

**The Public Records (Scotland) Act 2011**

**Water Industry Commission for Scotland**

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

**25<sup>th</sup> September 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 the Water Industry Commission for Scotland. The outcome of the assessment and relevant feedback can be found under sections 6 – 8.

#### 4. Authority Background

The Water Industry Commission for Scotland (WICS) is the economic regulator of Scottish Water, a publicly owned business that serves millions of people and businesses across Scotland. They work for customers, communities and the environment. The Scottish water and sewerage sector is a £1.2bn industry that improves infrastructure, creates jobs and supports livelihoods across Scotland. WICS works to ensure that Scotland's water is sustainable both today and for generations to come by ensuring that Scottish Water has the funding it needs to:

- continue to deliver a flourishing and improving aquatic environment, and drinking water to be proud of;
- ensure that its assets – such as pipes and sewers – are better able to withstand future unexpected events;
- make the transition it needs to achieve the ambitious target of net zero emissions by 2040.

The work that WICS do is wide-ranging – from benchmarking Scottish Water's costs and challenging Scottish Water to improve its performance, to ensuring that customers' views are at the heart of its decision making.

#### 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:

<b>G</b>	The Assessment Team agrees this element of an authority's plan.	<b>A</b>	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.	<b>R</b>	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: Water Industry Commission for Scotland

Element	Status under agreed Plan 13DEC16	Progress review status 25APR22	Progress review status 25SEP23	Keeper's Report Comments on Authority's Plan 13DEC16	Self-assessment Update 08FEB22	Progress Review Comment 25APR22	Self-assessment Update as submitted by the Authority since 25APR22	Progress Review Comment 25SEP23
1. Senior Officer	G	G	G	Update required on any change.	Following a restructure, and since our last PUR, senior management responsibility has changed. This is now the responsibility of Donna Very, Assistant Director.	The Keeper's Assessment Team thank you for this update which has been noted.	No changes to record.	Update required on any change.
2. Records Manager	G	G	G	Update required on any change.	<p>Following a restructure, and since our last PUR, there has been a slight change to the team responsible for the day-to-day management of WICS records. The records manager is still the main contact with operational responsibility, but this is one area of business which has moved into the new 'Central Office' team.</p> <p>The Central Office Team is responsible for a wide range of operational activity, including work planning, risk management, project management, records management, data protection, recruitment and is heavily involved in business continuity.</p>	<p>Thank you for letting us know of the organisational restructure. The move of records management as a business area sounds like a significant change, but it is positive to hear that the named Records Manager continues to hold operational responsibility.</p> <p>As long as an authority's Records Management Plan names an appropriate individual responsible for day-to-day operation of records management activities, Element 2 remains at Green.</p>	No changes to record.	Update required on any change.
3. Policy	G	G	G	<p>The Commission intends to develop a programme of induction and on-going refresher training. The Keeper commends this approach to training staff in their records management responsibilities and requests that he is sent a sample of this training once it has been developed and rolled-out.</p>	<p>We are continuing to provide our staff with support and guidance by way of our information management policy. This continues to be available on our PeopleHR system.</p> <p>The policy has recently undergone a thorough review and update exercise, which has been carried out by the records manager and DPO. We are aiming to conclude this piece of work within the next month.</p> <p>Unfortunately, we have had slow progress with the development of the staff guidance document which is largely down to our focus for 2020 and 2021 being on responding to the covid-19 pandemic and like many other organisations, getting our staff fully set up to work remotely. We are planning to increase our focus in this area through 2022.</p> <p>Please see element 12 for an update on training.</p>	<p>The Assessment Team acknowledges the continued internal availability of information management policy and support, and the more recent update and review exercise, with thanks.</p> <p>It is understandable that development of staff guidance document has been delayed due to the pandemic which necessitated the prioritisation of remote working set up. It is good to hear that this remains on WICS' radar for 2022.</p> <p>Update required on any change.</p>	<p>The Team has concluded the policy review with revised documentation available to staff.</p> <p>We have been working towards developing staff guidance on records management. The aim is to remind staff of our duties under the PRSA and show how records management can benefit the organisation.</p> <p>Discussions on how best to engage staff have commenced at the weekly corporate team meeting which consists of the Heads of functions (Finance, IT and Governance teams). These meetings provide a forum for related matters</p>	<p>The Assessment Team thanks you for notifying us that WICS' Records Management Policy has been reviewed. It is positive that the Policy is being kept up to date.</p> <p>For comments on staff training, see Element 12.</p>

