The Public Records (Scotland) Act 2011

Crown Estate Scotland

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

7th February 2024

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1. Public Records (Scotland) Act 2011

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

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

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

2. Progress Update Review (PUR) Mechanism

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

The success of the Act to date is attributable to a large degree to meaningful communication between the Keeper, the Assessment Team, and named public authorities. Consultation with Key Contacts has highlighted the desirability of a mechanism to facilitate regular, constructive dialogue between stakeholders and the Assessment Team. Many authorities have themselves recognised that such regular communication is necessary to keep their agreed plans up to date following inevitable organisational change. Following meetings between authorities and the Assessment Team 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 Crown Estate Scotland. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

4. Authority Background

Crown Estate Scotland manages land and property owned by the Monarch in right of the Crown. They are required to work with people and organisations to ensure that the assets are managed in a sustainable way that creates prosperity for Scotland and its communities.

The business was set up following the Scotland Act 2016 and pays all revenue profit to the Scottish Consolidated Fund.

Crown Estate Scotland is responsible for managing a range of rural, coastal and marine assets, as well as some commercial property. It leases land and property to 2000 individuals and businesses. It supports aquaculture, farming, forestry, tourism and offshore renewables through leasing, research and other activities. It invests in marine leisure facilities to support coastal communities.

Crown Estate Scotland is a public corporation which manages the assets according to the Scottish Crown Estate Act 2019. It is led by a board and managed by a staff team of approximately 79 (FTE), supported by agents who provide specialist advice and local support.

http://www.crownestatescotland.com/

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 Te el	he Assessment eam agrees this lement of an uthority'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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Element	Status under agreed Plan 27MAR19	Progress review status 06AUG20	Progress review status 07FEB24	Keeper's Report Comments on Authority's Plan 27MAR19	Self- assessment Update 11JUN20	Progress Review Comment 06AUG20	Self-assessment Update as submitted by the Authority since 06AUG20	Progress Review Comment 07FEB24
1. Senior Officer	G	G	G	Update required on any change.	Changed: Esther Black – Director of Corporate Operations	The Keeper's Assessment Team thanks Crown Estate Scotland for this update which has been noted.	Changed: Helen Howden – Head of Governance. Helen Howden directly reports to the Chief Executive and she is the direct line manager to the Information Advisor (Element 2). She would have direct sight on Records Management compliance. She is aware of her responsibilities as the Senior Officer and is knowledgeable in Records Management. She recently completed an Introduction to Records Management Course, and she is the organisation's DPO.	Thank you for letting the Assessment Team know that there has been a change in the person holding corporate responsibility for records management. The specific records management training received by Ms Howden, Head of Governance, is also noted with thanks. It is also good to hear that she is also the organisations Data Protection Officer.

6. Progress Update Review (PUR) Template: Crown Estate Scotland

2. Records Manager	G	G	G	Update required on any change.	Changed to Renée Lefrançois, Information Co- ordinator.	The Keeper's Assessment Team thanks Crown Estate Scotland for this update which has been noted.	No Change - Renée Lefrançois, but the job title has changed to Information advisor.	Thank you for confirming that the person named under Element 2 remains Renée Lefrançois, now Information Advisor. This has been noted.
3. Policy	G	G	G	The Keeper notes that Crown Estate Scotland are currently reviewing their <i>Records</i> <i>Management Policy</i> . He requests that any new version resulting from this review is forwarded to him in order that he may keep the authority's submission up-to- date.	Crown Estate Scotland's Policy is still in draft form. It has been reviewed by the Chief Executive and Executive Team (2 July 2019) but not approved due to the plan to switch our ERDM systems. The policy will need a re-write to reflect the new processes and changes the new system will bring.	Thanks you for this update it make perfect sense that the new Records Management Policy is delayed so that it can properly reflect the eDRM system. For the moment the Assessment Team can accept that the authority is operating on the Policy version submitted with their original plan. However, if this were a formal resubmission it is possible this element would be graded with an amber RAG status on the grounds that the Policy did not fully indicate the operational systems in the authority.	The Records Management Policy was reviewed and approved by the Executive team in December 2021 and is undergoing a review (sign off for Dec 2023).	The Assessment Team thanks Crown Estate Scotland for this welcome update on adherence to the regular Records Management Policy review schedule.

