

The Public Records (Scotland) Act 2011

NHS Tayside

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

8th June 2021

Contents

1. The Public Records (Scotland) Act 2011.....	3
2. Progress Update Review (PUR) Mechanism.....	4
3. Executive Summary.....	5
4. Authority Background.....	5
5. Assessment Process.....	6
6. Records Management Plan Elements Checklist and PUR Assessment.....	7-15
7. The Public Records (Scotland) Act Assessment Team's Summary.....	16
8. The Public Records (Scotland) Act Assessment Team's Evaluation.....	17

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 NHS Tayside. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

4. Authority Background

Tayside Health Board was established in April 1974 and is responsible for commissioning health care services for the residents in the geographical local government areas of Angus, Dundee and Perth and Kinross. The Board's boundaries are coterminous with these local government areas, which had a combined population of 405,721 based on mid-year 2011 population estimates.

NHS Tayside's governance includes a total of 22 major and community hospitals, including the University of Dundee's Medical School attached to the regions flagship institute, Ninewells Hospital in Dundee. It also includes over 75 GP surgeries and a variety of health centres staffed by over 30,000 employees of the health region.

<http://www.nhstayside.scot.nhs.uk/index.htm>

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) Template: NHS Tayside

Element	Status of elements under agreed Plan 03OCT16	Progress status 08MAY19	Progress status 12JUN20	Progress status 08JUN21	Keeper's Report Comments on Authority's Plan 03OCT16	Self-assessment Update 17JAN20	Progress Review Comment 12JUN20	Self-assessment Update as submitted by the Authority since 12JUN20	Progress Review Comment 08JUN21
1. Senior Officer	G	G	G	G	Update required on any change.	Update to job title of SIRO – Ms Margaret Dunning is still the SIRO but job title has changed to Board Secretary.	The Assessment Team thanks NHS Tayside for this update which has been noted.	No Change Required	Update required on any change.
2. Records Manager	G	G	G	G	Update required on any change.	No Change.	Update required on any change.	No Change Required	Update required on any change.
3. Policy	G	G	G	G	Update required on any change.	All policies continue to be reviewed on a bi-annual basis as per NHS Tayside's policy on policies. All records management policies are up to date as at 31 December 2019. All NHS Tayside policies are available on the public website and can be accessed using the following link: https://www.nhstayside.scot.nhs.uk/WorkingWithUs/NHS-TaysidePolicies/index.htm	In their original submission NHS Tayside committed to keeping their information governance policies and guidance under review and the Assessment Team is pleased to acknowledge that this is being done. The Keeper would commend the authority for making key information governance policy documents publicly available.	NHS Tayside has reviewed and updated all its Records Management Policies in line with the new national NHS Scotland Records Management Guidance. All these updated policies are available to view on our public facing website. https://www.nhstayside.scot.nhs.uk/WorkingWithUs/NHSTaysidePolicies/index.htm	The Assessment Team thank NHS Tayside (NHST) for this update. It is clear that regular review and updates to information governance policies and procedures continue to be carried out. In addition, access to these policies continues to be provided on the authority's public website.
4. Business Classification	A	A	A	A	NHS Tayside are currently engaged in a project to create local service area business classification schemes which will then feed into the DocStore document management system. This key programme for the Corporate Records Compliance Group will allow for a more centralised and efficient approach to records management and will be fundamental to future records management provision in the authority. The Keeper commends this work, particularly the	Work continues with records management coordinators to continually review their records management provision and local records management plans. The classification scheme in place in the electronic document store remains in place as the corporate business classification scheme. The Office365 implementation is still in its infancy however work is still ongoing with departments to data cleanse as good practice in general but also in	In previous updates NHS Tayside have indicated that they were pursuing an Information Asset Register structure around the management of their public records. The Assessment Team acknowledge that this action is progressing as expected. The Information Asset Register is now being populated at a local level (the involvement of local business areas in the work is vital). This is being monitored centrally by the Corporate Records Manager (good) and a sensible prioritisation	Work has progressed with building an Information Asset Register. A robust process for chase and review is in place for assets registered based upon the risk allocated to each one. Work does need to continue around engaging with IAO's in areas with a low submission of assets. This work had progressed late Summer 2020 but was stalled due to the second wave of Covid affecting IAO's being available for engagement. We plan to continue this work again as soon as possible. As at 31 March, NHS Tayside has 125 assets registered.	Progress is evident with the ongoing development of an IAR and notification of the number of assets registered increasing from 71 to 125. It is understandable that input from IAOs has been disrupted by the Covid-19 pandemic and we look forward to further updates in future PUR submissions. While this work is ongoing this element will remain Amber.