							to be raised and discussed.	
4. Business Classification	A	A	A	<p>The Commission is working on creating a combined Business Classification Scheme and Retention Schedule, with a target date for full roll-out of May 2018. The Keeper commends this endeavour and requests that he is kept informed of the progress of this work as it progresses.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of an organisation-wide operational BCS) and has evidenced a commitment to closing this gap and the timescales for undertaking this work. As part of this agreement, the Keeper requests that he is kept informed of the progress of this work.</p>	<p>WICS business classification and retention schedule (BCRS) contains an information asset register, and an IT asset register. The IT asset register is regularly reviewed and updated by the records manager and IT Team.</p> <p>There have been several changes to this section of the register since our last PUR following closure of our office and the move to full remote working.</p> <p>We have made improvements to our register by identifying which of our critical assets are most critical, in line with work being done to review and improve our business continuity practices.</p> <p>We are aiming to add further detail to our IT asset register around backup arrangements.</p> <p>Work is required to review the information asset register within our BCRS, and to encourage and engage information asset owners in this work.</p> <p>Given remote working, during the pandemic WICS chose to implement Microsoft Teams as an additional way to communicate remotely. We now need to return our attention to our document management system and consider the necessary structuring and governance arrangements associated with using SharePoint and Teams.</p>	<p>The Assessment Team thanks you for sharing this update on the continuing review of their Business Classification and Retention Schedule. The work around Information Asset Register and IT Asset Register is also acknowledged with thanks.</p> <p>That remote working has had implications on day-to-day business practices is understandable, and the adoption of Microsoft Teams as a communications tool is not unique to WICS. However, as acknowledged by the authority, the adoption and gradual implementation of SharePoint and other elements of M365 suite will have significant implications on existing business classification structures. It is encouraging that WICS plans to actively address the necessary structuring and governance arrangements.</p> <p>This element remains at Amber while this important work is ongoing. We look forward to being updated on progress in consecutive PURs.</p>	<p>We have added further detail to our IT asset register recently, to include back up arrangements for example.</p> <p>Now that we have adapted to a fully remote working model, we plan to review our BCRS including our IAOs, this year.</p> <p>We have begun to discuss how staff use Microsoft Teams versus SharePoint and how they interact with each other. This will allow us to clarify and advise our staff of the best locations to save records.</p>	<p>The Assessment Team thanks you for this update. Element 4 of PRSA stipulates that records should be known and identified within a structure, ideally founded on function. This structure could be a business classification scheme, an information asset register, or similar.</p> <p>It is good to know that the IT Asset Register has recently been added to, and that there are plans to get the WICS Business Classification and Retention Schedule (BCRS) reviewed, including keeping Information Asset Owner details up to date. It is also good to hear that discussions on records save locations are taking place, especially as staff is now fully working remotely. It would be reassuring to hear that formal guidance is in place to ensure records are saved in the right place, which has implications on records retention, destruction, archiving, and discoverability, as well as reliable audit trail information.</p> <p>This element will remain at Amber while this project is ongoing. We look forward to being updated on progress in subsequent PURs.</p>
5. Retention Schedule	A	A	A	<p>As the retention schedule will form part of the Business Classification Scheme, the Keeper requests updates regarding the development of this combined document.</p> <p>The RMP states that once the BCS/retention schedule has been</p>	<p>Our retention policy has been updated in line with the policy work mentioned at element 3 above.</p> <p>The next step for us here is to use our BCRS to help us to appropriately monitor and audit our records, in turn manually (at present) disposing of any records that have reached the end of their useful life. The records manager would like to</p>	<p>It is good to hear that the WICS Retention Policy has been updated. This has been noted with thanks.</p> <p>An authority's Records Management Plan must demonstrate the principle that</p>	<p>We plan to review our BCRS in the coming months.</p> <p>We have recently reviewed physical documentation in storage and have identified</p>	<p>Thank you for this update. It is good to hear that the review of the Business Classification and Retention Schedule is planned. This will hopefully assist WICS in streamlining the records destruction processes,</p>



