progresses.	**R**	There is a serious gap in provision for this element with no clear explanation of how this will be addressed. The Assessment Team may choose to notify the Keeper on this basis.

6. Progress Update Review (PUR) Template: General Teaching Council for Scotland

Element	Status of elements under agreed Plan 06JUN18	Progress review status 01APR21	Progress review status 16JAN23	Keeper's Report Comments on Authority's Plan 06JUN18	Self-assessment Update 11NOV20	Progress Review Comment 01APR21	Self-assessment Update as submitted by the Authority <u>since</u> 01APR21	Progress Review Comment 16JAN23
1. Senior Officer	G	G	G	Update required on any change.	A New Chief Executive has been appointed and took up post on 15 March 2021: Dr Pauline Stephen.	The Keeper's Assessment Team thanks the General Teaching Council for Scotland (GTCS) for this update which has been noted.	Our Chief Executive and Registrar is as reported, Dr Pauline Stephen.	Thank you for letting the Assessment Team know that there have been no changes to this Element. Update required on any future change.
2. Records Manager	G	G	G	**The Keeper acknowledges that GTCS have, since the Plan was submitted, appointed a Compliance Officer who will take on the implementation of the *Plan* as indicated *Plan* section 3. He accepts that future versions of the *Plan* may transfer the 'element 2' responsibility to this new officer.**	Records Manager responsibility now sits with the Information Compliance Officer. Contact details are: Suzanne Valente Information Compliance Officer General Teaching Council for Scotland Clerwood House 96 Clermiston Road Edinburgh EH12 6UT	The Keeper's Assessment Team thanks the General Teaching Council for Scotland (GTCS) for this update which has already been noted. Thank you also for the update regarding the Records Management Working Group. This sounds like a	No change.	Update required on any future change.

						Email: Suzanne.valente@gtcs.org.uk Tel: 0131 314 6043 A Records Management Working Group, chaired by the Records Manager, has been re-established and updates/reports are provided to CMT and Committee on an ongoing basis within Information Compliance reporting.	valuable addition to the authority's records management provision, particularly as they will be able to report directly to the Corporate Management Team through compliance reporting.		
3. Policy	**G**	**G**	**G**		Update required on any change.	Records Management Policy reviewed. Approved by CMT on 10 November 2020. Copy of policy provided.	In their original submission GTCS committed to keeping their information governance policies and guidance documents under review and the Assessment Team acknowledges that this is being done. The Assessment Team notes that new Records Management Policy is available and acknowledges that a copy has been supplied (November	Our Records Management Policy is due for review in the Autumn of 2022. We are currently engaged in a project to implement a new intranet solution in SharePoint online, this will be our new "Hub". (The "Hub" is out internal SharePoint site – our intranet).	The Keeper's Assessment Team thank you for this update regarding a new SharePoint Online Hub. It is very reasonable that the Records Management Policy should be updated based on the major changes in business classification and retention

					2020 version). We will store this in order that they may keep the GTCS submission up-to-date.	A project team has been established and they are working with external developers to build the new system. Files on the new Hub will be organised by Function rather than department and therefore a review of our Records Management Policy and Records Management and Retention Schedule (RMRS) is planned to incorporate these changes. Staff will be given the opportunity to look at the new functional structure and ask questions as well as attend formal training sessions	scheduling about to take place. It is evident from this update that GTC Scotland remains committed to keeping their information governance policies and guidance documents fit for purpose. See Element 4 for further comments on Business Classification implementation and Element 12 for comments on training.