					<p>involvement of local service "champions" and requests that he is kept updated as work on this project continues.</p> <p>The authority is also creating an Information Asset Register (IAR) in order to clarify ownership of information assets and to link record types with the retention schedule. The Keeper asks that he is provided with a copy of the finalised IAR when available.</p> <p>NHS Tayside will roll-out staff training on the new Business Classification Scheme when appropriate. The Keeper welcomes this commitment and would be interested in hearing news of the development of this training.</p> <p>The Keeper agrees this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means that an authority has identified a gap in their records management provision (in this case business classification schemes and information asset register are not fully functional across the Board) and has put processes in place to close that gap. The Keeper's agreement is conditional on him being updated as the project progresses.</p>	<p>the knowledge it will serve them well moving forward to o365.</p> <p>Work on the Information Asset Register has moved significantly since the last update. The Corporate Records Manager now has this under her remit and has created a project plan to 'refresh and mature' the work done previously. A number of meetings with Information Asset Owners and Administrators has taken place with the result that more assets are being assessed and forms completed for IG to add to the register. A risk review process has also been created and put in place to ensure assets are reviewed at appropriate timescales depended on their risk rating.</p> <p>As at 08 January 2020 NHS Tayside has 71 information assets registered.</p>	<p>scheme imposed on the work to populate the IAR (also good). The Assessment Team looks forward to updates in subsequent PURs.</p> <p>The achievement of this objective will mark a measurable improvement in the records management provision in the authority.</p> <p>This element remains at Amber while this work is ongoing.</p> <p>The Keeper is aware that all NHS Boards are migrating their systems to a O365 solution. This is bound to be incremental and take several years to bed-in properly. The Assessment Team would remind NHS Tayside of the importance of appropriate policies, governance and staff training in making this major project a success.</p> <p>The Assessment Team notes that NHS Tayside intend to take the opportunity to data cleanse during the SharePoint migration. This is commendable and the Keeper would be pleased to learn that resources have been allocated in NHS Tayside to undertake this work.</p>		
5. Retention Schedule	G	G	G	G	<p>Update required on any change.</p>	<p>NHS Tayside continues to await the updated code of practice. Meantime provision remains the same and we follow the 2012 v2.1 of the NHS Scotland Records Management Code of Practice.</p> <p>We have been advised we</p>	<p>The Keeper has been kept appraised of the development of an updated <i>Code of Practice</i> through the NHSS Forum and accepts that NHS Tayside will adopt that Code when it is available.</p> <p>The <i>NHS Code of Practice</i> is</p>	<p>As the NHS Scotland Framework for records management was updated, all local policies have been reviewed and updated in line with the new guidance, this included the records retention policy. As well as updating the policy, a 'vital signs' all staff newsletter was issued advising of the new policy and highlighting major changes to some records types. This was also backed up</p> <p>The Assessment Team welcome confirmation of review and updates of the records retention policy to reflect the updated NHS Scotland Framework for records management. The updated Retention</p>	

