

The Public Records (Scotland) Act 2011

**Dundee City Council and
Dundee City Licensing Board**

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

8th December 2023

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1. Public Records (Scotland) Act 2011

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

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

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

2. Progress Update Review (PUR) Mechanism

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

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

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

3. Executive Summary

This Report sets out the findings of the Public Records (Scotland) Act 2011 (the Act) Assessment Team's consideration of the Progress Update template submitted for Dundee City Council and Dundee City Licensing Board. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

4. Authority Background

Dundee is Scotland's fourth largest city and is situated on the north coast of the mouth of the Tay Estuary, in a stunning location. Edinburgh lies 60 miles to the south and Aberdeen 67 miles to the north. The most recent estimate of Dundee's population is 148,210 (National Records of Scotland (NRS) 2015 Mid-year population estimate). Dundee has a sizeable student population, and is home to the University of Dundee, Abertay University and Dundee & Angus College.

The Dundee City Council area covers 60 square kilometres and is, geographically, the smallest local authority area in Scotland. It is bordered by Perth and Kinross Council to the west and Angus Council to the north and east. The former Tayside Regional Council area previously covered all three councils, and Dundee continues to serve as the regional centre for this area and North-East Fife, with an estimated catchment population of some 400,000 people.

<https://www.dundee.gov.uk/service-area/chief-executive/chief-executives-services/about-dundee>

Dundee City Licensing Board is constituted under Section 5 of, and Schedule 1 to, the 2005 Act. It consists of 10 members and the quorum is five. It is the successor to the Licensing Board with the same name which was previously constituted under Section 1 of the Licensing (Scotland) Act 1976 ("the 1976 Act").

<https://www.dundee.gov.uk/search/licenisng%20board>

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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6. Progress Update Review (PUR) Template: Dundee City Council and Dundee Licensing Board

Element	Status of elements under agreed Plan 17MAR20	Progress review status 22NOV21	Progress review status 08DEC23	Keeper's Report Comments on Authority's Plan 17MAR20	Self-assessment Update 30JUN21	Progress Review Comment 22NOV21	Self-assessment Update as submitted by the Authority since 22NOV21	Progress Review Comment 08DEC23
1. Senior Officer	G	G	G	Update required on any change.	The Chief Executive of the Council has changed. The contact is now Gregory Colgan, Tel: 01382 434431, Email: gregory.colgan@dundeecity.gov.uk	The Assessment Team thank Dundee City Council and Dundee City Licensing Board for this update. The new contact details for Dundee City Council's Chief Executive have been noted.	No change.	Update required on any change.
2. Records Manager	G	G	G	Update required on any change.	No change.	Update required on any change.	No change.	Update required on any change.
3. Policy	G	G	G	Update required on any change.	No change. The Records Management policy is due for review in 2022.	Thank you for this notification of the policy review date. Update required on any change.	The records management policy was reviewed, updated and approved in 2022. This is accessible	The Assessment Team thanks you for this update on Records Management Policy review and update which has been noted. Thank

							through the Council's website: https://www.dundee.gov.uk/service-area/corporate-services/democratic-and-legal-services/archives/records-management	you also for providing a URL for this new version.
4. Business Classification	A	A	A	<p>It is noted that the Council is in the early stages of implementing the use of Office 365. It is not yet been determined if the current EDRMS software will be replaced with SharePoint. Either way this should not affect the creation and implementation of a business classification scheme. The Council have committed to ensure that any migration project provides the opportunity to ensure that classification is built into the structure of any new system.</p> <p>The Keeper can agree this Element on an 'improvement model' basis. This means that the authority has identified gaps in provision (business classification is being developed</p>	Initially work on updating the classification scheme was due to begin in 2020, however the pandemic meant that this was delayed. However, work has now begun on this project, which will also involve the creation of a Records Retention Schedule. Our original plans have altered slightly due to needs. See our	The Assessment Team acknowledge receipt of a revised version of Evidence A, Review for Business Classification and Retention Schedule. Disruption and delay to planned work due to Covid-19 is understandable and we are pleased to hear work is now underway. The Review notes a change to the plan regarding the order of review of functions and sets out the work to be undertaken (a six stage review of	Work on the creation of a classification scheme and retention schedule has proceeded but not in line with the planned progression in the timetable set out. We had hoped to have completed Phase 2 by this time, however this has not been possible. A	An authority named under the Act should record the information assets the business creates and maintains, and in which function or service area they are held, into a business classification scheme, an information asset register, or a similar classification structure. This allows an authority to map its