				<p>rolled-out there will be designated individuals responsible for ensuring compliance with the requirements of the schedule. The Keeper would be interested to learn whether these individuals have yet been identified.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the lack of an organisation-wide operational retention schedule) and has evidenced a commitment to closing this gap and the timescales for undertaking this work. As part of this agreement, the Keeper requests that he is kept informed of the progress of this work.</p>	<p>investigate what auditing capabilities are available to assist with the monitoring of WICS records retention periods.</p> <p>Separately to SharePoint, we have strict retention policies in place to manage our emails, calendar entries and Teams chat messages.</p> <p>Teams chat messages (and posts) are automatically deleted after a period of no more than 30 days. We also ask staff to configure WICS mobile devices to enable the same 30-day retention on text messages.</p> <p>All emails are automatically deleted from an individual's inbox after 6 months (unless they are manually labelled with a 6-year retention policy).</p>	<p>retention rules are consistently applied across all of an authority's record systems. The planned monitoring and audit of records with the help of the Business Classification and Retention Schedule is acknowledged with thanks, but WICS is right to consider exploring records retention auditing options, especially when the disposal process remains largely manual.</p> <p>The Team acknowledges that WICS has retention policies in place for email, calendar entry, text and Teams chat message records.</p> <p>This element remains at Amber while this work is ongoing.</p>	<p>records which have reached the end of their useful life. We have taken steps to arrange the secure destruction of those records. This will be an ongoing task moving forward.</p> <p>A full review has also been carried out of recruitment records. We have taken steps to ensure they are all saved securely in one specific location, retaining them in line with requirements.</p>	<p>ensuring a consistent approach is applied to records of any format.</p> <p>The identification of physical (paper) records due to be destroyed, currently in storage, is also good news. We also note the update given on recruitment records, and improvements made in their scheduled retention and destruction processes.</p> <p>This element remains at Amber while this work is ongoing. The Assessment Team look forward to being updated on progress in subsequent PURs.</p>
6. Destruction Arrangements	A	A	A	<p>The RMP states that at present there is no means of recording paper files which have been destroyed but that this will be built into the retention schedule once finalised. This is welcomed by the Keeper, who would be pleased to receive updates on this initiative.</p> <p>It would also appear that the destruction of electronic records is built in to the plan to develop and roll-out the retention schedules. Individuals within local business areas will also ensure that destruction decisions are applied consistently. The Keeper asks for clarification concerning whether the destruction of electronic files will be an automated process or require the input of these individuals and the records manager. The Keeper requests that he is kept informed of the work being undertaken in this area, and to be updated on the recording of electronic file destruction once the retention schedules become operational.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (the destruction of electronic records) and has evidenced a commitment to closing this gap. As a condition of this agreement, the Keeper will need to be kept updated on the progress of the work to close</p>	<p>As mentioned above, following the Covid-19 pandemic, we took the decision to close our office and to work more permanently from home. Long term future working arrangements are still being discussed and considered.</p> <p>This decision has led to a further reduction of what was already a slim paper record set. We have scanned the paper personnel documentation to our HR and SharePoint systems and have securely destroyed any paperwork no longer required. We have been supported in our destruction arrangements by Shred it and L&amp;R Storage who both provide certificates of destruction.</p> <p>Similarly, this decision has led to us securely disposing of IT assets no longer required. Again, we receive destruction certificates from L&amp;R Storage for this.</p> <p>Now that we no longer have an office, any paper records that we do need to retain, that have not been digitised and destroyed, have been sent to storage. The storage facility we are using is L&amp;R Storage. Further information on this organisation, and the services provided, can be found here: <a href="https://www.lrstorage.co.uk/">L&amp;R – An Extension of Your Business – Archive Storage Document Services in the West Midlands and the North West (lrstorage.co.uk)</a>.</p>	<p>The use of an outside contractor to store and manage the WICS' current and semi-current paper records, and to securely and transparently destroy both paper records and IT assets identified for destruction, is noted with thanks.</p> <p>It is apparent that WICS has taken proactive steps to manage its paper records securely when staff are continuing to work exclusively from home on a more permanent basis. This makes it even more important that staff continue to categorise and name documents in a consistent manner so that the correct records are appropriately retained for permanent preservation, stored for a period of time, or destroyed.</p> <p>The Assessment Team understands that the controlled, secure and irretrievable destruction of electronic records is still a work in progress. Element 6 will remain at Amber while the work on effective electronic records management and full implementation of SharePoint and M365 is ongoing. The Team look forward to hearing how this work progresses in consecutive PURs.</p>	<p>Since moving to a remote working environment, we have been taking steps to reduce the volume of paper records. The majority of WICS records are electronic. The small volume of financial paper records held in storage will gradually reduce as they reach the end of their useful life. As noted above, we review on an ongoing basis.</p> <p>For now, we have chosen not to introduce automated retention schedules for our SharePoint records. Current arrangements are that the records manager will work with IAOs on an ongoing basis to review records which have reached the end of their useful life. Proactive examples of these during this period include a review of recruitment information, and of financial paper records.</p>	<p>Many thanks for updating the Assessment Team on WICS' records destruction arrangements. The overall reduction of the volume of paper records is noted with thanks; this is in line with trends in other public authorities. It is also good to hear that action is being taken regarding electronic recruitment records and financial paper records in storage as per retention decisions (which will hopefully be formalised as the BCRS is re-launched). The Team note that the regular review of these records might include, in addition to possible destruction scheduling, an assessment with view to archiving, where appropriate.</p> <p>This element remains at Amber while this work is ongoing. The Assessment Team look forward to being updated on progress in subsequent PURs.</p>

