# The Public Records (Scotland) Act 2011

# Ayrshire Valuation Joint Board

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

# 20 September 2019

**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. Final 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:**

| 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. |
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**Progress Update Review (PUR) : Ayrshire Valuation Joint Board**

| Element | Status of elements under agreed Plan, 19 May 2016 | Status of evidence under agreed Plan, 19 May 2016 | Progress assessment status, July 2018 | Progress assessment status, August 2019 | Keeper's Report Comments on Authority's Plan, 19 May 2016 | Self-assessment Update July 2018 | Progress Review Comment, July 2018 | Self-assessment Update as submitted by the Authority since July 2018 | Progress Review Comment, August 2019 |
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| 1. Senior Officer | G | G | G | G | Update required on any change | This remains unchanged | No immediate action required. Update required on any future change | This remains unchanged | No immediate action required. Update required on any future change |
| 2. Records Manager | G | G | G | G | Update required on any change | This remains unchanged | No immediate action required. Update required on any future change | This remains unchanged | No immediate action required. Update required on any future change |
| 3. Policy | G | 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. | The training programme was developed and all staff are in the process of receiving training. This is a living document and will change and grow as our records management changes and improves. In addition to the above it has been compulsory for all staff to undertake an online training course provided by our lead authority on Data Protection (GDPR) and Information Governance. The interface between Records Management, GDPR and Information Governance forms part of this online training module. | Developing and implementing a training programme is good practice. Records management is an essential component of compliance with GDPR and it is positive to see that this interface is recognised in the training programme. | Training continues as and when required. Our BCS is under review and is almost complete. | The Assessment Team are satisfied that the Keeper's request for updates on training to support the Records Management Policy has been met. The Assessment Team would be interested to know if there have been any changes to the Records Management Policy and the procedural documents which support this since the agreement of the RMP in May 2016. |
| 4. Business Classification | A | G | A | A | 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. The Board has also created document naming conventions and version control guidance for staff when adding records to the SharePoint system. The | This has moved forward significantly with a full review of our BCS and our core operating system. Our original BCS, was over complicated for AVJB. The review is nearing completion with a large number of documents moved to our SharePoint (SP) site. We are currently working on our HR documentation – it is being scanned and placed within a restricted access area within SP. There is a | There is good progress on this element and the development of a more focused and practical business classification scheme, specific to the needs of the authority, is sensible. It is good practice to review and develop a BCS that staff can understand and make use of at an operational level. This development will take time and the monitoring mechanisms put in place ensure that it remains an | Our BCS was complemented by our SharePoint content document. This is in the process of being changed with both mapped with the same 'route' conventions. All our HR documents have been scanned and placed in SP with appropriate restricted access in place. We have almost finished the scanning of 180,000 Council Tax files. | This update in this continuing programme for developing and applying the BCS is noted with thanks. Ayrshire VJB is continuing to make progress in this element as SharePoint is rolled out to all activities. It will be helpful to see the use of the BCS in relation to the new 'route' conventions. Overall it is positive to see that developments in other |

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| | | | | | Keeper would be pleased to receive updates regarding the rolling-out of this guidance and any monitoring of compliance.

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.

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 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. | comprehensive content management instruction and naming convention. Adding documents to SP is restricted to a small number of staff in order that file naming, retention and responsibilities etc are clear and controlled. Two members of staff have the responsibility for updating the SP Content Document.

Now that RM is a business as usual activity and integrates itself into all the records we hold we have decided to replace the core operating system over the next 12 months and then 'back scan' our domestic files into the new system. Funding has been put in place by the Joint board for this activity.

<u>Monitoring & Compliance</u>
SP and Records Management is a standing item on the Agenda of the Management Team Meetings and any issues raised and resolved. The monitoring of the SP site is carried out by a small number of staff with allocated tasks to ensure compliance with our retention schedule etc.
<u>Future Developments Update</u>
As with a number of projects once the detail begins to emerge it can involve a complete review. This is the case here where we have reviewed our 'Core Operating System' (COS) and have concluded replacement is required. The next stage in this process, as detailed above, will be the back scanning of our files. | on-going project that senior management are aware of. Please ensure that the Keeper is kept informed as this work progresses.