					<p>no longer require to retain HR Records for equal pay claims, therefore our retention schedules have been updated to reflect this and work to destroy all records kept has been programmed.</p>	<p>the key source for retention decisions and, as noted above, this Code is being updated at the moment. For the present the Assessment Team is content that NHS Tayside is operating the retention provision in the old Code.</p> <p>Thank you for the update regarding changes to the retention schedules around HR records.</p> <p>This is a recognition that a retention schedule is a 'living document' and will be subject to continual minor change year on year.</p>	<p>with an email to information asset owners in the relevant areas.</p>	<p>Schedules Non-Clinical/Administrative Records (version 5.0, January 2021), which reflects the Scottish Government Records Management: Health and Social Care Code of Practice (Scotland) 2020, is available to view on the NHST public website (see element 3).</p> <p>Communication of the new policy along with highlighting notable changes to all staff via a newsletter, as well as an email to IAOs, is commended.</p>	
6. Destruction Arrangements	A	A	A	A	<p>NHS Tayside recognises the challenge of destroying electronic records held in shard drives as this process must be done manually. It is anticipated that the programme of work to transfer all such records onto the DocStore system, where deletion is automated, will significantly improve provision under this element. In the meanwhile, the authority will engage in an awareness raising campaign to encourage staff to be mindful of the retention and destruction of records held on the shared drives. The Keeper commends these initiatives and asks that he be kept informed of both the awareness campaign and the migration of records onto the DocStore system.</p> <p>The Keeper agrees this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means</p>	<p>Work continues to promote data cleansing and good records management principles.</p> <p>A Vital Signs was issued to all staff in August 2019 giving guidelines, hints and tips for data cleansing non clinical records.</p> <p>This resulted in a number of enquiries from departments seeking support and enquiring about retention periods. The Corporate Records Manager continues to facilitate and work with departments who are undertaking large data cleansing exercises.</p> <p>Again this will serve the organisation well with the impending move to o365.</p> <p>Walkabouts continue to review archive stores and will continue going forward.</p> <p>The destruction of health records continues to happen in a robust planned way in line with current retention schedules.</p>	<p>There is good evidence that the controlled destruction of records is progressing well while perhaps not being fully compliant.</p> <p>However ,the Assessment Team accept that NHS Tayside is waiting for the roll-out of the new NHS Scotland Records Management Code of Practice. The Keeper has representation on the group charged with the development of this document.</p> <p>Clearly, when all the public records of the authority are managed on the O365 system (see element 4) the routine and controlled destruction of electronic records should be more robust. However, this functionality will probably not be universally operational for some time. In the meantime it will remain important that staff are correctly prompted to destroy records appropriately.</p> <p>The Assessment Team acknowledge that several different initiatives are</p>	<p>Work around data cleansing continues. The Corporate Records Manager has created an audit tool based upon the PRSA elements for departments to use to audit their current compliance and help identify areas of concern and collections of records that should be included on the IAR.</p> <p>Walkabouts have ceased for now due to Covid regulations and reducing footfall.</p> <p>The launch of the updated records retention policy has resulted in a number of enquiries from teams looking to properly review their retention of documents, and support has been provided to them.</p> <p>Work is being undertaken nationally around an agreed national approach to properly managing records created in responding to the pandemic. Locally guidance has been issued to all staff to advise not to delete/destroy anything pandemic related until a framework is in place for longer term review and management of these records.</p>	<p>The Assessment Team thank NHST for this update.</p> <p>Further development of support to assist staff with data cleansing work and compliance is apparent with the newly created audit tool. Support for staff engaging with and implementing the updated records retention policy is also noted.</p> <p>It is understandable that the previous methods used to carry out checks of physical records storage (walkabouts) have been suspended while Covid-19 workplace restrictions are in place.</p> <p>The Assessment Team note NHST staff have been provided with guidance in relation to retaining records of the pandemic pending a planned national NHS approach to managing these</p>