				<p>and has not been fully implemented) but have identified how it intends to close this gap. The Keeper has been provided with a commitment to pursue this in the text of a <i>Covering Letter</i> from the Council’s Chief Executive. This agreement is dependent upon the Keeper being kept informed of progress with this work.</p> <p>The Council has committed to doing this through annual updates.</p> <p>Update: The Keeper would expect to see a commitment to the development of a timed, resourced action plan in this area and the Keeper being kept informed of progress with this work.</p>	<p>plan attached in PUR 2021 Evidence A.</p>	<p>each function with functions being addressed over six phases, March 2022-June 2026). Archive and Records Management staff have been identified as those carrying out the majority of the work, along with input from Services Areas. This revised Review provides timed commitments with an estimated completion date of June 2026. The authority commits to reviewing target dates after each phase to assess progress and amend targets as necessary. If this Review document has approved, a document control mechanism demonstrating this and carrying the names and designation of those who have worked on it and signed it off, or perhaps a strategic meeting minute that endorses this work would be welcomed</p>	<p>revised plan of action will be produced later in 2023 for the remaining phases. A new approach of reviewing all remaining functions at once will be considered. This way the Records Manager can engage with all Strategic Information Governance Group (SIGG) reps/departme ntal contacts and also approach senior management for more support and ensure that the review progresses in the anticipated timeline. Completing phase 2 (the</p>	<p>functions, and provides a system for operating a disposal schedule effectively.</p> <p>Thank you for updating the Team on delay to expected progress in this Element. It is disappointing to know that a business classification structure has not yet been implemented, but the Team is reassured that Dundee City Council is taking steps to reprioritise this action.</p> <p>While work remains ongoing this Element remains at Amber. The Assessment Team look forward to future progress updates in subsequent PURs.</p>
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						<p>at the time of the authority's next PUR submission.</p> <p>The Keeper's agreement is based on the Council's commitment to provide an annual update and the requirement to be updated with a specific plan of action. An update on progress against this planned Review will be expected as part on this annual update. While work remains ongoing this element remains Amber.</p>	<p>functions with the highest percentage of high risk records) will remain the priority in 2023.</p>	
5. Retention Schedule	A	A	A	<p>Many public records are not on this system (see element 4). The Plan notes: "The retention schedule is not automatically applied to non-structured records, particularly those held on local shared drives."</p> <p>The Keeper acknowledges that the development of a functioning business classification/retention/tracking system, that covers all public records in an organisation of the size and complexity of a local authority, will be incremental.</p>	<p>Initially work on updating the retention schedule was due to begin in 2020, however the pandemic meant that this was delayed. However, work has now begun on this project, which will begin with the creation of a Business Classification</p>	<p>The Assessment Team acknowledge receipt of a revised version of Evidence A, Review for Business Classification and Retention Schedule. See comments under element 4 above.</p> <p>The Keeper's agreement is based on the Council's commitment to provide an annual</p>	<p>See comment under element 4.</p>	<p>See comments under Element 4. The development of a business classification structure is essential for effective retention scheduling. This is especially critical as the authority is in the process of implementing M365, and shared</p>

