

The Public Records (Scotland) Act 2011

Fife Integration Joint Board

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

06 April 2023

Contents

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

1. Public Records (Scotland) Act 2011

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

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

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

2. Progress Update Review (PUR) Mechanism

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

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

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

3. Executive Summary

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

4. Authority Background

Fife Integration Joint Board (the Board) is responsible for the planning, oversight and delivery of health and social care integrated functions for Fife.

The Board's Integration Scheme sets out the functions which are delegated by Fife Health Board (NHS Fife) and Fife Council to the IJB.

The Board operates as a body corporate (a separate legal entity), acting independently of NHS Fife and Fife Council. The Board consists of sixteen voting members appointed in equal number by NHS Fife and Fife Council, with a number of representative members who are drawn from the third sector, independent sector, staff, carers and service users. The Board is advised by a number of professionals including the Chief Officer, Chief Finance Officer, Associate Nurse Director, Medical Practitioner Representatives, and Chief Social Work Officer.

The key functions of the Board are:

- Overseeing the development and preparation of the Strategic Plan for services delegated to the Board.
- Allocating resources in accordance with the Strategic Plan
- Ensuring that the national and local Health and Wellbeing Outcomes are met.

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): Fife Integration Joint Board

Element	Status of elements under agreed Plan 19SEP19	Progress review status 28FEB22	Progress review status 06APR23	Keeper's Report Comments on Authority's Plan 19SEP19	Self-assessment Update 21DEC21	Progress Review Comment 28FEB22	Self-assessment Update as submitted by the Authority since 28FEB22	Progress Review Comment 06APR23
1. Senior Officer	G	G	G	Update required on any change.	No change: Ms Nicky Connor, Chief Officer of Fife Integration Joint Board is the Senior Officer and has senior management responsibility for all aspects of records management within the Board.	The Assessment Team thanks you for keeping us up to date on the authority's senior officer. Update required on any future change.	No change: Ms Nicky Connor, Chief Officer of Fife Integration Joint Board is the Senior Officer and has senior management responsibility for all aspects of records management within the Board.	Thank you for letting the Assessment Team know that there have been no changes to this Element.
2. Records Manager	G	G	G	Update required on any change.	No change: Ms Lesley Gauld, Information Compliance Manager for Fife Health and Social Care Partnership continues to have day-to-day operational responsibility for records management within the Board.	Thank you for letting us know that Ms Gauld remains the authority's Records Manager. Update required on any change.	Change to Records Manager now Avril Sweeney, Manager Risk Compliance. Avril reports to Audrey Valente, Chief Finance Officer, Fife Integration Joint Board. Avril is now supported	Thank you for this update which has been noted. Update required on any future change to Records Manager.

					Change to reporting structure: Ms Gauld now reports to Ms Audrey Valente, Chief Finance Officer, Fife Integration Joint Board.		by two HSC Compliance Officers, Cathy Henderson and Denise Paterson.	
3. Policy	G	G	G	Update required on any change.	<p>No change: the Records Management Policy is available on the HSCP website: https://www.fifehealthandsocialcare.org/data/assets/pdf_file/0/032/188276/IJB.001-Fife-IJB-Records-Management-Policy-2.0.pdf</p> <p>The Policy will be reviewed in Spring 2022.</p>	<p>The Team thanks you for this update and acknowledges the receipt of Fife IJB Records Management Policy.</p> <p>It is positive that the annual review, while slightly delayed, is taking place imminently.</p>	<p>The IJB Records Management Policy was reviewed and approved in November 2022. The updated document is available on the HSCP Website https://www.fifehealthandsocialcare.org/data/assets/pdf_file/0025/428821/Fife-IJB-Records-Management-Policy-V3.0.pdf</p>	<p>Thank you for confirming that the Fife IJB Records Management Policy is being kept up to date. Thank you also for providing a link to the document.</p> <p>Update required on any future change.</p>
4. Business Classification	A	A	A	The Further Development section of this Element states that the structure of the BCS will be imposed onto an area of Fife Council's SharePoint system. All Board records will over time be migrated to this	The Fife IJB SharePoint site has been created and was made available to relevant colleagues on 30 th November 2020.	It is encouraging to hear that the planned SharePoint site is now available to use within the IJB, and that this is	Migration of IJB content from Fife Council network drives is now complete.	Thank you for this positive update; it is great to hear that migration of IJB files from Council network