					<p>that he acknowledges that the authority has identified a gap in provision (manual deletion of electronic records in shared drives may not be suitably controlled). However, they have instigated processes to close that gap (moving shared drives to DocStore and in the interim re-training staff). The Keeper agrees this element on condition that he is kept updated as the project progresses.</p>		<p>operational in NHS Tayside to mitigate the risks inherent in retaining public records beyond their retention periods. For example: Staff engagement (Vital Signs) and spot checks (Walkabouts). These are to be commended.</p> <p>As above, the data cleanse programme prior to SharePoint migration is to be commended</p> <p>This element remains at Amber with the possibility that, if this were a formal resubmission, sufficient guarantees and evidence might be provided to turn it 'green'.</p>		<p>records.</p> <p>This element remains at Amber with the possibility that, if this were a formal resubmission, sufficient guarantees and evidence might be provided to turn it 'green'.</p>
7. Archiving and Transfer	A	A	A	A	<p>NHS Tayside has identified the University of Dundee Archive Service as an appropriate place of deposit for these records. The Keeper agrees the suitability of this repository and recognises that historic arrangements are in place. However, due to the informal and outdated nature of these arrangements, the Keeper recommends that a dialogue between these two bodies should commence as soon as practicable. NHS Tayside have notified the Keeper that there is an on-going action point to formalise the transfer arrangements, which the Keeper commends.</p> <p>The Keeper is able to agree this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means that he acknowledges that an authority has identified a gap in their records management provision (in this case the archiving agreement is out of date),</p>	<p>Discussions are ongoing with Dundee University. A draft MOU has been drawn up and is being reviewed by both parties.</p> <p>Provision remains in place with both parties engaging with each other and discussing requests outwith the norm to review archived records on a case by case basis.</p>	<p>The Keeper would still be able to agree this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means that he acknowledges that an authority has identified a gap in their records management provision (in this case the MoU with the University is not fully agreed), but has put appropriate processes in place to close that gap.</p>	<p>This work has not progressed since the last update due to Covid pressures within the service. Plans to resurrect this work going forward.</p>	<p>The impact of the Covid-19 pandemic on planned projects is understandable. We are confident work will resume to finalise the draft MOU when practicable.</p> <p>The Keeper would still be able to agree this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means that he acknowledges that an authority has identified a gap in their records management provision (in this case the MoU with the University is not fully agreed), but has put appropriate processes in place to close that gap.</p> <p>We look forward to notification of progress in future PUR submissions.</p>

					but has put appropriate processes in place to close that gap. His agreement is conditional on him being supplied with an updated MoU or similar document showing the current arrangements between NHS Tayside and Dundee University Archives. NHS Tayside have made a commitment to sharing this document with the Keeper when available.				
8. Information Security	G	G	G	G	<p>NHS Tayside currently operate an Information Security Policy Framework consisting of a suite of policies and procedures. An Action Plan 2015-17 aims to bring the Board up to the ISO 27001 standard. The Keeper commends this endeavour and asks that the authority forwards documents relevant to the upgraded security provision when they become available.</p> <p>There is also a commitment to promote effective confidentiality and security practice amongst staff and to establish and maintain incident reporting procedures and investigate instances of actual or potential breaches. The Keeper welcomes this commitment and asks that he be kept informed of the progress of this work.</p> <p>The Keeper agrees that NHS Tayside have current arrangements in place to ensure that records are held securely as required by the Act. However, he notes that "there are a number of new things to be undertaken" as part of the Information Security</p>	<p>NHS Tayside is currently in the process of collating and providing evidence against the ISPF controls. This is in preparation of the external audit which will happen during 2020.</p> <p>To help with compliance, a Cyber Resilience Governance Group (CRGG) has been set up with representation across Board.</p> <p>Progress on ISPF implementation including minutes from the CRGG group are presented bi-monthly, to the Information Governance and Cyber Assurance Committee.</p>	<p>As with the last PUR, NHS Tayside show evidence of updating their security arrangements in line with best practice. This is to be commended.</p> <p>For review see element 13 below.</p>	<p>The Network and Information Security Regulations 2018 (NIS Regulations) desktop audit was conducted by the Competent Authority. An interim audit report was received on 6 November 2020 indicating an overall compliance status of 50% (Amber).</p> <p>The interim audit made a number of recommendations. An Action Plan has been developed by the Information Governance and Cyber Assurance Team and is being actioned through the Cyber Resilience Governance Group. Progress against recommended management actions will be reported to the Information Governance and Cyber Assurance Committee and will be monitored through the Audit and Risk Committee.</p>	<p>Thank you for this update confirming the completion of the Network and Information Security Regulations 2018 (NIS Regulations) desktop audit and the assigned compliance status from the interim report.</p> <p>It appears NHST have responded appropriately to the results by establishing an action plan and mechanism for reporting and monitoring.</p> <p>For review see element 13 below.</p>