				<p>However, he will expect to see progress over the next 5 years.</p> <p>The Keeper can agree this Element on an ‘improvement model’ basis. This means that the authority has identified gaps in provision (some record types are not covered by the generic schedule and the schedule is not automatically applied to shared drives). However, the Keeper acknowledges a commitment to close this gap. This agreement is dependent upon the Keeper being kept informed of progress with this work.</p> <p>The Council has committed to doing this through annual updates.</p> <p>Update: The Keeper would expect to see a commitment to the development of a timed, resourced action plan in this area and the Keeper being kept informed of progress with this work.</p>	<p>Scheme. Our original plans have altered slightly due to needs. See our plan attached in PUR 2021 Evidence A.</p>	<p>update and the requirement to be updated with a specific plan of action. While work remains ongoing this element remains Amber.</p>		<p>drives are still operational while full roll-out continues.</p> <p>This Element remains at Amber while work continues. The Assessment Team look forward to future progress updates in subsequent PURs.</p>
6. Destruction Arrangements	A	A	A	<p>The <i>Plan</i> explains that the Corporate electronic Records and Document Management System has an automated ‘trigger’ linked to retention decisions. However, it goes on to point out that “a large amount of records are not managed through the CeDRMS system and the retention</p>	<p>As the plan to create a Business Classification Scheme and Retention Schedule progresses (as outlined in PUR</p>	<p>The Assessment Team acknowledge receipt of a revised version of Evidence A, Review for Business Classification and Retention Schedule.</p>	<p>Microsoft 365, including Outlook and SharePoint, have now been introduced to the Council</p>	<p>Thank you for this update. It is good to know that the M356 implementation is ongoing, and that this has already resulted in changes</p>

				<p>function on the system is not always used.”</p> <p>With regard to the issue of destroying records held on shared drives, the Council anticipates that the creation of detailed retention schedules will inform destruction decisions and encourage users to review and destroy records – both physical and electronically held on shared drives. The process of gathering information about the records held by the Council to inform the creation of the BCS and RS will also highlight the records which are not being destroyed regularly. The Records Management Group also intends to promote regular reviews of records with the intention of encouraging appropriate destruction to be built into the normal working routine.</p> <p>The Keeper agrees this element of Dundee City Council’s <i>Plan</i> on improvement model terms. This means that the authority has recognised a gap in its records management provision (the controlled systematic destruction of <u>all</u> digital records in line with the Retention Schedules) and has put a project in place to close that gap. Keeper’s agreement on this aspect of ‘destruction’ is</p>	<p>2021 Evidence A) retention schedules will be applied to records already stored in our CeDRMS and others will be moved over so that automatic retention can be used. At present the project is not a stage to show significant progress in this element at the moment.</p>	<p>See comments under element 4 above.</p> <p>It is noted that significant progress has not yet been made to address the identified gap in provision around the timely and appropriate (secure, safe and auditable) destruction of all digital records. The Assessment Team remind the authority of the importance of having robust processes in place with regard to information governance legislation compliance.</p> <p>The authority have confirmed the Information Governance Group (which replaced the Records Management Group – see element 9) has not carried out any recent destruction promotions, mainly due to the ongoing pandemic. The Records Manager</p>	<p>and are in the process of being fully integrated to the Council’s records management. As part of this the Council now has a standard 3 year retention on all emails in Outlook (unless stored in longer term folder or saved externally). As it will be 3 years in August since Outlook was introduced to the Council a campaign is being planned to highlight the need to better manage emails. As SharePoint is being rolled out, the application of retention</p>	<p>in automated email destruction arrangements. It is also reassuring to hear that a campaign on better email management targeting all staff is in the works.</p> <p>While SharePoint will likely enhance the automated digital records destruction capabilities, it is important, as Dundee City Council and Licensing Board suggest, to align this with the business classification and retention scheduling processes.</p> <p>The PRSA Team has developed guidance on what authorities may wish to consider with regard to PRSA when</p>
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				<p>conditional on his being updated on progress.</p> <p>Update: The Keeper's agreement on this aspect of 'destruction' is conditional on his being updated on progress against this project plan.</p>		<p>has decided to delay these until more work had been done on the Review (see element 4), to avoid the untimely destruction of records. A council-wide campaign is planned for early 2022, once staff have returned to the office. It is anticipated that once Classification Schemes and Retention Schedules have been set out reviews will take place more frequently.</p> <p>The Keeper's agreement is conditional on being updated on progress. As work towards the controlled systematic destruction of <u>all</u> digital records in line with the retention schedules remains ongoing this element will remain Amber.</p>	<p>periods should be easier. Alongside and extending from the email campaign the Records Manager intends to work with the Council's IT Service to produce procedures and guidance on setting retention periods within SharePoint. This will build as the review of the classification scheme and retention schedule progresses as described in Element 4.</p>	<p>implementing M365, and this may be useful to consult: https://www.nrscotland.gov.uk/files/record-keeping/public-records-act/prsa-m365-guidance.pdf.</p> <p>This Element remains at Amber while work continues. The Assessment Team look forward to future progress updates in subsequent PURs.</p>
7. Archiving and Transfer	A	A	A	The Keeper acknowledges that as part of the <i>Forward Plan</i> the Council commits to "Investigate and introduce a digital archive". The	A report on the progress to address the issues with	The Assessment Team acknowledge receipt of Evidence C, Report in	The City Archivist is currently	The Assessment Team notes that Dundee City