				<p>system, which will include a document storage site and a bespoke tool for creating and managing records of committee meetings. A screenshot of the SharePoint test site has been submitted (evidence 4.2) showing how the proposed new system will look. This work is dependent upon the allocation of Fife Council resources and has a provisional timescale for completion of December 2019. The Keeper understands that timescales can slip due to other priorities but requests that he is kept informed of the progress of this piece of work.</p> <p>The Keeper can agree this Element on an 'Improvement Model' basis. This means that the Board has identified an improvement to its recordkeeping arrangements (the consolidation of Board records into a single area of Fife Council's SharePoint system) and has outlined the proposed timescales for completion. This agreement is dependent upon the Keeper being kept informed on the progress of this work.</p>	<p>The site mirrors the IJB Business Classification Scheme.</p> <p>Migration of IJB content from Fife Council network drives has started, this work is expected to be completed by February 2022.</p> <p>Migration of content from NHS Fife network drives will follow, this work is expected to be completed by December 2022.</p>	<p>reflected in the IJB's Business Classification Scheme. The migration of content from network drives is a major but necessary undertaking, and it is good to hear that this process is expected to be completed by the end of 2022.</p> <p>As the migration of IJB records to Fife Council's SharePoint is ongoing, this element will remain at Amber. We look forward to updates on how this progresses in consecutive PURs.</p>	<p>Migration of content from NHS Fife network drives has been delayed due to operational priorities resulting from the ongoing coronavirus pandemic. Completion now expected by December 2023.</p>	<p>drives has been completed. While a similar project concerning NHS Fife files remains ongoing, it is clear that Fife IJB is continuing to make progress.</p> <p>This Element will remain at Amber while the work is ongoing. We look forward to being updated on progress in subsequent PURs.</p>
	A	A	A	The Board will migrate all of its records, currently	The IJB Retention Schedule was	The Assessment Team welcomes	Due to redeployment of	Thank you fo providing this

5. Retention Schedule				<p>managed by both Fife Council and NHS Fife, on to Fife Council's SharePoint system. This should allow these records to be managed easier in the single location and should allow the easier appliance of retention actions at the appropriate time.</p> <p>The Keeper can agree this Element on an 'Improvement Model' basis. This means that the authority has identified a long term solution for effectively managing the retention of its records (migration to Fife Council's SharePoint system) and will be working towards implementation in the near future. The Keeper requests that he is kept informed of the progress of this work.</p>	<p>reviewed and updated prior to the creation of the IJB SharePoint site (see additional comments in Element 4 above).</p> <p>A further review of the Retention Schedule will be completed once all of the records held in the NHS Fife network drives have been migrated, this work is expected to be completed by December 2022.</p>	<p>this update on records retention schedule review.</p> <p>As the IJB is currently undertaking the lengthy process of migrating its records to SharePoint, this element will remain at Amber. The Assessment Team look forward to hearing how this progresses, and the project's implication on records retention procedures, in consecutive PURs.</p>	<p>staff this work has been delayed. Following the successful recruitment in December 2022 of Cathy Henderson, HSC Compliance Officer to support records management activities, this work will now be completed during 2023.</p>	<p>update on retention schedule arrangements. It is good to hear that the completion of the migration project is due to be completed by the end of this year.</p> <p>This Element will remain at Amber, but the Team looks forward to being updated on the project in the next PUR.</p>
6. Destruction Arrangements	G	G	G	Update required on any change.	No change.	Update required on any change.	No change.	Update required on any future change.
7. Archiving and Transfer	A	A	A	<p>As the Board is a separate legal body from the Council, the Keeper would encourage the Board to set up a formal archiving agreement with the Council's Archive Service as soon as is practical, even if there is no immediate intention to deposit.</p>	<p>No change: work to set up a formal archiving agreement with the Council's Archive Service has been delayed.</p> <p>A new target date for this action has been set for June 2022.</p>	<p>Thank you for this update. As work to set up a formal archiving agreement with the Council's Archive Service has been delayed repeatedly, the Assessment</p>	<p>Deposit Agreement has been drafted and sent to Fife Cultural Trust. Due to changes in staffing there has been a delay in finalising this.</p>	<p>Thank you for providing the Assessment Team with this update. It is disappointing to hear of further delay to finalising the</p>