					Framework (Report on Information Security Framework to Information Governance Committee, 6 May 2015) and looks forward to regular updates.				
9. Data Protection	G	G	G	G	Update required on any change.	NHS Tayside has augmented the Information Governance and Cyber Assurance Team with a member of staff to assist in the provision of data protection advice to GP practices. All other policies and guidance remain up to date and relevant.	As with all other Scottish public authorities NHS Tayside have been required to review and update their data protection procedures in light of the 2018 legislation. The Assessment Team acknowledges that the public facing Heath Board website has been updated appropriately: https://www.nhstayside.scot.nhs.uk/YourRights/PROD_298457/index.htm The Assessment Team notes that "Data Protection" is a direct link featured on the Home Page. This is excellent (and quite unusual). In their original submission NHS Tayside committed to keep its information governance policy documents under review and the Assessment Team acknowledge that this is being done.	All policies and guidance are up to date and NHS Tayside Information Governance Team continues to promote, monitor and provide data protection advice to the organisation.	Thank you for confirmation all policies and guidance remain up to date. Update required on any change.
10. Business Continuity and Vital Records	G	G	G	G	The Keeper notes a statement in the Plan that TrakCare will, when adopted, "deliver suitable Disaster Recovery and Business Continuity Plans". He requires an update, when appropriate, of how this alters the Board's submission under Element 10.	Business Continuity plan provision is now noted within each assessment for items on the information asset register. No further update.	Record recovery arrangements are a useful addition to an Information Asset Register. As well as this, the Assessment Team understands that the IAR is currently being populated locally (this is recommended). Consequently, local business areas will be prompted to considered their record recovery provision while doing this work. A worthwhile step in itself.	This is ongoing, no update required.	The Assessment Team acknowledge work remains ongoing. We look forward to updates in future PUR submissions.

11. Audit Trail	A	A	A	A	A	<p>Tracking functionality forms part of the line of business systems operated by NHS Tayside and examples have been supplied. As one of these, TrakCare, will not be fully deployed in the authority until March 2017 the Keeper requests that he is notified once this system is fully operational.</p> <p>NHS Tayside recognise audit trail challenges for records stored in the shared drives. Work will be undertaken to structure these drives before merging them the DocStore system. The Keeper agrees that this project, alongside the wider BCS/IAR work, will greatly improve provisions in this area. As such he would welcome updates on these developments.</p> <p>The Keeper agrees this element of NHS Tayside's Records Management Plan under 'improvement model' terms. This means that he acknowledges that an authority has identified a gap in their records management provision (in this case around "long term management of organisational shared drives" – Plan element 11 actions). He notes that NHS Tayside have implemented appropriate programmes to close that gap. The Keeper's agreement is conditional on him being updated as the project progresses.</p>	<p>Work in reviewing shared drive usage and management continues organisation-wide in preparation for implementation of O365 as described previously in element 4 and 6.</p>	<p>The Keeper agreed the original submission on 'improvement model' grounds. That is to say the authority had recorded a gap in provision and was taking steps to close that gap.</p> <p>This was bound to be incremental and the Assessment Team is pleased to acknowledge that steps have been taken as agreed.</p> <p>It is important that any organisation can be confident that they can find a record when required and identify the correct version of that record. The Assessment Team acknowledge that NHS Tayside are pursuing this objective. The creation of a clear structure (see element 4) will be a significant step forward.</p> <p>The O365 migration should greatly increase the control over document tracking although it will take some time for this to be universally applied in the authority. However, in the short term the Assessment Team would expect the populated <i>Information Asset Register</i> to strengthen this element. (For comments regarding the O365 migration and the <i>Information Asset Register</i> see element 4 above).</p> <p>Once the <i>Information Asset Register</i> is rolled out, the creation and roll-out of staff guidance would seem to be the next vital step and the Assessment Team looks forward to updates on progress in subsequent PURs.</p> <p>This element remains at Amber.</p>	<p>No further update on this is required as situation remains as previously with work in reviewing shared drive usage and management continuing organisation wide in preparation for full move to O365.</p>	<p>The Assessment acknowledge that work will be ongoing for some time around the preparations for migration to O365. We also note the progress being made with developing the IAR, see elements 4 and 5.</p> <p>We look forward to updates on progress in future PUR submissions.</p> <p>This element remains at Amber.</p>