							before the launch of the new hub.
4. Business Classification	**A**	G	G	**GTCS state in the *Plan* (section 5): "The Records Management and Retention Schedule was developed following a comprehensive data audit process. This process took a significant amount of time and the Schedule is still in the process of being finalised for use. We intend to roll the Records Management and Retention Schedule out across the organisation at the same time as we upgrade our SharePoint system (the principle document storage and management system that we use)."** The Keeper agrees this action. *Meeting Note* (19 July 2017) suggests the SharePoint section of the project will be implemented in 2018. **The Keeper will ask for annual progress**	Our Business Classification scheme is incorporated into our Records Management and Retention Schedule by listing our business and statutory functions and the associated business activities. As detailed in our RMP it was planned that following review the Records Management and Retention schedule would be rolled out to the organisation at the same time as the launch of the new SharePoint system. Due to other organisational priorities, the launch of the new SharePoint system has been delayed, this project is currently in its early stages and a platform is being selected. In order not to cause undue delay to the review of the Records Management and schedule, A decision	GTCS have a single document *Records Management and Retention Schedule*. In 2018, the Keeper was provided with a copy of this document in draft. The Keeper commended the notion of a combined document as liable to create a stronger business tool for staff and he agreed it properly sets out function, activity, type and retention period for the public records created by GTCS. The Keeper also received a letter from the GTCS Chief Executive and Registrar in which he supported improvements to the records management provision in the authority. The Keeper took this to include the adoption	As detailed above a review of our RMRS will take place once the functional structure of the new hub is confirmed. As part of the preparatory work for migrating files to the new hub from the current one, teams are looking at what information is held, what needs to be migrated and what can be archived, the retention times etc to ensure that the information held is in line with business needs.	Based on this update, GTC Scotland is working hard towards making the transition to a new Business Classification Scheme. It is likely the process will take some time to fully implement throughout all business areas. It is also very good to hear that these major changes are being supported through Q&A sessions and training for staff (as reported under Element 3). See also Element 12.

| | | | updates as the whole project goes forward.

The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified gaps in provision (business classification/retention schedule and SharePoint upgrade has not been fully implemented). However he recognises that GTCS have identified how they intend to close this gap and committed to do so: The Keeper has been provided with a commitment to pursue records management improvements in the text of a *Covering Letter* from the authority's Chief Executive and in the *Corporate Management Team Meeting Note (above).* The Keeper's agreement is dependent upon him being kept informed of progress with this work when required. | was taken to progress the review of this rather than to wait for the SharePoint system to be available and to roll these out together.

In August 2019, our Records Management Working Group was established and one of the first projects undertaken was to lead on a review of the Records Management and Retention Schedule. This is now complete and the updated Schedule was approved by the Corporate Management Team (CMT) on 16th June 2020. During the review the Schedule was streamlined further to try to make it as succinct as is possible.

Working with the communications Team, an initiative was developed to re-launch the Schedule, firstly to our Senior Managers team, then to all staff. | of the *Records Management and Retention Schedule* throughout the organisation.

Originally this element was graded as 'amber' status because the approval and roll-out of the completed *Records Management and Retention Schedule* was being programmed to coincide with the launch of a new SharePoint system. However, this SharePoint transition has been delayed and this PUR shows that the key records management system has now progressed separately from the SharePoint upgrade. The *Schedule* was approved by the GTCS senior management in June 2020.

The achievement of this objective marks a measurable improvement in the | | |
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	🟧	🟩	🟩		As all GTCS staff were homeworking fulltime at this point, this engagement was by email and infographics. In Autumn 2020, the Information Compliance Officer will attend Team meetings to discuss Records Management and wider Information Compliance work in more detail with individual teams. The SharePoint project has been on hold temporarily while our Digital Team work through other priorities in particular the implementation of Atlas and the challenges that that Covid-19 pandemic has brought as all GTCS staff work from home. However, we have identified a supplier and hope to progress with this again soon. There is not an exact timescale for this currently but it is hoped this this project will progress	records management provision in the authority. If this was a formal re-submission it is likely that this element of the Plan would turn from Amber to Green. However, the Assessment Team notes that the intention to upgrade the 'SharePoint' structure is still planned. This will obviously affect the records management system in GTCS, particularly if the organisation is heading towards a cloud solution (O365) as many other Scottish public authorities are. That aside, generally a new SharePoint solution is bound to be incremental and take several years to bed-in properly. The Assessment Team remind GTCS of the importance of appropriate polices,		

