

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

**Ayrshire Valuation Joint Board**

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

**17<sup>th</sup> November 2022**

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## 1. Public Records (Scotland) Act 2011

The Public Records (Scotland) Act 2011 (the Act) received Royal Assent on 20 April 2011. It is the first new public records legislation in Scotland since 1937 and came 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 Ayrshire Valuation Joint Board. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

#### 4. Authority Background

Ayrshire Valuation Joint Board was established by the Valuation Joint Boards (Scotland) Order 1995 to carry out the valuation functions of East Ayrshire, North Ayrshire and South Ayrshire Councils. It came into existence on 1st April, 1996 and was also given the responsibility of carrying out Electoral Registration on behalf of the three constituent authorities.

The composition of the membership of the Board is determined by the above Order and consists of 5 Councillors representing East Ayrshire Council, 6 Councillors representing North Ayrshire Council and 5 Councillors representing South Ayrshire Council.

In order to carry out the valuation and registration functions, the Joint Board is required by law to appoint an Assessor who is an independent statutory official and who will also be a Chartered Surveyor. The Assessor has also been appointed by the three constituent councils as Electoral Registration Officer. In pursuit of these duties the Assessor and Electoral Registration Officer is answerable to the Courts in terms of valuation or registration decisions.

The Joint Board, through the office of the Assessor and Electoral Registration Officer and her staff, carry out three main functions:

1. To produce and maintain the Valuation Roll which sets out the rateable values of all “lands and heritages” (except where excluded by statute) for rating purposes.
2. To prepare and maintain the Register of Electors.
3. To produce and maintain the Valuation List which sets out the banding of all dwellings for Council Tax.

#### 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:

|          |   |          |   |          |  |
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| <b>G</b> | The Assessment Team agrees this element of an authority’s plan. | <b>A</b> | 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. | <b>R</b> | 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. |
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## 6. Progress Update Review (PUR) Template: Ayrshire Valuation Joint Board

| Element            | Status of elements under agreed Plan 19MAY16 | Progress review status 29NOV21 | Progress review status 17NOV22 | Keeper's Report Comments on Authority's Plan 19MAY16   | Self-assessment Update 03SEP21   | Progress Review Comment 29NOV21  | Self-assessment Update as submitted by the Authority since 29NOV21   | Progress Review Comment 17NOV22  |
|--------------------|--|--------------------------------|--------------------------------|--|--|--|--|--|
| 1. Senior Officer  | G  | G                              | G                              | Update required on any change.   | This remains unchanged.  | Update required on any change.   | A new Assessor & ERO was appointed on 1 <sup>st</sup> April 2022. The Senior Officer is now Magnus Voy.<br><br>Our RMP has been updated and will be uploaded to our website within the next few days.<br><br>All policies and procedures are being updated to reflect this change.   | Thank you for updating the Assessment Team on the new Assessor and ERO. We have taken note of this.<br><br>Update required on any change.  |
| 2. Records Manager | G  | G                              | G                              | Update required on any change.   | This remains unchanged.  | Update required on any change.   | This remains unchanged.  | Update required on any change.   |
| 3. Policy          | G  | G                              | G                              | The records manager is currently developing a training programme for staff which is due to be rolled out in the summer of 2016. The Keeper commends this initiative and would welcome updates on this project. | Our Records Management Policy and various supporting procedural documents are currently under review. We recognise the importance of keeping all of our policies, procedures, guidance documents etc. up to date. We have a rolling programme of updates and reviews which is unfortunately slightly behind at the moment. We aim to get this back on course in the near future.<br><br>Due to the pandemic how we operate has changed and how we manage paper documents has also had to change. As part of our records management activities we will, when the new core system is live, begin the scanning of around 15,000 non-domestic property files. Once complete the paper records, where appropriate will be safely and securely destroyed. Once the new core system is up and running we will, of course, update all our policy and procedural documents to reflect this substantial change to our working practices.<br><br><b>Update provided in response to queries in bold:</b> The new core system, although representing a major change, brings together a number of existing IT and paper records into one system. This should reduce the amount of paper records (over time) within the office. It also allows staff to | The Assessment Team thanks you for this update that Ayrshire Valuation Joint Board's Records Management Policy is under review, and that there is a schedule for updates and reviews. We would encourage to authority to adhere to its regular review schedule, but recognise this is not always possible – especially during a pandemic.<br><br><b>The implementation of a new 'core system' is interesting news as it will, as you say, result in a substantial change in working practices. This sounds like a major change to the way in which AVJB manages its records. According to the Keeper's Model Plan, a records management policy statement should demonstrate how the authority aims to ensure that records remain authentic, accessible, useable and reliable throughout any organisational or system change, including guidelines for appropriate, safe and secure storage of digital records and for any transformation or migration of these if they are moved from one system to another.</b> | A decision has been taken to introduce our new core system (Evalu8) on a phased basis from 1 <sup>st</sup> April 2022.<br><br>Our Non-Domestic services were transferred to the new system on 1 <sup>st</sup> April 2022 and it is anticipated that our Council Tax services will be transferred prior to 31 <sup>st</sup> December 2022. We have a substantial piece of work to deliver to the Scottish Government that is time critical. The transfer of our Council Tax service will therefore be delayed until we know that we can deliver existing tasks.<br><br>Our Records Management Policy is under review and will be updated once Evalu8 has been implemented and confirmed to be fully operational.<br><br>All supporting guidance documents, instructions, plans etc remain in place and operational. | The Assessment Team thanks you for this update on the implementation of a new line-of-business system, Evalu8. It is welcome news that the authority's Records Management Policy will be updated once Evalu8 has been fully implemented.<br><br>The Team acknowledges that the overarching policy statement remains valid alongside the supporting guidance, even though the Records Management policy document itself continues to be under review. |