				<p>As the Board's selected archive, Fife Council's Archive Service, is currently unable to accept the transfer of digital records the Keeper can agree this Element on an 'Improvement Model' basis. The Keeper is assured by the commitment of Fife Council to develop a solution to digital archiving. In the meantime, as part of this agreement, the Keeper recommends that the Board enters into a formal agreement to transfer its records to the Council's archive service so that the framework is in place to transfer records when digital archiving becomes available.</p>		<p>Team would like to encourage Fife IJB to formalise an agreement as a priority. We look forward to hearing about the completion of this action in the next PUR.</p> <p>As no formal archive deposit agreement is in place and the situation surrounding the transfer of digital records remains unchanged, this element will stay at Amber.</p>	<p>Completion expected in first quarter of 2023.</p>	<p>Deposit Agreement, but it is clear Fife IJB have made an effort to keep the momentum going. Until a formal archive deposit agreement is in place, this element will stay at Amber. The Assessment Team looks forward to being updated on this Element in the next PUR.</p>
8. Information Security	G	G	G	Update required on any change.	No change.	Update required on any change.	No change.	Update required on any future change.
9. Data Protection	G	G	G	Update required on any change.	<p>No change: the Data Protection Policy is available on the HSCP website: https://www.fifehealthandsocialcare.org/data/assets/pdf_file/0/026/188225/Fife_IJB_Data_Protection_Policy.pdf.</p>	<p>The Assessment Team thanks you for this update on data protection. We note that the Data Protection Policy was due review in 2019, but it is reassuring to hear the review will take place imminently.</p>	<p>The IJB Data Protection Policy was reviewed and updated November 2022. The updated document is available on the HSCP Website. https://www.fifehealthandsocialcare.org</p>	<p>The Assessment Team thanks you for providing us with a link to the IJB Data Protection Policy, recently reviewed and updated. The</p>

					<p>The Policy will be reviewed in Spring 2022.</p> <p>The IJB Privacy Notice has been reviewed and updated. This is a link to the webpage: https://www.fifehealthandsocialcare.org/about-us/privacy-notice.</p>	<p>Thank you also for sharing the IJB website Privacy Notice with the Assessment Team.</p>	<p>.org/_data/assets/pdf_file/0024/428820/Fife-IJB-Data-Protection-Policy-V3.0.pdf</p> <p>The IJB Privacy Notice was reviewed in September 2022 and is available on the HSCP Website. Website was updated in December to show Avril Sweeney as Data Protection Officer.</p> <p>https://www.fifehealthandsocialcare.org/about-us/privacy-notice</p>	<p>reviewed Privacy Policy is also noted with thanks.</p> <p>Update required on any future change.</p>
10. Business Continuity and Vital Records	G	G	G	Update required on any change.	No change.	Update required on any change.	No change.	Update required on any future change.
11. Audit Trail	A	A	A	The RMP acknowledges that Board records are currently managed using NHS Fife and Fife Council systems (shared drives) which provide limited audit trail functionality. This is confirmed by the fact that the	The Fife IJB SharePoint site has been created and was made available to relevant colleagues on 30 th November 2020.	The Keeper will expect an authority's RMP to provide evidence that the authority maintains a	Migration of IJB content from Fife Council network drives is now complete. Audit trail will be	Thank you for this update. As mentioned under Element 4, it is great to hear that progress is