					again before the end of December 2020.	governance and staff training in making this major project a success. The Assessment Team looks forward to updates in subsequent PURs.		
5. Retention Schedule	**A**	**G**	**G**	**Combined *Retention Schedule* and *Business Classification Scheme* see element 4.** **As noted under element 4 above GCTS states that this scheme "is still in the process of being finalised for use. We intend to roll the Records Management and Retention Schedule out across the organisation at the same time as we upgrade our SharePoint system (the principle document storage and management system that we use)." This is confirmed in Plan section 6 which adds "the Schedule is new and is still to be rolled out so we expect it to be subject to refinement and amendment on an ongoing basis" and "We**	As noted under element 4 above a full review of the Records Management and Retention Schedule has been undertaken and rolled out to staff. Any requests for changes to this will be managed through the Records Management Working Group.	The approval (June 2020) and roll-out of the *Records Management and Retention Schedule* is a development committed to in the original GTCS submission and the Assessment Team is pleased to acknowledge that this objective has now been met. If this was a formal re-submission it is likely that this element of the Plan would turn from Amber to Green. See comments under element 4 regarding the transition to O365.	As detailed above a review of our RMRS will take place once the functional structure of the new hub is confirmed. The RMRS will be reviewed and updated to ensure that it also reflects and supports the business. We expect that teams monitor their entries on the RMRS as part of their business as usual work. We have a process in place whereby Senior Managers can	Thank you for providing this update. It is great to hear that there is a detailed plan in place for the review of Records Management and Retention Schedule in line with the implementation of a new SharePoint-based records management environment. The receipt of evidence provided under Appendix A (a guidance document and sample form for requesting an

			plan to do significant work over the next 12 months to ensure that the retention rules specified are consistently applied across GTCS record systems." The Keeper agrees these actions. The *Extract Corporate Management Team Meeting Note* (19 July 2017) suggests the SharePoint section of the project will be implemented in 2018. **The Keeper is likely to ask for annual progress updates as the whole project goes forward.** The Keeper notes that the *Plan* (section 6) explains that the *Records Management and Retention Schedule*, although not fully implemented, is already available to view on the staff 'Hub' intranet. **Can a screen-shot please be provided as evidence?** **The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has**			request amendments or additions to the RMRS out with formal reviews. A copy of this process is attached as appendix A.	amendment or addition to the Records Management & Retention Schedule) is acknowledged with thanks. The Assessment Team has no particular concerns about this Element, but would like to encourage GTC Scotland to keep them informed of the progress of this project through the PUR mechanism.

			identified gaps in provision (retention schedule and SharePoint provision has not been fully implemented), but have identified how it intends to close this gap. The Keeper has been provided with a commitment to pursue records management improvements in the text of a *Covering Letter* from the authority's Chief Executive and in the *Corporate Management Team Meeting Note (see element 4)*. The Keeper's agreement is dependent upon him being kept informed of progress with this work when required.				
6. Destruction Arrangements	**A**	**A**	**A**	**The *Plan* (page 4/5) states that: "The electronic deletion of electronic records is more complex given that we currently have a number of record repositories. The destruction arrangements for these records are described in detail in our Information Security Policy. We are**	The project to replace our current teacher register database with a new system "Atlas" is underway. The case management system element of this is in the development stage and has not yet been implemented. It is included in the development of the	There is clearly still a work in progress around a new line-of-business system 'Atlas' and the organisation cannot yet be confident that controlled, secure and irretrievable destruction can be applied adequately to this system. There is, it should be pointed	Having consolidated the migration of the register of teachers and key registration processes on Atlas, we will shortly embark on an optimisation project which will	The Assessment Team is grateful for this update. It is clear that work continues on the full implementation of the new line-of-business system, and that the optimisation

