



Report to Partnership Meeting of 25 November 2016

PARTNERSHIP

Records Management Plan

Summary

This report is to inform Members on our progress following the receipt of an invitation from the Keeper of the Records of Scotland ("the Keeper") to submit a Records Management Plan by 31st December 2016 which officers received in August.

Background

HITRANS as a public authority HITRANS has a statutory responsibility under Section 1 of the Public Records (Scotland) Act 2011 ("the Act") to produce and submit a Records Management Plan ("the RMP") to the Keeper of the Records of Scotland ("the Keeper"). The purpose of the RMP is to set out the proper arrangements which HITRANS has in place for the preservation and management of all relevant records, in all formats, created by HITRANS.

Effective records management brings substantial benefits to HITRANS, which results 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 Records Management Plan applies to all records, irrespective of the technology used to create and store them or the type of information they contain.

After working collectively with other Regional Transport Partnerships each RTP has to develop their own RMP, with HITRANS draft Plan now ready for comment prior to final refinement and submission.

The RMP has identified various policies and schedules that need to be reviewed / developed with regard to, for example, storage requirements, retention issues or destruction. These have been identified and are currently being reviewed / developed and will be provided as evidence with the plan when it is submitted by deadline 31st December 2016.

Recommendations

1. Members are asked to note this report.
2. Members are asked to approve the structure and broad content of the the draft "Records Management Plan" and associated documents for submission to the Keeper of the Records Scotland for consideration and approval by deadline 31st December 2016
3. Members are asked to approve delegated authority to the Partnership Director to sign off the final Records Management Plan prior to submission to the Keeper of the Records.

RISK REGISTER

RTS Delivery

Impact - None

Policy

Impact - None

Financial

Impact – None

Budget line and value – This item has no financial cost

Equality

Impact – None

Report by:

Designation:

Date:

Katy Cunningham / Ranald Robertson

Office Manager / Partnership Director

16th November 2016



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
Author:			
Owner:			
Approved by:			
Reviewer/Update:			

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. Records Management Policy

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. Information Communications and Technology Policy
3. Social Media Policy

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 is developing a Business Classification Scheme and Retention Schedule based on departmental filing hierarchies.

Evidence:

1. Overview of the organisational Business Classification and Retention Schedule.

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 Permanent retention of records of enduring value will be dealt with by HITRANS on an ad-hoc basis

Evidence:

1. Overview of the organisational business classification and Retention Schedule.
2. Information Communications and Technology 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. HITRANS has a number of destruction arrangements in place. 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 In addition to the contractual arrangements specified in the evidence section, HITRANS uses on-site paper shredders which ensure that paper and optical media is destroyed to European Security Standards.
- 6.3 HITRANS does not utilise off-site storage of records.

Evidence:

1. In house shredders specifications.
2. Certificate of Destruction from External Contractors (Northern Recycling).
3. Information Communication and Technology Policy.

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 The arrangements for archiving records of enduring value will be dealt with on an ad-hoc basis depending on the nature of the records.

Evidence:

1. HITRANS Document Control Procedures

Future Development:

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

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's IT and Information Security Policy is in line with this standard and provides a framework for all services.

All staff receive information security awareness training and are reminded of the importance of security via HITRANS's intranet.

Evidence:

1. Information Communications and Technology Policy
2. Intranet articles:
 - Information Communications and Technology Policy;
 - Data Protection Policy;
 - Freedom of Information guidance;

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 Members of the public are made aware of their right to submit a subject access request through the Data Protection Policy published on the HITRANS website.

Evidence:

1. Data Protection Public Registration.
2. Data Protection Policy.
3. IT and Information Security Policy.

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 Inventory is updated annually or when new IT equipment purchased.

Evidence:

1. Business Continuity Plan.

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.
- 11.2 Electronic systems within HITRANS are able to provide audit trails for electronic records. Where appropriate, audit trail for paper files are in place.
(e.g. Procurement contracts files and Legal Services)

Evidence:

- 1. Sample Partnership report.

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 HITRANS will provide appropriate training and development support to ensure all staff are aware of their records management responsibilities.

Evidence:

1. Records Management Policy.

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 regular self-assessment and review.

Evidence:

- 1. Records Management Policy

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 HITRANS information is shared with third parties on a limited and managed basis in line with legislation and HITRANS policy. Any information received from partner organisations is subject to strict access controls.

Evidence:

1. Data Protection Policy.

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
	Records Management Policy
Element 3	Records Management Policy
	Information Communications and Technology Policy
Element 4	Overview of the organisational business classification
Element 5	Overview of the organisational business classification
	Information Communications and Technology Policy
Element 6	In house shredders specifications
	Certificate of Destruction from External Contractors
	Records Management Policy
	Intranet Articles
Element 7	Document Control Procedures
Element 8	Information Communications and Technology Policy
	Intranet Articles
Element 9	Data Protection Public Registration
	Data Protection Policy
	Information Communications and Technology Policy
Element 10	Business Continuity Plan
Element 11	Sample Partnership report
Element 12	Records Management Policy
Element 13	Records Management Policy
Element 14	Data Protection Policy