



Records Management Plan

Setting out the Partnership's arrangements for the management of HITRANS public records under Section 1 of The Public Records (Scotland) Act 2011

Document Version Control

Records Management Plan	Group or Name(s) & Designation(s)	Date	Version
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Changes to the document (e.g. as part of annual review or following a change to elements) should be approved by the HITRANS Director.

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Introduction

HITRANS is required in terms of Section 1 of the Public Records (Scotland) Act 2011 to produce a Records Management Plan setting out proper arrangements for the management of its public records and to submit this to the Keeper of the Records of Scotland for approval.

Records Management is the systematic control of an organisation's records (in this document a "record" means anything in which information is recorded in any form including, for example, paper and electronic reports, emails, photographs, etc.) throughout their lifecycle in order to meet operational business needs, statutory and fiscal requirements, and community expectation. It allows fast, accurate and reliable access to records, whilst ensuring the timely destruction of redundant information and the identification and protection of vital and historically important records.

The Partnership believes that effective records management will bring substantial benefits to HITRANS, which will result in greater business efficiency and considerable improvements in the use of information as well as financial, human and other resources within the organisation.

The scope of the plan applies to all records irrespective of the technology used to create and store them or the type of information they contain.

Records Management Plan

HITRANS's Records Management Plan is based on the Keeper of the Records of Scotland's published Model Records Plan and comprises the following 14 elements:-

1. Senior Management Responsibility
2. Records Manager Responsibility
3. Records Management Policy Statement
4. Business Classification
5. Retention Schedules
6. Destruction Arrangements
7. Archiving and Transfer Arrangements
8. Information Security
9. Data Protection
10. Business Continuity and Vital Records
11. Audit Trail
12. Competency Framework for Records Management Staff
13. Assessment and Review
14. Shared Information

Element 1: Senior Management Responsibility

Identify an individual at senior level who has overall strategic responsibility for records management

- 1.1 The Senior Management within HITRANS with overall strategic responsibility for records management is:

Ranald Robertson
Partnership Director
HITRANS
2nd Floor
7 Ardross Terrace
Inverness
IV3 5NQ

Tel: 01463 719002

- 1.2 The Director fully endorses this plan and will ensure the required improvements to records management procedures are implemented corporately and monitored by the designated officers through the assessment and review process.

Evidence:

1. Covering letter from HITRANS Director
2. Records Management Policy

Future Development:

There are no planned future developments for Element 1. However, if there is a change to the Senior Responsible Officer, this element would require review.

Element 2: Records Manager Responsibility

Identify an individual within HITRANS, answerable to senior management, to have day-to-day operational responsibility for records management within HITRANS

- 2.1 The individual answerable to Senior Management within HITRANS and who has operational and day to day responsibility for records management is:

Katy Cunningham
Office Manager
HITRANS
2nd Floor
7 Ardross Terrace
Inverness
IV3 5NQ

Tel: 01463 719002

Email: info@hitrans.org.uk

Evidence:

1. Covering letter from HITRANS Director
2. Office Manager Job Description

Future Development:

There are no planned future developments for Element 2. However, if there were to be changes to these designations, or staff changes, this element would require review.

Element 3: Records Management Policy Statement

The records management policy statement underpins the effective management of HITRANS's records and information. It demonstrates to employees and stakeholders that managing records is important to HITRANS and serves as a mandate for the activities of the Records Manager

3.1 HITRANS's Records Management Policy will be available on both its intranet and internet sites.

Evidence:

1. [Records Management Policy](#)
2. ITC Policy
3. [Information Management Policy](#)
4. Screenshot of HITRANS Shared Drive

Future Development:

There are no planned future developments in respect of this element 3, but will be reviewed whenever there are changes to record keeping by HITRANS, and in accordance with the Public Records (Scotland) Act 2011

Element 4: Business Classification

A business classification scheme describes what business activities the organisation undertakes – whether alone or in partnership

- 4.1 HITRANS has adopted the Business Classification Scheme as part of its Records Management Policy. It provides the structure for the HITRANS shared drive folders and is available to all staff in a shared folder for Information Governance resources. HITRANS business Classification Scheme and Retention Schedule is based on departmental filing hierarchies.

Evidence:

1. Overview of the organisational Business Classification and Retention Schedule.
2. Screenshot of HITRANS Shared Drive

Future Development:

The Business Classification Scheme and Retention Schedule is being embedded. Electronic Records Management Database and retention schedule arrangements are subject to review.

Element 5: Retention Schedules

A retention schedule is a list of records for which pre-determined destruction dates have been established.