| | | | | **in the process of initiating a project to replace our current teacher register database with a new system that will also introduce an automated form of case management (covering our fitness to teach investigation and adjudication function). The intention is that this change will mean that our records repository infrastructure is made more coherent and we will achieve better system integration that will lead to more consistent, efficient records management. The aim is also that this new coherent system will better facilitate comprehensive auto-destruction of records, in line with the retention periods identified in the Records Management and Retention Schedule." The controlled and systematic deletion of records held on shared drives is a particular area of difficulty for many public authorities** | system that retention periods can be automatically set up reflecting what is in the Retention Schedule. | out, no suggestion that this will be a long-term concern, but for the moment this element remains at amber.

As a matter of fact, these line of business systems (from Case Management Systems to vehicle service check sheets) are on the Keeper's radar for further investigation in the coming year. These often sit outside the main records management system explained in an RMP, but are still records created during an activity undertaken as a public authority pursues its statutory functions. This means that they are covered by PRSA. In the future it is likely that the Keeper will require authorities to go into more detail on these systems.

The proposed transition of the main | include the review of retention policies and the development of automated deletion of records that are no longer required. This will include incomplete application forms. | project mentioned will help GTC Scotland to achieve controlled, secure and irretrievable destruction of records that are no longer required.

This Element will remain at Amber while the work is ongoing. It is clear, however, that GTC Scotland is continuing to make progress in this Element. |

| | | | and the Keeper welcomes the acknowledgement of this. He agrees that the suggested improvements the Authority is considering are a reasonable response to these difficulties.

The Keeper agrees this element of the GTCS Plan on 'improvement model' terms. This means that he recognises that, having identified a gap in provision (in this case, around the systematic destruction of electronic records) , the authority has put in place a reasonable response to this gap. The Keeper's agreement is conditional on him being updated as the improvement project progresses. The Keeper will prompt such updates annually. | | records management system in the authority will also affect this element. For example, will the new SharePoint system, when fully operational, automatically destroy records when they reach retention limit or will it issue a prompt to the information asset owner to destroy records themselves? Will a destruction 'stub' be kept as proof that the record once existed and if so for how long is that stub retained?

There is not necessary a 'right answer' to these issues, but it is important that the records manager/information compliance officer is confident of how this will operate.

See other comments about the SharePoint transition under element 4 above. | | |

7. Archiving and Transfer	A	A	A	**The *Plan* confirms: "We are in the process of agreeing a Memorandum of Understanding with NAS [sic] to formally document the timing of our transfers, transfer mechanisms and other terms and conditions."** **The Keeper agrees this element of GTCS' *Records Management Plan* under 'improvement model' terms. This means that he acknowledges that the authority has identified a gap in provision [there is no formal transfer agreement with the archive] and have put processes in place to close that gap. The Keeper's agreement is conditional on his PRSA Assessment Team being provided with a copy of the signed MOU when available.**	We have received a draft MoU from NRS and this has been discussed internally. We have a number of queries and questions relating to this and the processes attached to it and would greatly appreciate a discussion with NRS on this.	Thank you for this update. The Keeper agreed this element of the GTCS RMP in 2018 as an improvement model. As the MoU has not yet been finalised the 'amber' rating remains. It is important that you are back in contact with NRS Client Management, particularly as you have questions. I have checked and your 'manager' is Claire Sillick. Claire's email address is Claire.sillick@nrscotland.gov.uk The Assessment Team understands that the approval of the retention schedule provides an ideal opportunity to fully earmark records worthy of permanent preservation by NRS. However, the MoU process could be restarted before/during that selection process.	Thank you for this. I have sent Claire an email explaining that I will now be leading on this and suggesting that we start afresh and arrange a discussion so that I can get an understanding of what is required. I have informed Claire that we have a temporary member of staff working with us at the moment who is pulling together an itinerary of all of the governance documents which we hold in paper format. Once we have an understanding of what is there – we will be in a better position to start to look at what should go to permanent	According to section 1(2)(b)(iii) of the Act, an authority must ensure that records of enduring value are deposited in an appropriate archive repository, and that a mechanism is in place for dealing with records identified as suitable for permanent preservation. The Assessment Team is aware that GTC Scotland's RMRS is currently awaiting review. This schedule should identify records of enduring corporate and legal value, and may also identify records of historical, cultural and research