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|                            |   |   |   | <p>access electronic records from home and will facilitate a number of tasks being carried out at home.</p> <p>At present the in-office authorisation process moves paper records from room to room as staff/managers approve any changes. The new core system will allow this to be carried out electronically with clear and auditable process. No longer will the audit comprise of checking a number of paper records/ processes it will be simple, controlled and simply checked from your desk or indeed at home.</p> <p>The system will also have 'built in' retention schedules rather than the current labour intensive ones employed currently. The system will also be very consistent on what records are retained and how they are stored.</p>   | <p><b>The Assessment Team would appreciate a more detailed update on this new core system and what it entails. Updating the Records Management Policy in line of the changes as well as the regular review schedule is essential.</b></p> <p>Response to update: The Keeper's Assessment Team is very grateful for this update, and is content that AVJB has considered the records management policy implications of implementing a new line-of-business system (rather than a more comprehensive EDRM system). We expect that the records management policy is updated swiftly in line with the new processes, and look forward to updates on this in consecutive PURs.</p>  |  |  |   |
| 4. Business Classification | A | A | A | <p>The Board has outlined how it intends to develop and implement its BCS, with the project consisting of two phases and a target period for completion of two years. The Keeper applauds this endeavour and requests that he is kept informed as work continues on this project.</p> <p>The Board has also created document naming conventions and version control guidance for staff when adding records to the SharePoint system. The Keeper would be pleased to receive updates regarding the rolling-out of this guidance and any monitoring of compliance.</p> <p>The 'Future Developments' of this section of the RMP states that the Board are considering the use of an Electronic Document Management System (EDMS). Whilst funding constraints have led to a postponement of this project, the Keeper requests updates if and when the Board begins to implement an EDMS.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the roll-out of the</p> | <p>Further consideration is being given to updating our Business Classification Scheme and how this will sit alongside our soon to go-live new core operating system. The system will have retention and other records management features built in.</p> <p>SharePoint is proving a valuable tool in records management and is being expanded to hold more of our records. This includes confidential records where access, retention &amp; disposal controls have been introduced. Some examples of the changes are:</p> <ol style="list-style-type: none"> <li>1. We no longer hold paper personnel files.</li> <li>2. All budget and accounting papers are held on SP.</li> <li>3. Most of our governance documents are held on SP.</li> </ol> <p><b>Update provided in response to queries in bold:</b> The new system is not yet operational and the BCS and the IAR are currently under review. They are being developed in line with the new system and will be ready when the system is live. The IAR will be a living document and as paper documents are scanned the IAR will require updating.</p> <p>SharePoint will sit alongside the new system and where the new system will hold operational files correspondence etc SP will hold Governance and guidance documents. Recently SP has been developed to include a link for members of the team to access</p> | <p><b>The Assessment Team would appreciate a more detailed update on this new core system and what it entails, as it will have implications on AVJB's day-to-day records management practices. A Business Classification Scheme, an Information Asset Register, or something similar, shows that the authority has full understanding and effective control of the information it keeps.</b></p> <p>Thank you for this update on SharePoint as it is being used within the authority. <b>It would be good to hear how the use of SharePoint complements the new core operating system within the authority's records management framework.</b></p> <p><b>Response to update:</b> Thank you for providing this update and clarification on BCS/IAR, as well as SharePoint. The Assessment Team is content these queries have been addressed.</p> <p>This element will remain at amber while AVJB is implementing the described changes. We look forward to being updated on the progress of this in consecutive PURs.</p> | <p>With our new core system only partially operational, we will continue to view our Business Classification Scheme and Information Asset Register as living documents that are constantly under review.</p> | <p>Thank you for this update.</p> <p>This element will remain at amber while AVJB is implementing the new core (line-of-business) system. We look forward to being updated on the progress of this in subsequent PURs</p> |