4. Business Classification	G	G	G	Crown Estate Scotland plan to engage with all teams who hold records on the drive to begin a cleansing exercise of all files identified which can be destroyed. Following this they will complete a migration of records from the home drive to the EDRMS system. However it is expected that the drive will remain in use for certain records, in particular financial and accounting related data. Their expectation would be to have most of the migration completed by 2020. The Keeper looks forward to an update on this work over the next year or so.	As the system migration work stream commences, members of all teams are beginning a tidy exercise of identifying which files can be destroyed. We are also Identifying areas of the file plan in our existing ERDM system that are unorganised. We will migrate unorganised areas of the ERDM and data in our other server drives in an 'archive' area of Share Point and apply a limited retention policy, encouraging members of staff to review and migrate necessary documents into the newly organised system. The server drive that	The Assessment Team notes and commends the data cleansing /restructuring taking place during the migration. This work was agreed by the Keeper in March 2019 and seems to be progressing appropriately. The Assessment Team looks forward to updates in subsequent PURs.	The organisation has adopted an Information Asset Register which captures all the information we have, which systems they are stored in, who is the responsible reviewer, and retention schedule. This database will be reviewed in mid to late 2024. Our organisation continues to do a review of access to our files and are in the process of migrating departmental information into their own MS Teams. A process of managing and controlling the creation of teams with a periodic Teams inventory will ensure that we know where our information is and what we need/have. Our corporate wide information is located in a central	The adoption of an Information Asset Register as an overarching organisational structure for business classification is noted with thanks. It is good to hear that this includes retention labelling and specific staff member responsibility as well as location information, and that review of this system is expected in 2024 in light of current and upcoming file migration to MS Teams. The content and structural review of the central corporate SharePoint site
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					is used by Finance will be migrated into SharePoint and the old drive removed. The migration begins in July and concludes in September; and organising the newly established 'archive' area of SharePoint will be ongoing from late 2020 and throughout 2021.		SharePoint site, which is also being reviewed for content and structure.	is also noted with thanks.
5. Retention Schedule	A	G	G	Crown Estate Scotland have identified that this version of the <i>Retention Schedule</i> is no longer appropriately detailed and have not been able to use it to populate the IAR (see element 4). Instead they are reviewing the Retention Schedule and will then use the improved version to support the IAR and firm-up the destruction	A retention schedule has been created by way of an Excel spreadsheet with separate tabs that divide the areas of the business. Any records that cross areas of the business have a Macro link that will take the user to the record retention information. The schedule describes the	In their original submission Crown Estate Scotland indicated that they were pursuing the development of a Retention Schedule that was appropriately detailed and updated to reflect the public records created as they go about the activities related to their functions. The Assessment Team is pleased to note that this objective has been achieved.	A retention schedule has been adopted and is referred to by the business. A review of the database will commence mid to late 2024. Applying retention labels and policies across the Microsoft platform is underway. End users will be able to place a retention label of either 2 years, 5 years or 7 years for	It is positive to hear that a retention schedule continues to be applied, even if a retention labelling and policy review is planned for 2024. This is positive and very appropriate in light of ongoing M365 implementation.

processes in the	record series, a	The achievement of this	a review for
organisation (see	trigger	objective marks a	disposition.
element 6).	event/date,	measurable	Information which
	retention period,	improvement in the	require longer
The current	disposal action	records management	retention periods will
Retention & Disposal	(preserve or	provision in the	•
Policy also notes	destroy),	authority.	be placed in an
that not all public	systems the		Archive library with
records are covered	record is stored	RAG Status: The	more specific labels
(section 4).	in, nominated	Keeper agreed the	applied.
	position in the	original Crown Estate	
Regarding a new	business who	Scotland Records	
version of the	will review	Management Plan on an	
Retention Schedule	before disposal.	improvement model	
Crown Estate	All areas of the	basis partly on the	
Scotland state in	business fed	grounds that the	
their <i>Plan</i> : "Crown	into the	authority did not have	
Estate Scotland's	retention	suitable Retention	
current retention	schedule and it	Schedule rolled-out	
policy is no longer	is made	throughout the business.	
appropriate for	available to all	He was convinced that	
business need and is	staff to use and	processes were in place	
being updated."	refer to. The	to remedy this. The	
(<i>Plan</i> section 6.2(1));	retention	Assessment Team is	
"Data within Crown	periods and	pleased to acknowledge	
Estate Scotland does	trigger events	that the authority now	
currently hold	will be built in	appears to be compliant	
retention periods but	and	in this element.	
as stated above	implemented		
these are not	during the	If this was a formal re-	
appropriateand are	ERDM system	submission it is likely	
being updated"	migration	that this element of the	
(6.2(2)); "The	summer	Plan would turn from	
information asset	/autumn 2020.	Amber to Green.	
register coupled with			
the records retention			
policy will allow			
Crown Estate			
Scotland to begin			