- 5.1 HITRANS has adopted the retention periods identified within the business classification scheme, drawing on the Scottish Council on Archives Records Retention Schedule (SCARRS)
- 5.2 The Records Manager applies the retention decisions manually

Evidence:

- 1. Overview of the organisational business classification and Retention Schedule
- 2. Document Control Procedures
- 3. ITC Policy

Future Development:

The Retention Schedules are dynamic documents and will evolve to reflect organisational change.

Element 6: Destruction Arrangements

It is not always cost-effective or practical for an organisation to securely destroy records in-house. Many organisations engage a contractor to destroy records and ensure the process is supervised and documented

- 6.1 Destruction of records occurs at the end of retention periods as set out in HITRANS's Retention Schedules. For the purpose of the Records Management Plan destruction or destroyed means either the destruction of paper records or the deletion of electronic records.
- 6.2 HITRANS generates a relatively small volume of paper documents. Confidential disposal of paper documents and records is carried out in-house through the use of a Fellowes Powershred shredder. As hard copies are not considered to be records, we do not maintain a log of shredded documents
- 6.3 The office manager is responsible for secure destruction of electronic files and arranging destruction of electronic hardware from a specialist contractor with destruction certificates retained in line with the business classification and Retention Schedule.
- 6.4 HITRANS does not currently utilise off-site storage of records.

Evidence:

1. Certificate of Destruction from External Contractors (Northern Recycling)
2. ITC Policy
3. [Information Management Policy](#)
4. Document Control Procedures
5. Overview of the organisational business classification and Retention Schedule

Future Development:

There are no planned future developments in respect of this element 3, but will be reviewed whenever there are changes to record keeping by HITRANS, and in accordance with the Public Records (Scotland) Act 2011

Element 7: Archiving and Transfer Arrangements

This is the mechanism by which an organisation transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions

- 7.1 Archiving protocol will be developed and issued to staff, to complete the deletion/removal of time expired documents from the shared drive in line with the Retention Schedule. SLA or Memorandum of Understanding will follow when this in place

Evidence:

1. Covering letter from HITRANS Director

Future Development:

HITRANS will consult with Member Councils to find a suitable Archive facility for transferring archival records when required. SLA or Memorandum of Understanding will be provided to the keeper when this in place

Element 8: Information Security

Information security is the process by which an organisation protects its records and ensures they remain available. It also maintains privacy where appropriate and provides for the integrity of the records

- 8.1 HITRANS operates an information security management system in accordance with the international standard ISO 27001. HITRANS IT and Information Security Policy is in line with this standard and provides a framework for all services.
- 8.2 All staff receive information security awareness at staff induction and are reminded of the importance of security as a standard item on team meeting agendas.

Evidence:

1. ITC Policy
2. Data Protection Policy
3. Freedom of Information guidance
4. Staff Induction
5. Team Meeting Standing Agenda

Future Development:

Information security arrangements, including all staff communications and training, will continue to be developed.

Element 9: Data Protection

An organisation that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998

- 9.1 Under the Data Protection Act 1998 HITRANS is a data controller and is registered as such with the Information Commissioner's office (ICO).
- 9.2 HITRANS has a data protection policy in place as well as a detailed policy on information security.
- 9.3 All staff receive data protection awareness at staff induction and are reminded of the importance of data protection as a standard item on team meeting agendas.
- 9.4 Members of the public are made aware of their right to submit a subject access request through the HITRANS Publication Scheme published on the HITRANS website.

Evidence:

1. Data Protection Public Registration
2. [Data Protection Policy](#)
3. [Information Publication Scheme](#)
4. ICT Policy
5. Certificate of GDPR Training

Future Development:

There are no planned future developments for Element 9. However, this policy will be regularly reviewed to ensure it remains fit for purpose.

Continuation of Data Protection training.

Element 10: Business Continuity and Vital Records

A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an organisation

- 10.1 HITRANS are required to have in place business continuity plans in the event of any disaster. Reference to records management arrangements is included in the plan.
- 10.2 HITRANS subscribes to Dropbox Cloud Server with all files and version history backed up and protected for up to 120 days of version history and deletion recovery. Getting old versions or deleted files back is a simple process.
Main Files are stored on the Dropbox Secure Cloud with no limit on file storage. In the event of a data issue file recovery applies for the 120-day period described above.
User accounts are protected by a two-step verification process that requires users to input a six-digit security code to sign in or connect a new device. Single sign-on lets team members securely gain access using an existing identity provider.
- 10.3 HITRANS generates a relatively small volume of paper documents. Confidential disposal of paper documents and records is carried out in-house through the use of a Fellowes Powershred shredder. As hard copies are not considered to be records, we do not maintain a log of shredded documents
- 10.4 HITRANS Inventory is updated annually or when new IT equipment purchased.