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|                             |   |   |   | BCS) and has evidenced a commitment to closing this gap. Agreement of this element is dependent upon the Keeper being kept informed of the progress of this project.   | the flexible working scheme; SAA Portal and our own website.  |   |   |  |
| 5. Retention Schedule       | G | G | G | Update required on any change  | No change this continues to be updated as appropriate.  | Thank you for letting us know that the comprehensive Information Asset Register continues to be kept up to date. This is key for the building and maintenance of a functioning retention schedule, especially during major organisational change (new core systems).  | No change, our Retention Schedule continues to be reviewed and updated as appropriate.  | Update required on any change.   |
| 6. Destruction Arrangements | A | A | A | <p>The Board is currently in the process of migrating electronic records from shared and personal drives to its SharePoint system. As part of this project, obsolete records will be identified and destroyed whilst user guidance concerning the naming and saving of documents will be revised and implemented. These measures, and the move to SharePoint itself, should allow a more consistent, systematic approach to applying the rules and disposal decisions listed in the retention schedules to electronic records.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of a systematic method for the destruction of electronic records) and has provided evidence that it is working towards closing this gap. As part of the agreement of this element, the Keeper requests that he is kept informed of progress of work in closing the gap.</p> | <p>Please see comments above and in addition:</p> <ol style="list-style-type: none"> <li>Our SP site has retention dates and these are followed with allocation to team members to ensure compliance.</li> <li>The new core system will have retention schedules built in.</li> <li>Our shared drive continues to be depleted of documents as these are placed on SP or scanned in preparation for the new core system. 180,000 Council Tax files have already been scanned.</li> <li>For SP there is a Guidance Note on how documents should be named and stored. This is currently under review as large amounts of data have been placed on SP since the document was last reviewed. As indicated previously, our SP Guidance document will be updated as part of our rolling programme of updates and reviews.</li> <li>The naming convention for the shared drive follows that of SP although there remains some legacy issues.</li> </ol> <p><b>Update provided in response to queries in bold:</b> You are correct this is a complex issue/s. However we are moving most if not all of our documents on the shared drive to SP. This is time consuming and we are having trouble recruiting so it has not moved as quickly as we would have liked. Covid has also had an impact on the transfer of files.</p> <p>To support staff and to ensure a consistent approach to naming conventions we have two Guidance Notes specifically related to the use of SharePoint, they are;</p> <ol style="list-style-type: none"> <li>AVJB SharePoint User Instructions.</li> </ol> | <p>Thank you for this update on destruction arrangements. <b>It appears that AVJB currently has records on a shared drive, SharePoint, and on paper, and is also in the process of implementing a new core system. This sounds rather complex, and the Assessment Team would welcome a clarification on how these systems would work in tandem during the transition into the new core system. Maintaining consistent naming conventions is especially important when there are several parallel systems in place, even if this is transitory.</b></p> <p><b>Response to update provided:</b> The Team is grateful for this detailed update. That the new core system is a line-of-business one has clarified several points.</p> <p>This element will remain at Amber while the work is ongoing, but the Assessment Team recognises that the implementation of these changes will result in improvements in this element and AVJB is taking steps in the right direction. We look forward to hearing how this work is going in consecutive PURs.</p> | <p>We continue to move electronic records from our shared drive to SharePoint. This work is being undertaken in accordance with our Records Management Policies and Procedures, Retention Schedule and our SharePoint control documents;</p> <ol style="list-style-type: none"> <li>AVJB SharePoint User Instructions.</li> <li>AVJB SharePoint Development &amp; Document Management.</li> </ol> <p>Our new core system already has a retention schedule built in.</p> <p>Paper records are appropriately destroyed in accordance with existing policies. It is our aim to scan all non-domestic records in the near future. We are well aware of our records management responsibilities and this task will be undertaken in accordance with our existing policies.</p> | <p>The Assessment Team thanks you for confirming that the SharePoint migration project remains ongoing, and that appropriate guidance continues to be provided to staff. It is also reassuring to hear that the new core system, Evalu8, has built-in records destruction functions.</p> <p>Thank you for confirming that paper records continue to be appropriately destroyed as scheduled.</p> <p>As this is still being implemented, and as files are still in the process of being migrated from shared drives to SharePoint, it is not possible to reliably implement digital records destruction. This Element will remain at Amber. The Assessment Team looks forward to future progress updates.</p> |