<u>Monitoring & Compliance</u>
SP and Records Management is a standing item on the Agenda of the Management Team Meetings and any issues raised and resolved. The monitoring of the SP site is carried out by a small number of staff with allocated tasks to ensure compliance with our retention schedule etc. | Work continues in the procurement of a new core operating system. | elements are being considered in conjunction with this element. |

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| **5. Retention Schedule** | **G** | **G** | **G** | **G** | Update required on any change | This remains unchanged | No immediate action required. Update required on any future change | A comprehensive Information Asset Register has been created and is being populated. It details GDPR responsibilities; disposal dates; responsible person/s etc. | The completion of the comprehensive Information Asset Register is excellent, providing an important tool for compliance with GDPR as well as supporting the retention schedules and business continuity plans. |
| **6. Destruction Arrangements** | **A** | **A** | **A** | **A** | 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.

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. | We are well into this element of records management, with development and population of the SP site. The cleansing of information held is taking place prior to inclusion on the SP site (see above re retention etc on SP). This is linked to the revision of our BCS and over the next 6-12 months we expect to have any shared drives cleansed; a file structure in place; a naming convention in place; and retention schedules in place. We are progressing with our records management to ensure we have policies; procedures; processes in place and our people are aware of these and how they are implemented. The implementation of RM has also aided in the compliance with Data Protection and going forward to May 2018 the GDPR. The new core operating system will have electronic retention elements built into the system – which is likely to be automated. Until an appropriate system is in place I cannot expand on this at this time but will update the Keeper at the appropriate time. | There is clear progress on the use of Sharepoint for electronic records management but it appears that this has not yet reached the stage where there is assurance of systematic destruction arrangements. In order to achieve Green on this element, the authority should have a system in place which notifies an authorised person when identified records are due for destruction and a record should be kept of these destructions. In the meantime, it would be helpful to have an indication of any manual destruction of electronic records which have taken place in particular in relation to the cleansing of shared drives. Large-scale cleansing processes often present risks of records being destroyed or retained inappropriately.

The authority is clearly committed to developing more robust arrangements and the Keeper would welcome on-going updates on progress. | Prior to the scanning of all the CT files staff during extended hours cleansed the files to comply with retention etc.

The cleansing of the shared drive has commenced and is proving VERY challenging. A structured and careful process to achieve our aims involves a number of staff, IT specialists, management team, and those with records management responsibilities. | Building on the previous year's developments, Ayrshire VJB continue to work hard towards implementing appropriate destruction and deletion processes for their paper and electronic records. Cleansing the paper files prior to scanning is essential and the time and effort required for this should pay dividends in efficient and cost-effective scanning and future access of the records.

A frequent problem with shared drives is the facility for individual staff to create folders without any regard to file structures. Staff often do not realise that their failure to follow a recognised file structure makes it harder for their colleagues to discover relevant information efficiently and quickly and well-nigh impossible for the authority to have assurance that records are being deleted in accordance with the retention schedule. Sorting this out is undoubtedly challenging and Ayrshire VJB is to be commended for the hard work that is going into this process and the determination to prevent |

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| | | | | | | | | this in the future by using SharePoint which should enable more appropriate creation and retention of information. |
| 7. Archiving and Transfer | A | A | G | G | 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.<br><br>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. | A Memorandum of Understanding governing the transfer of records selected for permanent preservation between this authority and Ayrshire Archives – is in place. | The Keeper thanks the Ayrshire Valuation Joint Board for supplying a copy of the Memorandum of Understanding with Ayrshire Archives. If this were a statutory assessment this would be sufficient to move the RAG rating to Green. | No change | No immediate action required. Update required on any future change |
| 8. Information Security | G | G | G | G | Update required on any change | .As mentioned in Element 3, it has been compulsory for all staff to undertake an on-line training module on Information Governance. This training module has been introduced to highlight the interface between Records Management, | As with Element 3, this training is an example of good practice. | No change | No immediate action required. Update required on any future change |