				this gap and further information about the proposed processes for the deletion of electronic records.				
7. Archiving and Transfer	G	G	G	Update required on any change.	<p>We have been actively working with the NRS archiving team over the last year in relation to our website and branding project which concluded in August 2021.</p> <p>During the project, we had to consider the publications on our old site, and our process for migrating some of them to the new site. As part of doing this, we also had to check that anything not being migrated to the new site was captured in the NRS web archive.</p> <p>We now regularly archive our main corporate website, and our secondary website [Scotland on tap] which relates to the retail market in Scotland.</p>	Thank you for this very positive update on WICS' website archiving arrangements. It is good to hear that the website and branding project has been a success, and has resulted in renewed focus on website archiving arrangements.	No changes to record.	Update required on any change.
8. Information Security	G	G	G	Update required on any change.	<p>We continue to be cyber essential plus accredited and liaise closely with key security contacts at the Scottish Government and the National Cyber Security Centre (NCSC), for example.</p> <p>During our website and branding project, we worked closely with organisations that were approved contractors and who were also cyber essentials and ISO accredited. We carried out extensive penetration testing on our site and put in place appropriate access controls for CMS use, including two factor authentication.</p>	<p>The Assessment Team is grateful for this encouraging update on WICS' continued focus on information security.</p> <p>Continuing cyber essential plus accredited status and recently updated access controls are also noted with thanks.</p>	No changes to record.	Update required on any change.
9. Data Protection	G	G	G	Update required on any change.	<p>As mentioned at element 3 above, we have undergone an extensive review of our information management policy and will be aiming to finalise this in due course. When finalised and approved, it will be rolled out to all staff and will replace the older (current) version on our HR system, SharePoint and website.</p> <p>In addition to this, during 2021 we reviewed and updated all of our external facing data protection information. This included a review of all our transparency statements which were updated and posted to our new website. We have also put in place appropriate GDPR compliant cookie settings on our website. Please find relevant information at the following links:</p> <p><a href="#">Transparency</a>  <a href="#">Requesting and using information</a>  <a href="#">Data protection</a>  <a href="#">Transparency publications</a>  <a href="#">Privacy statement</a>  <a href="#">Cookie statement</a>  <a href="#">Accessibility statement</a></p>	The Assessment Team thanks you for this update. It is evident from the links provided that WICS has completed a significant amount of work in the past year. This is very encouraging and indicates commitment to best practice in this element.	<p>We are continuing to work with our external DPO to ensure all DPIA's are carried out as and when required.</p> <p>We have also taken steps to consider TIAs which may become required following our increased work overseas.</p>	The Team acknowledges that WICS continues to work with an external Data Protection Officer in order to ensure compliance.
	G	G	G	The Keeper would welcome updates on the work to identify and include the	The records manager and IT Team have been giving some due attention to WICS business	Thank you for the update on Business Continuity	WICS launched its BCP and associated	That a Business Continuity Plan is operational since the