							archive. I need to get a clear understanding of what would be required so that we can consider if we would be in a position to resource it. An initial conversation with Claire will at least restart this process.	value, whether in digital or analogue format. The upcoming review of this document might give GTC Scotland an opportunity to address an ongoing shortfall in the identification of public records to be permanently preserved. It is positive to hear that GTC Scotland has recently reached out to their NRS Client Manager as formal Deposit Agreement or Memorandum of Understanding is still pending. The Assessment Team would encourage GTC Scotland to continue to pursue this with some urgency as

| | | | | | | | the finalisation of this has been outstanding since the original Agreement in 2018.

This Element will remain at Amber whilst the authority works towards closing this gap. |
| 8. Information Security | **G** | **G** | **G** | Update required on any change. | No change. This policy is due for review by December 2020. | Update required on any change. | During the Pandemic when all GTC Scotland staff were working from home, a Flexible Working project group was established to look at what needed to be put in place for the introduction of hybrid flexible working. Part of this was a substantial review of the Information Security Policy. The amended version was rolled | Thank you for this update. It is positive to hear that the Information Security Policy has been substantially reviewed in light of hybrid working arrangements. The Team acknowledges the receipt of this policy with thanks.

Update required on any future change. |

	G	G	G				out to staff in January 2022. A copy of the current version is provided at Appendix B.	
9. Data Protection	G	G	G	Update required on any change.	Policy reviewed and approved by CMT, re-issued to all staff – February 2021.	The Assessment Team notes that a new Data Protection Policy is available and acknowledges that a copy has been supplied. They will store this in order that they may keep the Council's submission up-to-date.	The Data Protection policy was also reviewed and amended and rolled out to staff in January 2022. A copy of the current version is provided at Appendix C.	The Assessment Team thanks you for this update, and the updated Data Protection Policy, received with thanks. Update required on any future change.
10. Business Continuity and Vital Records	A	G	G	**The Plan (section 11) states: "We are currently in the process of reviewing and revising our BCP to make it more comprehensive, including to cover access to vital records in the event of an emergency affecting our premises or systems."** **The *Plan* also states (section 9): "We ... need to do work to enhance our business continuity arrangements so that**	A revised and refreshed Business Continuity Plan was reviewed and approved by GTCS Council in 2018. A further schedule of scenario and stress testing was reviewed and approved by the Committee cycle in 2018. Stress tests have included the backup and restore of vital records. The Business Continuity Plan was	The Keeper originally agreed this element of the GTCS plan referring to the importance of testing business community arrangements and of identifying vital records as appropriate. It seems that both these issues were properly address since agreement and if it were evidenced in a formal submission it is likely	The move to remote working for all GTCS staff during the pandemic has allowed us to demonstrate that staff have access to records as their specific job requires. This has been instrumental in informing decision making about our new working model	An authority's business continuity arrangements should include the recovery of records made temporarily unavailable due to an unexpected event. It is positive to hear that work-from-home and hybrid working