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| | | | | | | GDPR and Information Security.<br><br>Information Security will be a critical and fundamental element of our new Core Operating System. | | |
| 9. Data Protection | G | 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. | Some training has been developed and rolled out to all staff. Further training will be given by way of briefings on our revised BCS; GDPR; changes to the shared drive and the reasons for this. As mentioned at Elements 3 & 8 above, It has been compulsory for all staff to undertake an on-line training module in Information Governance. The Senior Officer and Records Manager received GDPR and Information Security training via one of our partner Councils.<br><br>We are working collaboratively with all three Ayrshire Councils and fellow Assessors within the Scottish Assessors Association to meet all current requirements under the DPA and future obligations under GDPR, examples include the preparation and implementation of Data Sharing Agreements, Informaton Data Audits, GDPR Training, Privacy Notices etc. | Collaborative work with other relevant authorities to achieve compliance with GDPR is best practice. The training as referenced in Element 3 and 8 is an example of good practice and the authority is to be commended on making these connections explicit to staff via training. | Practices continue. | No immediate action required. Update required on any future change |
| 10. Business Continuity and Vital Records | G | 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 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. | The 'Information Asset Register' is currently a work in progress and will be completed by May 2018 to comply with GDPR. This will be a comprehensive document detailing whether the record we hold is of a personal nature or not and the proposed retention. This document will sit alongside the SP Content Document | It appears that the requirements for compliance with GDPR have overtaken the initial Vital Records schedule and evolved into a full Information Asset Register. This is a pragmatic approach but it is important that the identification of Vital Records is not omitted.  The Keeper would still welcome | Comprehensive Information Asset Register compiled and included identification of for example, vital records, retention, GDPR info etc. | The completion of a comprehensive information asset register including identification of vital records is excellent. This should prove to be a useful tool for ensuring business continuity in the event of an interruption in service and ensuring that vital records are protected. |

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| | | | | | and both will give a comprehensive guide to the information we hold. | sight of this once completed. | | | |
| 11. Audit Trail | A | G | A | A | 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.

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.

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.

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 informed of the progress of this work. | See above on the development of SP. In addition and again detailed above a comprehensive review of our BSC is taking place.

The implementation of a File Removal Card System has been delayed for the following reasons ;
1. Revaluation 2017 required every non-domestic file to be removed and used by valuation staff over a period of more than 18 months up to 1st April 2017.
2. The Boundary Commissions review of ward boundaries resulted in a number of properties moving between existing wards. This required the re-referencing of a substantial number of files. The work on this considerable task is still underway.
3. The planning for the back-scanning of files has taken priority. A decision was taken to await the outcome of the planning phase of the back-scanning of the files before implementing a process that would be very quickly superseded.

Notwithstanding the above a procedural guidance note for the File Removal | There are practical limits to the work that can be accomplished, but the decision to delay introducing the File Removal Card system leaves the authority more vulnerable to accidental misfiling and loss, leading to potential inefficiencies in working practices.  The Assessment Team would encourage the authority to progress their decision on the back scanning project as quickly as possible. | The risk here has been significantly reduced due to the scanning of CT files.
It is hoped we can scan a number of the smaller non-domestic files.

The planned implementation of a file removal card system is still on hold whilst the scanning of CT files and NDR files take place.

Once the scanning is complete it is still our intention introduced the file remove card system. A simple card based file tracking system is to be introduced by the end of September and options for introducing a more comprehensive file tracking system are being looked at. | The scanning of domestic files has enabled good progress with developing an audit trail.  However, there is some concern about the lack of a tracking system for paper files.

Ayrshire VJB have explained that there is some file tracking inherent in their procedures and that no file has been lost.  The risk of loss or tampering with the information is low but there are inefficiencies which they agree would be improved by developing a file tracking system which staff can use and access easily.  A signing-out system for those files which require to be carried by staff outside the office is being implemented.

