The Public Records (Scotland) Act 2011

Ayrshire Valuation Joint Board

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

29th November 2021

Contents

1. Public Records (Scotland) Act 2011

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

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

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

2. Progress Update Review (PUR) Mechanism

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

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

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

3. Executive Summary

This Report sets out the findings of the Public Records (Scotland) Act 2011 (the Act) Assessment Team's consideration of the Progress Update template submitted for 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.

6. Progress Update Review (PUR) Template: Ayrshire Valuation Joint Board

Element	Status of elements under agreed Plan 19MAY16	Progress assessment status 20SEP19	Progress assessment status 29NOV21	Keeper's Report Comments on Authority's Plan 19MAY16	Self-assessment Update 16JUL19	Progress Review Comment 20SEP19	Self-assessment Update as submitted by the Authority since 20SEP19	Progress Review Comment 29NOV21
1. Senior Officer	G	G	G	Update required on any change	This remains unchanged.	No immediate action required. Update required on any future change	This remains unchanged.	Update required on any change.
2. Records Manager	G	G	G	Update required on any change	This remains unchanged.	No immediate action required. Update required on any future 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.	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.	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. 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. **Update provided in response to queries in bold:** 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 access electronic records from home and will facilitate a number of tasks being carried out at home.	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. **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**

							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. 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.	of these if they are moved from one system to another. **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.** 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.
4. Business Classification	**A**	**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 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	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. Work continues in the procurement of a new core operating system.	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 elements are being considered in conjunction with this element.	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. 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 & disposal controls have been introduced. Some examples of the changes are: 1. We no longer hold paper personnel files. 2. All budget and accounting papers are held on SP. 3. Most of our governance documents are held on SP. **Update provided in response to queries in bold:** The new system is not yet operational and the BCS and the IAR are	**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.** Thank you for this update on SharePoint as it is being used within the authority. **It would be good to hear how the use of SharePoint complements the new core operating system within the authority's records management framework.**

				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.			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. 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 the flexible working scheme; SAA Portal and our own website.	**Response to update:** 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. 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.
5. Retention Schedule	G	G	G	Update required on any 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.	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).
6. Destruction Arrangements	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	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	Please see comments above and in addition: 1. Our SP site has retention dates and these are followed with allocation to team members to ensure compliance. 2. The new core system will have retention schedules built in. 3. 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. 4. 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. 5. The naming convention for the shared drive follows that of SP although there remains some legacy issues.	Thank you for this update on destruction arrangements. **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.** **Response to update provided:** The Team is grateful for this detailed update. That the new core system is a line-of-business

				part of the agreement of this element, the Keeper requests that he is kept informed of progress of work in closing the gap.		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 this in the future by using SharePoint which should enable more appropriate creation and retention of information.	**Update provided in response to queries in bold:** 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. 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; 1. AVJB SharePoint User Instructions. 2. AVJB SharePoint Development & Document Management. In particular, the purpose of the second document mentioned above is; *"… 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"* All staff are required to follow these guidance notes and if in any doubt seek advice from Line Managers or I.T. colleagues.	one has clarified several points. 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.
7. Archiving and Transfer	**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. The Keeper can agree this element on an 'improvement model' basis. This means that	No change.	No immediate action required. Update required on any future change.	No change.	Update required on any change.

				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.				
8. Information Security	G	G	G	Update required on any change	No change.	No immediate action required. Update required on any future change.	During 2020 it was a mandatory requirement for all staff to undertake an online course on Cyber Security Essentials. All staff are encouraged to undertake other online training packages including Business Continuity, Information Governance, IT Skills, Business Continuity, GDPR/DPA. Our induction procedures include training and advice on Records Management, GDPR, Information Security. **Update provided in response to queries in bold:** The new CORE system will be cloud based and the supplier holds numerous quality accreditations such as - ISO27001 (Data Security), - ISO22301 (Business Continuity), - ISO 9001 (Processes and Procedures). 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.	Thank you for this update on staff training. 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 **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.** **Response to update:** Thank you for providing us with this additional information. We are content that AVJB has addressed information security considerations.
	G	G	G	All staff are required to have completed compulsory online	Practices continue.	No immediate action required. Update	Practices continue.	Update required on any change.

9. Data Protection				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.		required on any future 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 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.	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.	No change.	Update required on any change.
11. Audit Trail	A	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)	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	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. 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. 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. **Update provided in response to queries in bold:** Within the new CORE system eValu8, users are created, disabled, and modified through the application itself.	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. Thank you for letting us know that AVJB is intending to move to a fully digital records

				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.		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.	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. An audit record is created for every change processed through the system. Admin user will be able to interrogate the audit records.	management system once the new core system is in operation. **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.** **Response to update:** 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. 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.
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. 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.	Staff all trained and continue to be trained on e.g. 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.	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 31st 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. 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. 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.
13. Assessment and Review	G	G	G	The RMP and associated policies and procedures will be regularly monitored through	No change.	No immediate action required. Update	There has, and will be, significant changes to how we control and hold our records. SP and the new core system will be the	The Assessment Team is grateful for the updates relating to assessment and

				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.		required on any future change.	main 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. 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. 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. **Update provided in response to queries in bold:** The new core system is known as eValu8 and is supplied and hosted by Democracy Counts Ltd (www.democracy counts.co.uk).	review. It is reassuring to know that AVJB has considered many changes that will take place as the new core system is implemented. **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.** **Response to update:** 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.
14. Shared Information	G	G	G	Update required on any change	A number of DSA are in place with partners and other organisations. Privacy Notices have been introduced. Staff with responsibility for records management continue to : 1. Review our existing DSA and PNs. 2. Introduce DSAs and PNs with partner organisations where ever possible. 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.	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.

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 27 August 2021. 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

Iida Saarinen
Public Records Support Officer