				<p>Keeper accepts this, and will be interested in learning of developments in this area.</p> <p>The Keeper has expressed concerns regarding Dundee City Council’s archive store. Representatives of the Keeper have met with and been corresponding with Council officials to try and find an appropriate solution. Both the Keeper and the Council recognise that work has to be done in this area and that this will take some time. However, the Keeper requires to be updated on the following issues outlined in the communication to the Chief Executive of the Council in a letter from the Keeper dated 13 December 2019</p> <ul style="list-style-type: none"> • Development and implementation of effective compartmentation plans for the archive stores in the Caird Hall Estate • Installation of fire and smoke dampers in all ducting in the Caird Hall Estate • Direct link from fire and smoke alarms to the Fire and Rescue Service • Ensuring all holes and voids which could facilitate the spread of smoke and fire are eliminated across the estate 	<p>Dundee City Council’s archive store is attached as PUR 2021 Evidence C.</p> <p>The Digital Archives, which is managed by Dundee City Archives, has been transferred from a standard storage location on the council’s shared drives to a separate storage location. This should aid with preservation and back up of data.</p>	<p>response to key points relating to the Archives Store.</p> <p>This Report provides an update on the current situation around Dundee City Council’s archive store. The contents of the Report will be addressed under the Charge and Superintendence arrangements in place between Dundee City Council and National Records of Scotland. The authority will be contacted separately about this Report.</p> <p>Thank you for the update on the Archive Service’s work on creating a digital archive. It is noted that digital records selected for permanent preservation have now been moved from council shared drives to separate storage. As digital preservation remains in its infancy within many public</p>	<p>investigating cataloguing software for use in managing archive collections. As part of this process they will also consider digital archive options and how the two will or could interact in the future.</p> <p>Work is ongoing to re-box and reorganise the storage areas to ensure greater protection for archival records. For example, removing as many items from top shelves as space will allow.</p>	<p>Archives is in the process of investigating cataloguing software for archive collections management as well as digital archiving options. It is also good to hear that storage area maintenance tasks are continuing to take place.</p> <p>It is reassuring to hear that the City Archivist is working to address the challenges relating to its archive premises, including the increased fire risk.</p> <p>It is good to hear that Dundee City Council Archives would now be ready welcome the loan of temperature and relative humidity loggers. The Assessment</p>
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				<ul style="list-style-type: none"> • Extension of fire and smoke detection systems in Caird Hall to include archives • Procedures for actively monitoring the archives and the spaces below it, to ensure that mitigations are sustained over time and regularly reviewed, through the formation of a Building User Group. • Clarification of the monitoring arrangements and fire safety compliance of your commercial tenants situated in the building • Remedial work to address variable performance of the fire retardant properties of flooring tiles within the archive. • The Keeper requires that temporary temperature and relative humidity • Loggers should be placed in the archives stores at Dundee City Archives. <p>In January 2020 the Council made the following statement: “Work has already begun to address some of these issues. The Council have communicated to the Keeper their desire to arrange a further meeting with his representatives in order to agree on an action plan and timescale for resolving those issues still outstanding.”</p>		<p>authorities we would be very interested to hear more about the processes which have been put in place and any plans the Archive Service may have to develop this further.</p> <p>If you have not already done so, the training currently available through the Digital Preservation Coalition (DPC) offers best practice guidance, Novice to Know-How - Digital Preservation Coalition (dpconline.org).</p> <p>The Keeper’s agreement of this element is conditional on being updated as work progresses.</p> <p>This element remains Amber while work around the archive store is ongoing.</p>	<p>The City Archivist has arranged to meet with the Council’s Property Officer in June 2023 to review and assess the progress towards rectifying issues identified in previous fire risk assessments (including fire stopping and dampening measures). We are now in a position to accept delivery of temperature and relative humidity loggers to monitor the archive stores and would be grateful if the NRS could confirm who would be the</p>	<p>Team has passed this onto the relevant team for discussion, and they will be in touch to confirm whether this is a service NRS is still able to offer.</p> <p>This element remains Amber while work around the archive store is ongoing. The Keeper’s agreement of this element is conditional on being updated as work progresses.</p>
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				<p>The Keeper can agree this element of Dundee City Council's <i>Records Management Plan</i> on 'improvement model' terms. This means that the authority has recognised a gap in their records management provision and have put processes in place to close that gap. The Keeper's agreement is conditional on his being updated as this work proceeds.</p> <p>Update - The Keeper wishes to be kept informed on the introduction of a digital archive (see above).</p> <p>Update - The Keeper wishes to receive a formal report on progress to address the issues with Dundee City Council's archive store by the end of June 2021.</p>			appropriate person to contact to arrange this.	
8. Information Security	G	G	G	Update required on any change.	No changes.	Update required on any change.	The Council has created a Data Security Handling and Classification Policy, with a view to guiding and informing how records are managed in an	Thank you for this update on Data Security Handling and Classification Policy, a copy of which has been provided. The Assessment Team note that the Policy document, dated 15/03/2019, does