The Assessment Team has provided advice and has put Ayrshire VJB in touch with other authorities with similar issues.  The aim is to develop an efficient system that enables staff to know the location of any record when in use as well as when stored in the filing system.  The Assessment Team would continue to encourage the authority to work towards a more efficient system that is appropriate for their purposes. |

| | | | | | Keeper's comments | Authority response | Keeper's assessment | | |
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| | | | | | | process and File Tracking Cards were produced. If the back-scanning of files is not implemented the File Removal and Tracking procedure will be immediately implemented. | | | |
| 12. Competency Framework | G | 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. | As indicated previously, information security training has been made compulsory for all staff and an updated information sheet is included in the induction pack.<br>The Senior Officer and the Records Manager have received specific Data Protection and Information Governance training from one of our partner Councils and have also attended various training seminars on GDPR.<br>The Senior Officer also recently attended the Keeper's PUR surgery in Irvine.<br>PRSA training will be rolled out to all staff in the near future. | This clear commitment to training and providing support to designated records management staff is to be commended. The current focus is understandably on GDPR and information security but it is very positive to see new training being devised so that all staff understand their responsibilities under PRSA. | Staff all trained and continue to be trained on eg GDPR, PRSA, FOI, DP etc etc. | This updated is noted with thanks. There is continuing commitment to maintaining professional competencies in record keeping and related information governance practices. This is good practice and to be commended. |
| 13. Assessment and Review | G | G | G | G | The RMP and associated policies and procedures will be regularly monitored through the 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. | The RMP and associated policies and procedures continue to be a standing item for the Corporate Governance Forum and the Assessors Management Team meetings.<br>Records management procedures are regularly discussed and reviewed at both of these meetings.<br><br>Records Management also form part of our Corporate Risk Register which is also discussed at every Corporate Governance Forum, Management Team meetings and reported twice yearly to the Elected Members of Ayrshire Valuation Joint Board. | The review procedures are good practice, keeping records management as an integral part of the authority's acknowledged responsibilities.<br><br>Using relevant modules of ARMS as a tool for regular self-assessment can be a very effective method of ensuring continuing compliance. The Keeper has endorsed the use of ARMS and the Assessment Team can offer advice if the authority opts to use ARMS. | No change | No immediate action required. Update required on any future change |

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| | G | G | G | G | | Unfortunately the use of the Archives and Records Management Services Quality Improvement Framework has still to be considered in detail. It is still our intention to consider this further when time and resources allow. | | | |
| 14. Shared Information | G | G | G | G | Update required on any change | The implementation of GDPR has required AVJB to review how, why, where and with whom it shares information. New and refreshed Data Sharing Agreements, Privacy Notices etc are being introduced prior to 25th May 2018. This is a substantial undertaking that will continue beyond 25th May 2018,<br>We aim to update The Keeper as this process evolves. | This development is good practice and demonstrates that the authority is well aware of its responsibilities in this area. | A number of DSA are in place with partners and other organisations. Privacy Notices have been introduced.<br>Staff with responsibility for records management continue to :<br>1. Review our existing DSA and PNs.<br>2. Introduce DSAs and PNs with partner organisations where ever possible.<br>3. Share best practice in this area with other Assessors offices and partner organisations. | This update is noted with thanks. The authority is making good progress in establishing and developing its Data Sharing Agreements and Privacy Notices. The on-going work in this area is very positive. |

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

<u>Version</u>

The progress update submission which has been assessed is the one received by the Assessment Team on 16 July 2019. 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** .

PRSA Assessment Team's Summary

The Assessment Team has reviewed **Ayrshire Valuation Joint Board's** Progress Update submission and agrees that the proper record management arrangements outlined by the fourteen 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.

<u>General Comments</u>

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.   At present it is likely that the status of all elements would be unchanged.  The Assessment Team note that there is a continuing commitment to maintain those elements that are already rated as Green and in particular commend the development of a comprehensive information asset register which incorporates the retention schedules and the identification of vital records.  This is a practical development, making use of the requirements of the Data Protection Act 2018 and GDPR to enhance the overall approach to records management.

The Assessment Team continue to encourage progress in the remaining three Amber elements and look forward to hearing more once a new core operating software has been identified and procured..

Where 'no change' has been recorded under the update on provision by the authority, the Assessment Team is happy to agree that these elements require no further action for the  time being.


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**  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,

**Elspeth Reid**
Public Records Officer