12. Competency Framework	G	G	G	G	<p>Update required on any change.</p>	<p>No updates at this time. Early work has been done to consider mapping out a potential LearnPro but this has not progressed to date.</p>	<p>Training in information governance for appropriate staff is of vital importance when implementing an authority's Records Management Plan.</p> <p>The Assessment Team notes the consideration of a LearnPro corporate records module. This has been rolled out in other territorial health boards in Scotland (for example NHS Highland) who would we are sure be willing to share their experience if asked (you may have already done this).</p> <p>In 2016 the Keeper was satisfied that NHS Tayside had appropriately considered the training of staff regarding information governance issues and there is no suggestion that this is no longer the case.</p> <p>This element remains Green.</p>	<p>The Corporate Records Manager has recently completed and achieved the Practitioner Certificate In Scottish Public Sector Records Management.</p> <p>No work has progressed on the addition of a Learnpro.</p>	<p>Thank you for this update and congratulations on the Corporate Records Manager's successful completion of the Practitioner Certificate in Scottish Public Sector Records Management.</p> <p>We note that no further progress has been made with regard to LearnPro.</p>
13. Assessment and Review	G	G	G	G	<p>A formal review of the Plan will take place before April 2018, whilst the NHS Tayside Corporate Records and Web Manager will undertake regular reviews in the meanwhile and shall report progress to the Corporate Records Compliance Group. There are also commitments to carry out or commission internal audits of the records management arrangements and progress of the implementation of the Plan. Individual policies supporting these provisions have been assigned scheduled review dates.</p> <p>The Keeper commends these endeavours and requests that he is provided with updated policy documents when available, in order that he</p>	<p>Records Management progress is featured within a report to every meeting of the Information Governance and Cyber Assurance Committee.</p> <p>NHS Tayside has chosen to participate in the PUR process which will assist in reviewing and taking stock of current provision.</p>	<p>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.)</p> <p>There is strong evidence throughout the PUR that information governance issues are routinely reported up through the organisation such as the via the Information Governance and Cyber Assurance Committee (see element 8).</p> <p>Furthermore, the involvement of local records management 'champions' reviewing provision in their own business areas is noted and commended.</p> <p>It is also noted that there is an intention for there to be an external audit of provision (information security?) in 2020. The Assessment Team looks forward to an update</p>	<p>Records Management progress continues to be featured within a report to every meeting of the Information Governance and Cyber Assurance Committee.</p> <p>NHS Tayside continues to choose to participate in the PUR process which will assist in reviewing and taking stock of current provision.</p>	<p>The Assessment Team acknowledge that regular review and assessment continues with reporting to the Information Governance and Cyber Assurance Committee.</p> <p>Updates to policies and supporting documentation in response to new national NHS Scotland Records Management Guidance are reported under elements 3 and 5.</p> <p>The Network and Information Security Regulations 2018 (NIS Regulations) desktop audit carried out in 2020 and the subsequent action plan is further indication of NHST's commitment to review and assessment (see element</p>

					may keep the NHS Tayside submission up-to-date.		on this at the time of the next PUR. The authority's participation in the PUR process in 2019 and 2020 demonstrates a commitment to reviewing its RMP.		8). The Assessment Team remain confident regular review and assessment of information governance policies and procedures continues to be undertaken by NHST. This is reinforced by the continued participation in the PUR process.
14. Shared Information	G	G	G	G	Update required on any change.	No update required.	Update required on any change.	No update 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 4 April 2021. The progress update was submitted by Lynda Petrie, Corporate Records Manager.

The progress update submission makes it clear that it is a submission for **NHS Tayside**.

The Assessment Team has reviewed NHS Tayside'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

NHS Tayside 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 NHS Tayside 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,



Liz Course
Public Records Officer