							appropriate manner, particularly when considering security. These classifications will be built into any classification and retention schemes produced. Please see evidence A. Training and guidance on implementing this policy is being developed.	not contain a future review frequency or date. Regardless, it is good to hear that this policy will help inform the larger projects at hand with regard to the creation of a Business Classification Scheme and polishing retention and destruction arrangements. Thank you also for confirming that guidance is being developed to assist in the consistent implementation of this policy.
9. Data Protection	G	G	G	Update required on any change.	The Council has reviewed and updated its Data Protection Policy, the latest version produced in 2019. This is available on the Council's website: https://www.dun	Thank you for this update and for providing a link to the updated Data Protection Policy published on the Council's website (version 1.2, dated 2 October 2019). The development of a new mandatory training module	In the autumn of 2023 the council will complete a full review of data mapping /ROPAs (Register of Processing Activities) to ensure that	The Assessment Team is grateful for this update on upcoming full review of data mapping and ROPAs. Update required on any future change.

					<p>deecity.gov.uk/service-area/corporate-services/democratic-and-legal-services/data-protection. A new data protection module has been developed and it is compulsory for all staff to undertake this training every 2 years. The Data Protection Group no longer exists and was merged with the Records Management Group to form the Information Compliance Group. It is still made up of representatives from all service areas of the Council. It is chaired by the Information Governance Manager and also includes the Records</p>	<p>(screen shot of GDPR training module provided as Evidence B) and changes to the information governance working groups is noted.</p>	<p>these documents are up to date and in line with Data Protection legislation. No further changes to update on.</p>	
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					<p>Manager and a representative from IT with responsibility for Information Security. The group meets quarterly. There is also an Information Governance Group which includes more senior representatives and discusses issues from a managerial perspective. This group is chaired by the Head of Democratic & Legal Services.</p>			
<p>10. Business Continuity and Vital Records</p>	G	G	A	<p>The Keeper notes that the Council is developing a disaster plan for the central records store (<i>Plan</i> page 16). He requests that this is provided when available in order that he may keep the Council's submission up-to-date.</p>	<p>The disaster plan for the records store is not yet completed.</p>	<p>The authority have confirmed they aim to create the disaster plan for the external store by the end of December 2022.</p> <p>We look forward to updates in future PUR submissions.</p>	<p>A disaster plan for the external store has been drafted. However, this is still awaiting further input from teams and other external organisations that use the</p>	<p>Thank you for confirming that disaster planning with regard to the external store has now been drafted, and is awaiting external input. The pandemic has shown us that planning for an unexpected event</p>