10. Business Continuity and Vital Records				Commission's vital records within the combined BCS/Retention Schedule.	<p>continuity practices. To date, a new BCP has been drafted, with all associated appendices. Following some further work, we will be sharing this draft with the Scottish Business Resilience Centre (SBRC) for their review and feedback. We hope to be able to carry out some disaster recover planning exercises through 2022.</p> <p>Relevant extracts from WICS BCRS form appendices to the BCP and our information asset register records which records WICS deem to be vital.</p>	<p>arrangements. The plan to share the draft Business Continuity Plan for review and feedback with the Scottish Business Resilience Centre seems a very reasonable approach. The planned disaster recovery planning exercises are a very welcome activity as well.</p> <p>It appears WICS has a very proactive approach to its business continuity planning which should be commended.</p>	<p>appendices in August 2022. The plan has undergone some extensive reviews both internally by the Operational Board Team and the Board, but also externally by the SBRC and Audit and Risk Committee. Testing is now underway with the SBRC's 'Exercise in a box' facility being utilised.</p>	<p>last PUR was finalised is great news. Regular updates to this document are also noted with thanks.</p>
11. Audit Trail	A	A	A	<p>The Commission is working to move its records system from a shared drives network to a cloud based SharePoint system using Office 365. This should allow the authority to more thoroughly audit the records held on this system. This is commended by the Keeper, who would be interested to receive updates on the progress of this work.</p> <p>The Commission also intends to develop file naming conventions as part of its corporate style guidance. The estimated completion date for this work is the end of 2017. The Keeper requests that he is sent this guidance once it has been developed and is operational.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the authority has identified a gap in provision (lack of a consistent method of naming documents) and has evidenced a commitment to closing this gap. As a condition of his agreement, the Keeper requests that he is kept informed of the work as it progresses.</p>	<p>As mentioned above, the impact of the covid pandemic has slowed progress in some areas. That said, as part of the work to transition historical files from our old website to our new website, we had to develop strict guidance and form some naming convention styles. This was adopted very well by everyone involved in the project which has given us some real encouragement to continue to improve file naming across the wider organisation. This is something that we hope to build on.</p>	<p>It is lamentable but understandable that progress in this element has been slow due to the pandemic. It is, however, great to hear that naming convention styles remain an active consideration.</p> <p>The Assessment Team would like to acknowledge that WICS is taking reasonable steps to close the gap in provision, but as WICS is yet to formalise organisation-wide and consistent file naming policy and accompanying guidance, this Element will remain at Amber. We would like to encourage WICS to continue this work on this key element. The future adoption of robust naming conventions could be grounds for moving the RAG status of this element to Green.</p>	<p>We now have some draft high level naming convention guidance which we're hoping to be able to finalise and share with staff soon. We recognise the importance of this and believe we can make steady improvements by working together and helping one another to understand the benefits of naming records in a standard, simple way.</p> <p>We understand that implementing this will, in some cases, change the way our staff work now. As such, we are discussing ways that we can gradually roll out naming conventions targeting specific priority areas in the first instance. It will be important for us to demonstrate to staff how naming conventions will work in practice.</p>	<p>It is great to hear that Naming Convention Guidance is in development and will soon be available to staff. Effective electronic records management relies on appropriate and consistent naming of documents as well as the appropriate save location. This will also have longer-term business benefits with regard to, for example, freedom of information legislation or environmental information regulations requests, as the right record becomes easily and quickly discoverable, and has the right metadata attached to bolster its evidential value.</p> <p>It is reassuring that WICS is aware that these important changes need to be actioned at grassroots-level in addition to providing appropriate guidance. It will be good to hear how WICS intends to effectively action and monitor consistent staff compliance in subsequent PURs. Whilst it is clear progress is being made, the Assessment Team would like to encourage WICS to push forward with this key improvement as soon as practicable.</p>