Evidence:

1. Business Continuity Plan.
2. <https://www.dropbox.com/guide>

Future Development:

Business Continuity Plan will be subject to review and testing to ensure it remains fit for purpose.

Element 11: Audit Trail

An audit trail is a sequence of steps documenting the processing of a transaction flow through an organisation resulting from activities such as communications and requests by individuals, systems or other entities

- 11.1 Electronic files are maintained and archived in accordance with relevant departmental filing hierarchy. All documents and records are saved on a central server and by applying the descriptive filenames, electronic records can be quickly located in the central filing system.
- 11.2 All members of staff are required to save a document by a name reflecting what the document is in line with document control procedures
- 11.3 To ensure the integrity of records, key documents are converted to PDF when they are finalised
- 11.4 HR folders are mainly held within Comhairle nan Eilean Siar HR Department, those held in the HIRANS office are secured in a locked cabinet and only accessed by the Office Manager or Partnership Director. Financial folders are held within The Highland Council TECS Finance Department
- 11.5 All procurement is conducted through Public Contracts Scotland portal, no paper copies held

Evidence:

- 1. Document Control Procedures
- 2. Overview of the organisational business classification and Retention Schedule
- 3. Screenshot of HITRANS Shared Drive

Future Development:

Information systems are subject to review.

Element 12: Competency Framework for Records Management Staff

A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance

- 12.1 All staff receive Records Management awareness at staff induction and are reminded of the importance of records management as a standing item on team meeting agendas

Evidence:

1. Records Management Policy
2. Office Manager Job Description
3. Evidence of attendance at PRSA Roadshow
4. Certificate of RTP RMP training

Future Development:

All staff responsible for operational records management will be afforded the opportunity to attend any relevant courses, seminars or conferences as and when required.

Element 13: Assessment and Review

Regular assessment and review of records management systems will give an organisation a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper

- 13.1 Records are revised in accordance with the timescales set out in the Records Retention schedules.
- 13.2 Records management systems will be subject to biannual review against this RMP by the HITRANS Director and Office Manager and progress reported to the HITRANS Partnership Board

Evidence:

1. Records Management Policy
2. Overview of the organisational business classification and Retention Schedule

Future Development:

Assessment and review of the Records Management Plan will be reported, where appropriate, to the Partnership.

Element 14: Shared Information

Under certain conditions information given in confidence may be shared. Most commonly this relates to personal information but it can also happen with confidential corporate records

- 14.1 Information shared with and by HITRANS is characteristically open and non-sensitive.
- 14.2 Where appropriate, we will comply with the reasonable Evidence confidentiality requirements of third parties, but such circumstances are rare.
- 14.3 HITRANS does not engage in any information sharing which would require information sharing protocols.
- 14.4 Our core records and information are publicly shared as a statutory requirement

Evidence:

- 1. Information Publication Scheme
- 2. [Scotland The Regional Transport Partnerships](#) (Establishment, Constitution and Membership) (Scotland) Order 2005 – see sections 6 and 14

Future Development:

There are no planned future developments for Element 14. However, this policy will be regularly reviewed to ensure it remains fit for purpose.

List of Appendices and Associated Evidence	
Element 1	Covering letter from the Director of HITRANS
	Records Management Policy
Element 2	Covering letter from the Director of HITRANS
	Office Manager Job Description
Element 3	Records Management Policy
	Information Communications and Technology Policy
	Information Management Policy
	Screenshot of HITRANS Shared Server
Element 4	Overview of the organisational business classification and Retention Schedule
	Screenshot of HITRANS Shared Server
Element 5	Overview of the organisational business classification and Retention Schedule
	ITC Policy
	Document Control Procedures
Element 6	Information Communications and Technology Policy
	Certificates of Destruction from External Contractors
	Information Management Policy
	Overview of the organisational business classification and Retention Schedule
Element 7	Covering letter from the Director of HITRANS
Element 8	ITC Policy
	Data Protection Policy
	Freedom of Information guidance
	Staff Induction
	Team Meeting Standing Agenda
Element 9	Data Protection Public Registration
	Data Protection Policy
	Guide to Information through our Publication Scheme
	ICT Policy
Element 10	Business Continuity Plan
Element 11	Document Control Procedures
	Overview of the organisational business classification and Retention Schedule
	Screenshot of HITRANS Shared Server
Element 12	Records Management Policy
	Office Manager Job Description
	Evidence of attendance at PRSA Roadshow

	Certificate of RTP RMP training
Element 13	Records Management Policy
	Overview of the organisational business classification and Retention Schedule
Element 14	Information Publication Scheme
	Link to Scotland The Regional Transport Partnerships (Establishment, Constitution and Membership) (Scotland) Order 2005