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|                           |   |   |   | <p>2. AVJB SharePoint Development &amp; Document Management.</p> <p>In particular, the purpose of the second document mentioned above is;</p> <p><i>“... to ensure that all AVJB staff understand and follow the process for dealing with documents being added and stored on SharePoint. In addition it gives clear guidance on the processes involved when a document is identified to be added to SharePoint and the file structure along with the naming convention”</i></p> <p>All staff are required to follow these guidance notes and if in any doubt seek advice from Line Managers or IT colleagues.</p>   |            |                                |            |                                |
| 7. Archiving and Transfer | A | G | G | <p>The Board has stated that discussions are underway to develop a Memorandum of Understanding governing the transfer of records selected for permanent preservation between this authority and Ayrshire Archives. The finalised MoU should be in place by October 2016. The Keeper commends this initiative and asks that he has sight of the signed-off MoU once available.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of a formal agreement between the Board and Ayrshire Archives) and has provided evidence that it is working towards closing this gap. As part of this agreement the Keeper expects to be sent a copy of the signed MoU prior to October 2016. Once he receives this the Keeper should then be able to 'fully' agree the element. Should he fail to receive the finalised MoU the Keeper may choose to review his decision to agree this element and, as this is a 'compulsory' element under the Public Records (Scotland) Act 2011, this may impact his agreement of the Board's RMP.</p> | No change. | Update required on any change. | No change. | Update required on any change. |

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| 8. Information Security                   | G | G | G | Update required on any change.   | <p>During 2020 it was a mandatory requirement for all staff to undertake an online course on Cyber Security Essentials.</p> <p>All staff are encouraged to undertake other online training packages including Business Continuity, Information Governance, IT Skills, Business Continuity, GDPR/DPA.</p> <p>Our induction procedures include training and advice on Records Management, GDPR, Information Security.</p> <p><b>Update provided in response to queries in bold:</b> The new CORE system will be cloud based and the supplier holds numerous quality accreditations such as</p> <ul style="list-style-type: none"> <li>- ISO27001 (Data Security),</li> <li>- ISO22301 (Business Continuity),</li> <li>- ISO 9001 (Processes and Procedures).</li> </ul> <p>The supplier has built Azure Active Directory parsing into the application as a second factor of Authentication. This will allow us to control access to the application through Azure AD route.</p> | <p>Thank you for this update on staff training.</p> <p>To ensure organisational accountability, it is essential that the authority has procedures in place to adequately protect its records to prevent unauthorised destruction, access, removal or alteration of records. This is closely connected to Element 11 (Audit Trail) and <b>the implementation of the new core system will have implications that need to be taken into account. The Assessment Team would welcome a more comprehensive update, addressing how the new core system takes information security into account.</b></p> <p><b>Response to update:</b> Thank you for providing us with this additional information. We are content that AVJB has addressed information security considerations.</p> | <p>The first phase of data migration to our new core system was recently audited by South Ayrshire Council Internal Audit. In their report to elected members dated June 2022 they stated that;</p> <p><b>“Data Security</b><br/><i>Internal Audit confirmed that arrangements were in place to ensure data was securely migrated to the new core system. SFTP (Secure File Transfer Protocol) is used which uses encryption to provide a high level of security for sending and receiving file transfers”</i></p> <p>South Ayrshire Council Internal Audit have an ongoing interest and involvement in the introduction of our new core system.</p> <p>It is still compulsory for all staff on an annual basis to undertake online training on Cyber Security Essentials.</p> <p>Staff induction still includes basic training on cyber security, data protection, information security, records management etc.</p> <p>Training on GDPR/DPA, FOI and Records Management is being rolled out to all staff by the Head of Valuation Services.</p> | <p>The Assessment Team is grateful for this update on Information Security arrangement. The comments resulting from an internal audit process are particularly positive, and it is clear from this update that AVJB is taking information security into account during the process of introducing a new core system.</p> <p>For the Assessment Team’s comments on training updates, see Element 12.</p> |
| 9. Data Protection                        | G | G | G | All staff are required to have completed compulsory online data protection training by the end of July 2016. The Board’s records manager is also developing records management training but this has yet to be rolled-out. The Keeper would therefore be pleased to receive updates concerning these training initiatives. | Practices continue.   | Update required on any change.  | No change.  | Update required on any change.  |
| 10. Business Continuity and Vital Records | G | G | G | As well as being identified in the Board’s retention schedule, the Board is also working towards creating a separate Vital Records schedule which will identify vital records, detail  | No change.  | Update required on any change.  | Our Business Continuity Strategy, Business Impact Analysis and Business Continuity Plans continue to be aligned with our lead authority (South Ayrshire Council) and require  | Thank you for this update. It appears that AVJB Business Continuity Arrangements remain robust. The 6-monthly   |