								This Element will remain at Amber as the naming conventions are finalised, formalised and implemented.
12. Competency Framework	A	G	G	<p>The Records Management Work Plan, which is built into the RMP, has the provision of guidance for staff and the production of staff training programmes as key objectives. The Keeper commends this commitment to training and requests that he is sent a sample of the staff guidance and training when it becomes available.</p> <p>The Keeper can agree this element on an 'improvement model' basis. This means that the Commission recognises that records management forms a key work area of relevant staff and the appointed records manager has access to relevant training and has identified the training of staff as a key objective and has outlined the timescale for developing a programme of training and guidance in records management for all staff. As part of this agreement, the Keeper requests that he is provided with examples of staff training and guidance documents once this has been created and is operational.</p>	<p>Induction training continues for all new employees and interns to WICS. This includes data protection and FOI.</p> <p>In addition to this, in 2021 an online GDPR course was rolled out to a small team of staff who were deemed to be most likely to process higher risk information i.e. those in the finance and HR teams for example.</p> <p>In 2020 we investigated the possibility of developing a bespoke e-learning platform. However, costs involved in developing such a platform, in addition to the time required, was deemed to be in excess of the benefits WICS would receive from it, being such a small organisation. Instead, we have investigated alternative methods to ensure our staff continue to receive regular training, such as a wider range of online training, the use of the Civil Service Learning Portal and the continued support of our DPO.</p> <p>We have also developed a relationship with the Scottish Business Resilience Centre (SBRC) who have been assisting us in thinking about security when working from home. Our senior executives and Board Members have been working through the 'Executive education training: cyber security' course being run by the SBRC. Further details available <a href="#">on their website</a>.</p> <p>Our HR contractors have also been on board with providing live webinar style sessions which have become a useful method of training for us.</p> <p>The PRSA course provided by Frank Rankin is something that we didn't manage to take up last year but is something we would still consider for future learning. In addition to this, the records manager has received information on the 'Practitioner certificate in Data Protection' course being run by PDP which is of interest too.</p> <p>We have also taken part in several of the training and information sharing events that have been set up and hosted by NRS through the year. These have been invaluable in cascading information throughout the sector but also in promoting collaboration and learning between key partners.</p>	<p>The Assessment Team is grateful for this detailed update on training provision on all aspects of records management. It is evident that significant organisation-wide progress has been, and continues to be made, in this element.</p> <p>Training on Data Protection, FOI, GDPR, cyber security is noted with thanks. The continuing engagement with NRS training and information sharing events is also evidence of commitment to maintaining and enhancing staff competencies in these areas.</p> <p>This element will remain at Green RAG status for the PURs.</p>	<p>During 2022 all staff were invited to participate in the online GDPR training which was rolled at the beginning of the year.</p> <p>In addition to this, we have been using the Mimecast service to issue monthly video training clips to all staff around data security. Those videos contain a short quiz at the end and is followed by additional training should anyone require it.</p> <p>Induction training on data protection and GDPR continues with our DPO, and regular monthly catch ups are held to ensure we remain abreast of the changing landscapes where those legislations are concerned.</p>	<p>The Assessment Team thanks you for this update on staff competency framework. It is positive that specific GDPR training has been rolled out, and that monthly Data Security training now also takes place. It is also good to hear that induction training continues as normal, and that the Data Protection Officer continues to monitor the legal and technological landscape for any actionable changes.</p> <p>As reported under Element 3, it is also fantastic to hear that additional PRSA-specific staff guidance is under development, and that staff engagement with this and existing materials remains a priority for WICS.</p>
	G	G	G	<p>The Commission has outlined the procedures in place for assessing and</p>	<p>In 2021 WICS formed a 'senior corporate team' which consists of the heads of each corporate</p>	<p>Thank you for this update on the assessment and review of</p>	<p>No changes to record.</p>	<p>Update required on any change.</p>