			the availability of all of our vital records is maintained in the event of a critical incident." **On the subject of vital records the *Plan* states (section 11): "Linked to work on the review, development and stress-testing of our BCP, we will be checking that we have identified our vital records accurately."** **The Keeper agrees this action.** **The Keeper is able to agree this element of GTCS' plan under 'improvement model' terms. This means that he is convinced that, having identified a gap in provision (in this case the Business Continuity Policy is undergoing review and vital records have not yet been identified throughout) the authority has put measures in place to close that gap. His agreement is conditional on GTCS providing him with evidence that vital**	invoked in February 2020 in response to the Covid-19 international critical incident with all staff moving to working from home. Remote access to all required records is in place. This has confirmed that access is available to all vital records and has been a strong test of our BCP process. Element 10 was one of the areas that the external consultant audited in November 2019. This confirmed that a Business Continuity Plan has been developed and various tests have been carried out. It was recommended that as one specific member of staff is responsible for undertaking regular tests on the Business Continuity Plan and for upgrading the plan as required that it may be beneficial to develop a documented procedure or process for this area.	that this element of the GTCS plan would be rated 'green' (compliant). In 2020 the business continuity arrangements in the Scottish public sector were severally tested by the Covid-19 pandemic. This PUR suggests that this worked well in GTCS. The earlier stress tests, reported on in the PUR, almost certainly helped with the 2020 response. The Assessment Team notes that there has been a suggestion that a formal procedure or processing Business Continuity Review should be developed. This is a good idea that the Keeper would almost certainly support. For review see element 13 below.	with staff working on a remote and hybrid basis to suit their circumstances, while continuing to provide business as usual service to stakeholders.	arrangements have not impacted negatively on GTCS's ability to conduct its business as usual.

	A (orange)	**A** (green)	**A** (green)	**records have been identified and noted and that the review of the Business Continuity Arrangements has been pursued.**				
11. Audit Trail	**A**	**A**	**A**	The *Records Management Policy* gives basic naming convention guidance for staff. **However, the *Plan* states: "We are aware that we need to introduce specific procedures and guidance in relation to version control within GTCS." The Keeper accepts that this issue will be considered during the *Records Management and Retention Schedule*/SharePoint project (see element 4).** **The Plan states (Section 5): "We intend to roll the Records Management and Retention Schedule out across the organisation at the same time as we upgrade our SharePoint system (the principle document storage and management system that we use). We intend**	Version control and our naming convention will be reviewed and updated as part of the SharePoint project.	See comments under element 4 regarding SharePoint upgrade. O365 should take care of version control automatically, but it will still be necessary for staff to name records following an authority-wide convention so that the powerful search facility can be fully utilised. It is our understanding is that the 'Cortex' AI search function promoted by Microsoft (where document naming will be less important than content) is still some way off. Until the Assessment Team can be confident that GTCS has a naming convention operational (rolled-	Naming conventions are still manual and rely on staff being educated and diligent about it. Version control is currently disabled in the existing hub but this is something that will be considered if required going forward with the new SharePoint hub. This is something that we will discuss with our provider.	Element 11 stipulates that an authority must maintain a complete and accurate representation of all changes that occur in relation to a particular record. Version control is essential in establishing the authenticity of public record. 'Changes' can be taken to include movement of a record even if the information content is unaffected, so migration of any existing files into a new system should also be done with care.

| | | | | to contract a specialist Information Architect to help us structure our new document storage and management system in order to address the issues (particularly as regards the duplication of records) that the data audit identified. Guidance and comprehensive training will support the roll out process." The Keeper agrees this action.

The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified gaps in provision (retention schedule, version control and SharePoint provision has not been fully implemented, which adversely effects document tracking), but have identified how it intends to close this gap. The Keeper has been provided with a commitment to pursue records management improvements in the text of a *Covering Letter* from the authority's | | out and staff trained), this element remains at Amber. We look forward to an update in a subsequent PUR. | | All staff adhering to specific naming convention guidelines is essential to the future discoverability of records. The Assessment Team would encourage GTC Scotland to review, publicise and actively implement organisational File Naming Guidelines. This can be done in anticipation of the SharePoint project as this will hopefully make the transition to a new system smoother. Whilst the version control facility is still awaiting the implementation of SharePoint, new naming conventions can be implemented |