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|                 |   |   |   | where they are located, and how they are protected. The Keeper commends the creation of such a document and would welcome having sight of it once available.  |   |   | to be reviewed and updated every 6 months.<br><br>Our May 2021 review focussed on online/web based working, ICT resources and service delivery. Our November 2021 review focussed on Covid-19 and Brexit related supply chain issues.<br><br>Our May 2022 review focussed on utility failures/ loss of ICT services and cyber threats.<br><br>We will continue to update our various plans when required and certainly in line with South Ayrshire Council our lead authority.  | review process is noted with thanks.<br><br>Update required on any change.  |
| 11. Audit Trail | A | A | A | <p>The Board is using the opportunity of the migration of electronic records to the SharePoint system to improve audit trail functionality by imposing a structure based on the BCS and by ensuring that staff comply with document naming and version control procedures.</p> <p>The Board is also trialling a File Removal Card system for the paper files retrieved from filing cabinets. This trial is to start in October 2016 and to last for six months.</p> <p>The Keeper applauds the efforts being made to improve audit trail capabilities for the Board's electronic and paper records and looks forward to receiving updates on the progress and success of these endeavours.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in its record management provision (the tracking of paper records and electronic records being migrated to SharePoint) and has identified solutions which would allow it to close that gap. As part of this agreement the Keeper will need to be kept</p> | <p>A very simple tracking system is in place for paper files that have not yet been scanned. This comprises a simple signing in and out system for each file removed and replaced. It has generated improvements but has been extremely difficult to monitor and police whilst most of our staff have been working remotely over the past 19 months. This will be reviewed once all files have been scanned.</p> <p>Again, once the new core system is operating all correspondence such as letters sent to our office will be scanned and allocated. There will be no movement of paper in the longer term this will be an electronic process.</p> <p>Assessors also have the Scottish Assessors Association web portal and this allows the lodging of appeals and other matters to be carried out electronically and again once the new core system is operational they will be an automatic download into our records management system.</p> <p><b>Update provided in response to queries in bold:</b> Within the new CORE system eValu8, users are created, disabled, and modified through the application itself. Users' access is editable through the application by users with suitable admin rights, and they can have read-only or full access down to the level of each individual page.</p> | <p>Thank you for this update on paper file tracking system implementation. It is understandable that the changes to working patterns necessitated by the pandemic have made some of these impractical and difficult to monitor. This is, however, a major concern in terms of wider organisational accountability. The Keeper expects public authorities to maintain 'a complete and accurate representation of all changes that occur in relation to a particular record', and it sounds like this is not happening at the moment. The implementation of a new system may help in the longer-term, but the Team would like to highlight that it should not be treated as a comprehensive solution as its implementation will likely create new challenges that the authority will need to address.</p> <p>Thank you for letting us know that AVJB is intending to move to a fully digital records management system once the new core system is in operation. <b>The Team would particularly welcome clarification on which core system the AVJB is moving onto, and therefore what kind of version control and other audit trail information will be in place.</b></p> <p><b>Response to update:</b> Thank you for providing us with further information as requested. We are confident AVJB has addressed these points within its new line-of-business system.</p> | <p>The phased implementation of our new core system (Evalu8) has delayed progress in this area.</p> <p>As mentioned previously, the first phase of data migration to our new core system was recently audited by South Ayrshire Council Internal Audit. In their report to elected members dated June 2022 they stated that;</p> <p><i>"Substantial Assurance was obtained that there are adequate procedures and processes in place to ensure data migrated from the current core system (Progress) to the new system (Evalu8) was accurate, complete and reliable.</i></p> <p><i>Sample test of the data migrated has been included in the 202/23 AVJB Internal Audit Plan"</i></p> <p>We welcome South Ayrshire Council Internal Audit's continued involvement in the introduction of our new core system.</p> <p>It is still our intention to move away from paper based records and have all records managed digitally by Evalu8.</p> <p>Our focus at the moment is ensuring Evalu8 is fully operational and fit for</p> | <p>The Assessment Team is grateful for this update on audit trail arrangements. It is clear that the implementation of a new line-of-business system will have an impact on this Element, and it is not unreasonable that consequently progress has been delayed in this area. South Ayrshire Council's internal audit involvement, and the positive comments with regard to accountable data migration procedures, are noted with thanks.</p> <p>Thank you for letting us know that AVJB intends to move away from paper-based records in the future. This is not an uncommon approach in the Scottish public sector. It is also evident that AVJB has a plan to implement this change gradually after Evalu8 is fully</p> |