13. Assessment and Review				<p>reviewing its records management systems and has identified the process by which the records manager will notify the Director of Corporate Affairs and Strategy on any progress or issues.</p> <p>Analysis using a Generally Accepted Records Keeping Principle (GARP) methodology will be employed for identifying the current situation and assessing levels of provision and compliance. This assessment will be conducted on an annual basis.</p> <p>The RMP also states that once the Plan is signed off, internal auditors will carry out a full review of the Plan. Partial reviews will be conducted thereafter.</p> <p>The Keeper commends the authority's commitments under this element and would welcome updates following these reviews/audits, particularly if they lead to changes in records management arrangements.</p>	<p>function within the organisation i.e. Finance, Central Office and IT. The Assistant Director responsible for records management attends these discussions. Records management, data protection and business continuity matters all feed into this group which meet on a weekly frequency.</p> <p>We have a completed GARP analysis for the year which is continuing to measure our progress and demonstrate improvements.</p>	<p>authority's records management arrangements. It is positive to hear that records management remains a key agenda item in senior corporate meetings.</p> <p>The completion of a GARP (Generally Accepted Recordkeeping Principles) analysis is also welcome news and shows that WICS remains committed to continuous improvement.</p> <p>WICS' continuing engagement with the PUR process is also commendable.</p>		
14. Shared Information	G	G	G	<p>Update required on any change.</p>	<p>WICS continues to share data only when necessary to carry out its statutory functions.</p> <p>Any personal data sharing is done on a strictly necessary basis.</p> <p>We continue to work with our DPO to carry out and document data protection impact assessments. To date, we have carried out 16 DPIAs, all of which have returned a 'low' risk assessment categorisation.</p> <p>To play our part on the Scottish Government's hydro nation agenda, we share our regulatory experiences with international bodies, for example, we have worked alongside other regulators in Romania, Greece, New Zealand etc.</p>	<p>Thank you for this update. The Keeper's Assessment Team acknowledges the work undertaken by WICS to assess risk through DPIAs, and remains confident that WICS has considered the implications of information sharing in all its activities, whether it is liaising with international bodies, or sharing individuals' personal data.</p>	<p>As mentioned above, DPIAs continue to be undertaken when we embark on a new activity which involves personal data sharing or any potential risk to an individual's personal data.</p> <p>We have also reviewed several of our earlier DPIAs to ensure they remain accurate and up to date.</p> <p>Again, as mentioned above, discussions have also taken place around the requirement to document a transfer impact assessment (TIA) to ensure continued international working is in line with requirements.</p>	<p>The Assessment Team thanks you for this confirmation that Data Protection Impact Assessments continue to be undertaken where relevant. The review of existing DPIAs is also noted with many thanks.</p> <p>Under Element 5, WICS also reported work with Transfer Impact Assessments, noted with thanks.</p>

## 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 29<sup>th</sup> March 2023. The progress update was submitted by Kirsty McLean, Records Manager.

The progress update submission makes it clear that it is a submission for **the Water Industry Commission for Scotland**.

### **PRSA Assessment Team's Summary**

The Assessment Team has reviewed the Water Industry Commission for 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

The Water Industry Commission for 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 the Water Industry Commission for 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



Iida Saarinen  
Public Records Officer