				Chief Executive and in the *Corporate Management Team Meeting Note (see element 4)*. The Keeper's agreement is dependent upon him being kept informed of progress with this work when required.			with immediate effect. This Element remains at Amber. We look forward to being updated on progress in subsequent PURs.
12. Competency Framework	**G**	**G**	**G**	**GTCS recruited a Records Manager (Compliance Officer) during the period of the assessment. At the time of the submission, the implementation of the *Plan* was the responsibility of the Director of Regulation and Legal Services. (see element 2). This arrangement has been confirmed in a *Covering Letter* from Kenneth Muir, Chief Executive and Registrar (see element 1). At the same time as the recruitment exercise for the new Compliance Officer, the authority developed records management competencies. The Keeper notes and**	This is correct, the responsibility for the implementation of the Plan now sits with our Information Compliance Officer who is also the Records Manager (contacts details are provided in response to Element 2). A copy of the job profile for the Information Compliance Officer has been provided at Appendix 2.	The Keeper expects staff creating, or otherwise processing records, to be appropriately trained and supported. The Keeper originally agreed this element of the GTCS RMP as compliant. Since then the introduction of the Information Compliance Officer, with responsibility for training has further bolstered the training framework in the organisation. The Assessment Team notes that a copy of the Information Compliance Officer	GTC Scotland is currently going through a restructure, the Assessment Team will be provided with any relevant information in this context in early 2023.	Element 12 is concerned with staff records management competencies. This is usually reflected in the way members of staff are trained and supported in their work with regard to the management of public records. Thank you for letting the Assessment Team know of the current restructuring process. Alongside the

				agrees these actions. An update including the objectives, development plan and competencies for the new compliance officer can be provided at the next update (normally prompted annually). At that time GTCS should formally state whether the new officer will replace the Director of Regulation and Legal Services as the identified individual at element 2. GTCS staff are trained on data protection procedures. This includes supplementary training in preparation for GDPR. Staff training on GDPR is being reviewed (*Plan* section 10). **The Keeper would welcome any further information once this review has been carried out.**		(dated April 2019) has been supplied. We will store this in order that they may keep the GTCS submission up-to-date.		implementation of the SharePoint Hub, staff training needs will be impacted by this as indicated in the update provided under Elements 3 and 4. It is good to see GTC Scotland is taking steps to make sure staff receive appropriate training. The Assessment Team welcomes further updates in subsequent PURs.
13. Assessment and Review	**G**	**G**	**G**	Update required on any change.	A decision was taken that an audit of our compliance with our Plan should be undertaken out with the financial and other externally audited activities, this enabled us to engage with a	It is a requirement of the Public Records (Scotland) Act 2011 that "An authority must— (a) keep its records management plan under review" (PRSA Part 1 5.1.a.)	No change.	Update required on any future change. GTC Scotland is commended for its regular

| | | | | | consultant with specific experience in this area.

To date compliance with our Records Management Plan has not been included in the calendar of audits. GTC Scotland engaged an external consultant in November 2019. The consultant was provided with a copy of our plan and all appendices prior to coming onsite. The purpose of the audit was to review the records management system operating within the General Teaching Council Scotland, to give a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.

It became evident early in the audit that while GTC Scotland staff were able to | GTCS have decided to arrange for an external audit of their RMP. This is to be welcomed. This audit is not finalised.

The Assessment Team notes the interim findings around a documentation process and a quality management system. We look forward to updates regarding this in subsequent PURs.