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|                           |   |   |   | informed of the progress of this work.   | An audit record is created for every change processed through the system. Admin user will be able to interrogate the audit records.   | As the changes are ongoing, this element will remain at Amber, We look forward to further updates on the progress of the implementation in consecutive PURs.  | purpose. Once we achieve this we will begin the substantial task of transferring all paper records to Evalu8 in accordance with existing records management policies.<br><br>In the meantime we continue to operate a file tracking system for our paper records. This system was introduced a few years ago at the recommendation of the Keeper, we continue to note the benefits of having an accurate audit of our paper records.                         | operational, and that there are functional paper record tracking mechanisms in place in the meantime.<br><br>This Element will remain at Amber as AVJB continues to implement a new core system, and while the file migration from shared drives to SharePoint is ongoing. The Assessment Team look forward to further updates in subsequent PURs.  |
| 12. Competency Framework  | G | G | G | The 'Future Developments' section of this element indicates that the Board is considering a number of initiatives under this element, including making the Information Security training package compulsory for all staff, introducing training on the requirements of PRSA within the next year, and producing a PRSA staff Information Sheet which will be included in staff induction packages.<br><br>The Keeper commends these planned endeavours and asks that he is kept informed of progress and that he has sight of any new documentation created. | Expansion of knowledge in Records Management continues with the Assessor and Head of Valuation Services attending the PRSA Team's Spring Surgeries. The Head of Valuation Services is attending the Special Surgery on Element 15 to be held on 31 <sup>st</sup> August 2021. One of our Divisional Assessors attended the PRSA Team's Newcomer Surgeries. This will expand the breadth and knowledge of RM within the organisation and assist in succession planning.<br><br>Our revitalised internal Training Group has asked The Head of Valuation Services to deliver refreshed and updated training to all staff on RM, DPA/GDPR, FOI and Complaints Handling. This will be delivered in the near future.<br><br>Updated training for all staff and the maintenance of the professional competency AVJB's Senior Officer and Records Manager remains an essential requirement. | Ayrshire Valuation Joint Board's engagement with the PRSA surgeries is very positive, and indicates a continuing effort in maintaining records management knowledge within the organisation. The intention of running updated training to all staff is also welcome news. | The Records Manager continues to attend the PRSA Teams online training and surgeries. These are very worthwhile and very welcome.<br><br>In an effort to properly consider future succession planning we have encouraged more staff to attend the PRSA Teams online training and surgeries. These have been very well received.<br><br>As mentioned previously the Records Manager is due to deliver further training to all staff over the next few months. | The Assessment Team is pleased to hear that PRSA Surgeries remain relevant and welcome, and that staff are encouraged to attend these events when possible.<br><br>As reported under Element 8, AVJB continues to ensure that staff receives training on cyber security on an ongoing basis, and that upon induction, data protection, information security, and general records management are addressed.<br><br>It is also positive to hear that additional training on records management, including GDPR/DPA and FOI is being rolled out. |
| 13. Assessment and Review | G | G | G | The RMP and associated policies and procedures will be regularly monitored through the   | There has, and will be, significant changes to how we control and hold our records. SP and the new core system will be the main   | The Assessment Team is grateful for the updates relating to assessment and review. It is reassuring to know   | The introduction of a new Assessor & ERO and the election of a new Board following the local council   | Thank you for this positive update. It is reassuring to hear  |