				implementing specific retention dates to data held both on and off site" (6.2(3)); "The records retention policy will be completed and implemented. We are currently working on implementing the full functionality of our EDRMS system and will engage in formal training with our system provider to do this." The Keeper accepts this as a formal commitment by Crown Estate Scotland to pursue this work and agrees these actions as a suitable response to the gap in provision.				
6. Destruction Arrangements	A	A	A	In common with many Scottish public authorities, Crown Estate Scotland is not satisfied that the controlled deletion of those records held electronically is being universally carried out efficiently. With this in mind, they state in the <i>Plan</i> (page 12) "Crown Estate	At the moment, the retention schedule has not been applied. The new system will have retention labels and policies applied to each Site, Library/folder before going live for all users.	As noted above, Crown Estate Scotland now have a Retention Schedule that adequately reflects the public records they create. This now provides a suitable structure for a destruction programme. However, as the migration to the new	It is anticipated the retention labels will be made available for all users to apply to their information within MS Teams for summer 2023. We are also reviewing to apply a retention policy on users OneDrive to ensure	Thank you for this update on ongoing work to assign retention labels and automated destruction protocols to records, whether within MS Teams, OneDrive,

	Scotland is aware that the destruction of records is an area which requires attention. Retention schedules are still to be implemented and when this has been completed we will look at the destruction of records." (see element 5 for the project). This is further emphasised in the <i>Plan</i> (also page 12): "the implementation of a retention policy is a business priority, following this a destruction schedule will be created. Our EDRMS system allows us to set up retention periods to documents which will in turn allow us to create a destruction policy." The Keeper agrees this is appropriate. Crown Estate Scotland have engaged with their EDRMS provider on this issue (evidence supplied).	The new system will have Audit functions, and Disposal audits will be periodically saved in a Records Management site to evidence destruction. We have implemented an automatic destruction of employee's Exchange Outlook accounts 90 days after leaving the organisation.	system is not yet complete the destruction functionality of that system cannot be applied. The Keeper has seen and agreed the destruction system in the new system and although this element remains Amber while the migration is ongoing, the Assessment Team would expect this element to achieve green status when the migration is complete. The Assessment Team looks forward to updates in subsequent PURs. The Assessment Team notes the deletion of unused e-mail accounts and therefore of any of the authority's records 'orphaned' in these accounts. This is good practice. It is, of course, also good practice to avoid the use of Outlook as an e-mail <u>storage</u> system in the first place. Public records should be saved to the eDRM and deleted from Outlook. However, the Assessment Team appreciates that this can	information is not stored longer than required. A larger project to apply Information Governance principals on Outlook is planned for late 2024. Which will include retention policies and labels and limited the size of users Exchange. We are reviewing our contract for offsite paper storage records. A requirement of the new service/contract will include a process of reviewing and destroying paper documents that are not required.	Outlook or Exchange. Thank you also for the update on the contract review regarding the commercial paper records destruction from the offsite store. Although this Element remains Amber while the full migration to the new system is ongoing, the Assessment Team would expect this Element to achieve Green status when the migration is complete.
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				The Keeper agrees that the work described should greatly enhance the authority's ability to control the systematic deletion of electronic records.		be difficult to police and very difficult indeed when an account is closed. The solution proposed by Crown Estate Scotland is an appropriate one.		
7. Archiving and Transfer	G	G	G	The Keeper agrees this element of Crown Estate Scotland's <i>Records</i> <i>Management Plan</i> under 'improvement model' terms. This means that the authority has identified a gap in provision (in this case that there is no formal agreement with the archive) and is working to close that gap. The Keeper's agreement is conditional on an MoU being concluded and a copy being provided.	A Memo of Understanding for the transfer of records between Crown Estate Scotland and National Records of Scotland has been signed 22 August 2019.	In their original submission Crown Estate Scotland indicated that they were pursuing a memorandum of understanding to ensure the transfer of records selected for permanent preservation to NRS. The Assessment Team is pleased to acknowledge this objective has been achieved and if this were a formal resubmission under section 5 of the Act this element is liable to be regraded with a green RAG status.	No change – MoU between Crown Estate Scotland and National Records of Scotland is in place.	Thank you for confirming that an MoU between Crown Estate Scotland and NRS remains in place.
8. Information Security	G	G	G	The Information Security Policy explains the process for reporting potential or actual security breaches in Crown	We have implemented multi-factor authentication across the business; and	In their original submission Crown Estate Scotland committed to keep their policies and guidance	Crown Estate Scotland has reviewed and updated the following IT policies:	It is positive to hear that key IT policies have recently been reviewed and