							<p>site. Until this information is included, the final plan cannot be signed off. We hope to have this agreed in 2023.</p> <p>and effectively safeguarding access to vital records is absolutely essential. The Assessment Team would be keen to get sight of this when completed, as indicated in the Keeper's Agreement in 2020.</p> <p>The three years' delay in the provision of this Plan does warrant an indicative Amber status in the PURs until a formalised Plan has been provided. This Element can be turned back to Green when the Keeper's condition (the provision of central records store disaster plan) has been met.</p>	
11. Audit Trail	A	A	A	The Council holds many public records digitally on shared	No changes. No further guidance	The Assessment Team acknowledge	Guidance on Naming	The Assessment Team thanks

				<p>drives outwith the CeDRMS and line-of-business systems. These must be correctly named and saved manually by staff and to ensure this is done correctly, guidance must be issued. The Council have committed to producing version control and naming convention guidance.</p> <p>The Keeper acknowledges that this <i>Forward Plan</i> includes a commitment to “Create a series of guidance for all staff on a range of records management issues. (Where appropriate these may become policy, or feed into the RM policy) This will include: Naming conventions Version control”. He agrees this action. The Keeper requires that these are provided when available.</p> <p>The Keeper can agree this element on an ‘improvement model’ basis. This means that the Council has identified gaps in provision (lack of audit trail provision in shared drives and of operational naming convention/version control guidance) and has identified solutions to close these gaps. This agreement is conditional upon the Keeper being kept informed of progress.</p>	<p>has been produced.</p>	<p>that staff guidance has not yet been produced.</p> <p>The authority have confirmed they aim to create guidance on Naming Conventions by the end of December 2021. We look forward to updates in future PUR submissions.</p> <p>This element remains Amber as work has not progressed to address lack of audit trail provision in shared drives and the development of operational naming convention/version control guidance.</p>	<p>Conventions and version control has been produced and made available for staff. See evidence B1 and B2.</p> <p>As the Council’s intention is to have all records stored on SharePoint (unless managed through another document management system) this will mean that audit trails will be easier to track. The Council will keep the Keeper updated as this progresses along with new procedures</p>	<p>Dundee City Council and Licensing Board for this update on the rollout of new Naming Convention Guidance and Version Control Guidance, fulfilling their commitment to produce these two documents when the Plan was agreed. The Team acknowledges the receipt of both of these documents with thanks, and commends the authority for fulfilling this requirement.</p> <p>The Assessment Team acknowledges that current audit trail arrangements with regard to shared drives are still under development as the Council works to fully implement</p>
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							and guidance produced for staff.	SharePoint. This Element remains at Amber while work continues, and the Team welcomes updates on the progress of this in subsequent PURs.
12. Competency Framework	G	G	G	Update required on any change.	No changes.	Update required on any change.	No changes.	Update required on any change.
13. Assessment and Review	G	G	G	Update required on any change.	No changes.	Update required on any change.	No changes.	Update required on any change.
14. Shared Information	G	G	G	Update required on any change.	No changes.	Update required on any change.	No changes.	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 30th May 2023. The progress update was submitted by Sarah Aitken, Records Manager/Assistant Archivist.

The progress update submission makes it clear that it is a submission for **Dundee City Council and Dundee City Licensing Board**.

The Assessment Team has reviewed Dundee City Council and Dundee City Licensing 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

Dundee City Council and Dundee City Licensing 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 Dundee City Council and Dundee City Licensing Board continue to take their statutory obligations seriously and are working hard to bring all the elements of their records management arrangements into full compliance with the Act and fulfil the Keeper's expectations.

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

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

A handwritten signature in blue ink that reads "Iida Saarinen". The signature is written in a cursive style and is positioned above the printed name and title.

Iida Saarinen
Public Records Officer