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|                        |   |   |   | <p>Corporate Governance Forum and the use of a self-audit mechanism. In future the Board may consider use of the Archives and Records Management Services (ARMS) Quality Improvement Framework as a tool for measuring compliance. The Keeper welcomes this proactive approach to regular self-assessment, and asks for updates, particularly if internal reviews lead to significant changes in records management arrangements.</p> | <p>drivers for effective and efficient records management. There is continual improvement in our records management and retention as we improve our IT systems and move away from a paper based organisation.</p> <p>Records Management remains a standing item on the Agenda for our Corporate Governance Forum and the Assessors Management Team meetings. All appropriate and necessary issues are discussed at these meetings and, if required cascaded to all staff via Minutes, Team Briefings, Assessor Updates etc.</p> <p>As indicated previously we have a rolling programme of updating all of our policies and procedures. This programme is running slightly behind which we hope to catch up on soon.</p> <p><b>Update provided in response to queries in bold:</b> The new core system is known as eValu8 and is supplied and hosted by Democracy Counts Ltd (<a href="http://www.democracycounts.co.uk">www.democracycounts.co.uk</a>).</p> | <p>that AVJB has considered many changes that will take place as the new core system is implemented. <b>However, the Assessment Team would be keen to make sure that AVJB has considered all of the changes brought about by the new core system, and it would be helpful to know what this new system is in order to give more specific guidance.</b></p> <p><b>Response to update:</b> Thank you for providing the Keeper's Assessment Team with this information. As the system is a line-of-business rather than an EDRM one, the Assessment Team is confident AVJB is implementing the upcoming changes with due consideration to all of the elements.</p> | <p>elections on 5<sup>th</sup> May, has given us the opportunity to review and update all of our policies, procedures and guidelines, including those relating to our records management practices. This is an ongoing task that we aim to complete as soon as possible.</p> <p>Our SharePoint site is still managed in accordance with two key documents;</p> <ol style="list-style-type: none"> <li>1. AVJB SharePoint User Instructions.</li> <li>2. AVJB SharePoint Development &amp; Document Management.</li> </ol> <p>We work closely with the suppliers of our new core system (Democracy Counts) to ensure they are aware of our responsibilities under the Public Records (Scotland) Act 2011. As notified in previous PURs, Democracy Counts have numerous quality accreditations, including</p> <ul style="list-style-type: none"> <li>- ISO27001 (Data Security),</li> <li>- ISO22301 (Business Continuity),</li> <li>- ISO 9001 (Processes and Procedures).</li> </ul> <p>Records management continues to be a discussed and reviewed at every Management Team meeting and Corporate Governance Forum meeting. Minutes of those meetings are made available to all staff and any records management issues cascaded to staff.</p> | <p>that a review and update of policies, procedures and guidelines to better reflect the structures and practices currently in place is ongoing.</p> <p>Ayrshire Valuation Joint Board is also to be commended for its continuing engagement with the Progress Update Review (PUR) process.</p> |
| 14. Shared Information | G | G | G | Update required on any change   | No change all DSAs in place and updated as and when required.   | Thank you for letting the Assessment Team know that there have been no significant changes to this element, and that appropriate Data Sharing Agreements are in place. We look forward to receiving updates on this Element in consecutive PURs.  | No change. DSA's are regularly reviewed. New DSA's are introduced as and when required  | Update required on any change.  |

## 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 28 July 2022. The progress update was submitted by John McConville, Head of Valuation Services & Assistant ERO.

The progress update submission makes it clear that it is a submission for **Ayrshire Valuation Joint Board**.

The Assessment Team has reviewed Ayrshire Valuation Joint Board'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

Ayrshire Valuation Joint Board 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 Ayrshire Valuation Joint Board continues 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



Lida Saarinen  
Public Records Support Officer