auth Info Inci guid spe the pers brea flow doc draf Kee he i an a ope	thority also has an formation Security cident Process iidance document ecifically aimed at e reporting of prsonal data eaches – with handy wchart. This ocument is currently aft (version 0.1). The eeper requests that e is provided with a authorised and perational version nen appropriate.	we now have Cyber Essentials plus certification. Our IT Account Policy – which covers: all differing IT accounts and how these accounts will be managed, and how to request access to accounts. This policy has been approved and made available to all staff members on 6 May 2020. Information Security Policy has been reviewed and approved June 2020. Information Security Process – published and made available to all staff through our intranet.	documents under review. The Assessment Team is pleased to acknowledge that this is being done. We also recognise that the authority has Cyber Essentials+ status: Sector: Professional, scientific and technical Certificate number: QGCE3768 Certificate level: Cyber Essentials Plus Date issued: 26/05/20 The Assessment Team notes that Crown Estate Scotland have a new information security policy: <i>IT Account</i> <i>Policy</i> .	 Acceptable Use Policy Devices Policy IT Accounts Policy IT Management Policy Password Policy Supplier Cyber Policy We are 100% aligned to the baseline level and 90% aligned to the target level of the Scottish Government Cyber Resilience Framework v1. It is a stated business objective to be 100% aligned to tier 1 of the Scottish Government Cyber Resilience Framework v2 (once released) by the end of March 2024. An external and internal network penetration test as well as social engineering test is performed annually by a CREST certified organisation. 	updated. The update regarding alignment with Scottish Government's Cyber Resilience Network, and the ambitions regarding this, are also noted with thanks. The running of network penetration tests and social engineering tests are also noted. It is reassuring to hear that specific security classification labelling has been created to limit both the accidental and deliberate sharing of sensitive business records.
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					The policy was reviewed June 2020.		We are unrolling security classification labels that can be applied to MS files. A 'Official-sensitive (internal only)' label is available. When a file has this label the system will prohibit it from being emailed to any external users/systems, as well has prevented from printing or saving on memory sticks.	The Assessment Team has no particular concerns regarding this Element. Update required on any future change.
9. Data Protection	G	G	G	Update required on any change.	No Change.	No immediate action required. Update required on any future change.	No change.	Update required on any future change.
10. Business Continuity and Vital Records	G	G	G	Update required on any change.	No change.	No immediate action required. Update required on any future change.	No change.	Update required on any future change.
11. Audit Trail	G	G	G	Update required on any change.	No Change.	No immediate action required. Update required on any future change.	No change.	Update required on any future change.
12. Competency Framework	G	G	G	Update required on any change.	Renee completed a course to gain the knowledge and skills to use	The Assessment Team notes that the Information Co-ordinator has undertaken a SharePoint course.	Renee recently completed a Practitioner course in Scottish Public Sector	Thank you for this update on the recent completion of a Scottish Public

13. Assessment and Review	G	G	G	Update required on any change.	Crown Estate Scotland has now joined the PUR programme to ensure consistent reviewing of the Records Management Plan.	The Act requires all public authorities to keep their plan under review. There is strong evidence that Crown Estate Scotland properly does this. The authority's participation in the PUR process in 2020 demonstrates a commitment to reviewing its RMP.	Continue to participate in the PUR programme. Renee is also leading on an Information Governance project, with a project board and a project plan. The project is to implement key Records Management processes and principles.	Element 13 of the Act stipulates that Records Management arrangements are regularly and systematically reviewed with actions taken when required. The Assessment Team acknowledges that Crown Estate Scotland continuing participation in the PUR process is positive. Thank you for the update on the IG project.
14. Shared Information	A	G	G	Crown Estate Scotland is developing an Information Sharing Policy. The Keeper requests that this is provided when available.	No change.	No immediate action required. Update required on any future change.	The IT Account Policy outlines the 3 rd party guest accounts used to access M365 data under trusted external logins. We have a process to ask	Thank you for this update which has been noted. The update provided suggests that Crown Estate

						managers to verify all accounts, including guests, on a regular basis if the accounts are still required. We also have a process of disabling inactive accounts. All file access in M365 is audited and the audit logs transferred to our central logging systems. We are unrolling security classification labels that can be applied to MS files. A 'Official-sensitive (internal only)' label is available. When a file has this label the system will prohibit it from being emailed to any external users/systems, as well as prevented from printing or saving on memory sticks.	Scotland continues to consider the impact of information- sharing. The Assessment Team is reassured that Information sharing, both within Crown Estate Scotland and with other bodies or individuals, remains necessary, lawful and controlled. Update required on any future change.
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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 31st May 2023. The progress update was submitted by Renée Lefrançois, Information Advisor.

The progress update submission makes it clear that it is a submission for Crown Estate Scotland.

PRSA Assessment Team's Summary

The Assessment Team has reviewed Crown Estate Scotland'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.

General Comments

Crown Estate Scotland continues to take its records management obligations seriously and is working to bring all elements into full compliance.

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

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

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

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

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

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

Jida Saanen

lida Saarinen Public Records Officer