				<p>RMPs of Fife Council and NHS Fife have been agreed by the Keeper under 'improvement model' terms for element 11. This means that both authorities have identified gaps in provision in this element and are working to close that gap.</p> <p>The Keeper can agree this Element on an 'Improvement Model' basis. This is due to the authority having identified a gap in provision (the lack of audit trail functionality of records currently held on shared drives provided by partner bodies, their arrangements under this Element having also been agreed on an 'Improvement Model' basis by the Keeper) but has evidenced how it intends to close this gap. This agreement is dependent upon the Keeper being regularly informed on the progress of work to close the gap.</p>	<p>Migration of IJB content from Fife Council network drives has started, this work is expected to be completed by February 2022.</p> <p>Migration of content from NHS Fife network drives will follow, this work is expected to be completed by December 2022.</p>	<p>complete and accurate representation of all changes that occur in relation to a particular record. As noted under Element 4, it is reassuring to hear that the migration of content from network drives is ongoing, and that an audit trail functionality is one of the goals of this project.</p> <p>This element will remain at Amber as the SharePoint implementation is ongoing. We look forward to updates on how this progresses in consecutive PURs.</p>	<p>available from SharePoint.</p> <p>Migration of content from NHS Fife network drives has been delayed due to operational priorities resulting from the ongoing coronavirus pandemic. Completion now expected by December 2023.</p>	<p>being made, and it is clear that Fife IJB is working hard towards closing the identified gap in provision (the lack of audit trail functionality of records currently held on shared drives provided by partner bodies).</p> <p>The Assessment Team looks forward to the next PUR update.</p>
12. Competency Framework	G	G	G	<p>The Further Development section of this element states that both partner bodies are currently developing the information governance competency framework for their staff. A statement from the Council's records manager (evidence 12.1) confirms the</p>	<p>No change.</p>	<p>Update required on any change.</p>	<p>Records Management Training will be undertaken by Avril Sweeney, Manager Risk Compliance, Cathy</p>	<p>The Assessment Team is grateful for this update on upcoming records management training of</p>

				<p>current development of a training framework, tied in with data protection and information security, and will be tailored to the requirements of staff. The Keeper would be interested to know if this results in any significant changes to current provision.</p>			<p>Henderson, HSC Compliance Officer and Denise Paterson, HSC Compliance Officer during the first quarter of 2023.</p> <p>Following this, further discussions will take place with the Records Managers of NHS Fife and Fife Council to identify current training provision in the partner agencies and address any gaps.</p>	<p>several key staff members, including the named records manager. It is also good to hear that future training needs are being explored.</p>
13. Assessment and Review	G	G	G	<p>Update required on any change.</p>	<p>Unfortunately, some of the activities in the Action Plan continue to be delayed due to the re-allocation of business-critical resources during the Covid-19 pandemic.</p> <p>It is still expected that all of actions will be completed prior to submission of the</p>	<p>Thank you for this update. It is understandable that the current pandemic has had significant impact on the IJB's operations.</p> <p>Regardless of the delayed plans, Fife IJB's continuing participation in the</p>	<p>Unfortunately, some of the activities in the IJB Records Management Action Plan continue to be delayed due to the re-allocation of business-critical resources during the</p>	<p>Thank you for this update. It is understandable that the pandemic has had an impact on resourcing, and we note that IJB Records Management Action Plan</p>

					next IJB RM Plan due in 2024.	PUR process is commendable. The Team look forward to the progress of IJB's Action Plan in consecutive PURs.	coronavirus pandemic. It is still expected that all of actions will be completed prior to submission of the next IJB RM Plan due in 2024.	realisation has been delayed. Fife IJB's commendable participation in the PUR process is also a very good indication that the authority continues to ensure its RMP remains up to date.
14. Shared Information	G	G	G	Update required on any change.	Fife IJB is a named partner in the Public Health Scotland SOURCE (Health and Social Care Data and Homelessness Services Data) Information Sharing Agreement for the Fife partners. The IJB has reviewed the latest version of the ISA, this is currently being progressed by the other Fife partners.	The Assessment Team thanks you for this update on Information Sharing. The Team commends participation in Public Health Scotland SOURCE. The recent review of IJB ISA with its partners is also noted with thanks.	No change.	Update required on any future 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 22nd December 2022. The progress update was submitted by Cathy Henderson, HSC Compliance Officer.

The progress update submission makes it clear that it is a submission for **Fife Integration Joint Board**.

The Assessment Team has reviewed Fife Integration 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

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

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

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

A handwritten signature in blue ink that reads "Iida Saarinen". The signature is written in a cursive, flowing style.

Iida Saarinen
Public Records Officer