The assessment Team also notes that an external consultant reviewed the business continuity processes in GTCS in November 2019. This was fortunate timing considering the March 2020 emergency. As noted under element 10, the suggestions from the consultant sound reasonable. | | participation in the PUR process. |

| | | | | provide suitable and adequate documented information and records to demonstrate satisfactory outcomes for the operation and activities being carried out, there did not appear to be documented procedures or processes to enable the auditor to audit the competence of the information and records procedure to demonstrate compliance against approved procedures or processes. The conclusion of the auditor was that GTC Scotland would benefit from developing and implementing a Quality Management System such as ISO9001:2015. The adoption of such a system is a strategic decision for GTC Scotland and discussions are ongoing around this. A copy of the Audit Report has been | | | |

					provided at Appendix 3. It was planned that the consultant would meet with GTCS Corporate Management Team to explain what is involved in the process and the benefits this approach brings. Due to the lockdown and other priorities placed on staff, this meeting has not yet taken place. This will be arranged and has been included in the Records Management Action Plan.		
14. Shared Information	**G**	**G**	**G**	Update required on any change.	When sharing information with relevant partner agencies this is almost always under legislative provision. Over the past two years, our legal team have significantly developed our organisational awareness of the determination of our legal basis when considering sharing information. We are progressing an ongoing project to	In 2018 the Keeper agreed this element of the GTCS RMP as compliant and as there have been no retrograde steps since that date, the Assessment Team is satisfied that it remains 'green'. However, you should be aware that, if this were a formal resubmission under section 5 of the Act, the Keeper is now likely to require sight	We are continuously working to improve our Data Sharing Agreements. An example of an agreed and signed off DSA is provided at Appendix D. The text of the document remains the same, it is the appendix that is	The Assessment Team thanks you for this positive update, and the sample DSA, and screenshot of Register, kindly provided. It is apparent that GTC Scotland continues to understand the need to properly control this aspect of its

| | | | | | issue data sharing agreements to all organisations with whom we share information as required. A data sharing agreement register has been implemented. We have had significant discussions with other organisation about Data Sharing Agreement and legal basis for processing over the last two years. This is a challenging and complex area and we will continue to progress developing our data sharing agreements over the coming 12 months. | of a sample Data Sharing Agreement in evidence. This PUR suggest that the authority is well on the way to have a standard agreement in place.\n\nThe use of a register of agreements is welcomed and shows evidence that GTCS understands the need to control this aspect of its information processes. | amended to ensure that the data sharing activities with the recipient are documented.\n\nWe also hold a DSA Register, a screenshot of this is provided at appendix E. | information processes. |

7. The Public Records (Scotland) Act Assessment Team's Summary

Version

The progress update submission which has been assessed is the one received by the Assessment Team on 22nd September 2022. The progress update was submitted by Suzanne Valente, Information Compliance Officer.

The progress update submission makes it clear that it is a submission for the **General Teaching Council for Scotland**.

The Assessment Team has reviewed the General Teaching Council for Scotland's Progress Update submission and agrees that the proper record management arrangements outlined by the various elements in the authority's plan continue to be properly considered. The Assessment Team commends this authority's efforts to keep its Records Management Plan under review.

General Comments

The General Teaching Council for Scotland continues to take its records management obligations seriously and is working to bring all elements into full compliance.

Section 5(2) of the Public Records (Scotland) Act 2011 provides the Keeper of the Records of Scotland (the Keeper) with authority to revisit an agreed plan only after five years has elapsed since the date of agreement. Section 5(6) allows authorities to revise their agreed plan at any time and resubmit this for the Keeper's agreement. The Act does not require authorities to provide regular updates against progress. The Keeper, however, encourages such updates.

The Keeper cannot change the status of elements formally agreed under a voluntary submission, but he can use such submissions to indicate how he might now regard this status should the authority choose to resubmit its plan under section (5)(6) of the Act.

8. The Public Records (Scotland) Act Assessment Team's Evaluation

Based on the progress update assessment the Assessment Team considers that the General Teaching Council for Scotland continue to take their statutory obligations seriously and are working hard to bring all the elements of their records management arrangements into full compliance with the Act and fulfil the Keeper's expectations.

> The Assessment Team recommends authorities consider publishing PUR assessment reports on their websites as an example of continued good practice both within individual authorities and across the sector.

This report follows the Public Records (Scotland) Act Assessment Team's review carried out by

Iida Saarinen
Public Records Officer