



RECORDS MANAGEMENT GUIDANCE

DOCUMENT VERSION CONTROL

| Date | Author | Version | Status | Reason for Change |
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| Nov 2016 | SEStran | 1.0 | FINAL | Final draft for approval by the P&A Committee and Partnership Board |
| Jan 2017 | SEStran | 1.1 | FINAL | Minor amendments following guidance from Fife Legal Services |
| Oct 2017 | SEStran | 1.2 | FINAL | Adoption of version control |
| Dec 2018 | SEStran | 1.3 | FINAL | Contacts amended |
| Aug 2024 | SEStran | 1.4 | FINAL | Partnership Director details amended |

Records Management Guidance

1 Introduction

1.1 This Guidance document provides context and further information to support implementation of SEStran's Records Management Policy.

1.2 SEStran recognises that the efficient management of its records is necessary in order to support its core functions, to comply with its legal and regulatory obligations and to enable the effective management and operation of the organisation. It is committed, through the Records Management Policy: to creating, keeping and maintaining those records which document its principal activities; the administration of its resources and the protection of the rights and interests of the organisation and its stakeholders.

1.3 The purpose of SEStran's Records Management policy is to ensure the creation and maintenance of authentic, reliable and useable records, with appropriate evidential characteristics, within the organisation by establishing a framework and accountabilities for records management. Through this framework best practice can be implemented and audited.

2 Definitions of Records and Records Management

2.1 Records are defined as all those documents, regardless of format, which facilitate SEStran's activities and business and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These records may be created, received or maintained in hard copy or electronically and include email and blogs.

2.2 A record has the following essential qualities:

- *it is present* (the information needed to evidence and reconstruct the relevant activity or transactions is recorded).
- *it can be accessed* (it is possible to discover, locate and access the information, and present it in a way that is true to the original presentation of the information).
- *it can be interpreted* (a context for the information can be established showing how it is related to other information, when, where and who created it, and how it was used).
- *it can be trusted* (the information and its representation is fixed and matches that which was actually created and used, and its integrity, authenticity and provenance can be demonstrated beyond reasonable doubt).
- *it can be maintained* (the record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary and on transfer to other agreed locations, systems and technologies).

2.3 Records management is defined as a field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records (ISO 15489). It constitutes a series of integrated systems related to the core processes of SEStran that ensure that evidence of, and information about, its activities and transactions are captured and maintained as viable records.

2.4 The objectives of a records management system are as follows:

- Records contain information that is a unique and invaluable resource and important operational asset. A systematic approach to the management of SEStran's records is essential to:
 - ensure that the information we rely on has the qualities of a record
 - protect and preserve records as evidence of our actions.
- Records management enables and supports SEStran's realisation of SEStran's corporate objectives namely:
 - supporting staff, Members and stakeholders in the management of records, compliance and risk.
- Records management is accordingly necessary to:
 - ensure that SEStran conducts itself in an orderly, efficient and accountable manner;
 - realise best value through improvements in the quality and flow of information and greater coordination of records and storage systems;
 - support core functions, providing evidence of conduct and the appropriate maintenance of associated tools, resources and outputs;
 - meet legislative, regulatory, funding and ethical requirements;
 - deliver services to staff and stakeholders in a consistent and equitable manner;
 - assist and document policy formation and managerial decision making;
 - provide continuity in the event of a disaster;
 - protect the interests of the organisation and the rights of employees, consultants, and present and future stakeholders;
 - establish an organisational identity and maintain a corporate memory.

3 Records Management Responsibilities

3.1 SEStran has a corporate responsibility to maintain its records and record-keeping systems in accordance with the regulatory environment. For this reason the member of SEStran's senior management with overall responsibility for the Records Management policy is the Partnership Director.

3.2 The Business Manger (Records Manager), is responsible for defining policy, drawing up guidance for good records management practice and promoting compliance. The Records Manager provides advice on Records Management issues

and related compliance areas such as the Data Protection and Freedom of Information Acts.

3.3 All Managers' have overall responsibility, as 'data owners', for supporting the management of records generated by their department's/team's activities, and should ensure that:

- adequate records are kept of the activities for which they are accountable,
- the records created, received and controlled within the purview of their department, unit or project, and the systems (electronic or otherwise) and procedures they adopt, are selected and managed in a way which meets the aims of SEStran's records management policy and any other relevant contractual requirements
- staff inductions cover policies and procedures and staff and have access to relevant training opportunities.

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3.4 Other staff may have specific responsibilities for records as part of their role e.g. Business Support and should follow relevant SEStran policy and guidance for the specific types of records that they manage.

4 Relationship with existing policies and legislation

4.1 This Records Management Policy has been formulated within the context of SEStran policies, guidelines and national legislation and is intended to act as a framework to support standards and promote compliance with legislative and regulatory environments. Key policies and legislation related to this policy are cited below.

SEStran documents

- SEStran Data Protection Policy
- Information Security Policy
- Freedom of Information Policy
- SEStran Publication Scheme
- SEStran Records Management Plan

Legislation (<http://www.legislation.gov.uk/>)

- Data Protection Act 1998
- Equality Act 2010
- Freedom of Information Act 2000
- Human Rights Act 1998
- Public Records (Scotland) Act 2011

6 Contacts

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Review

The Partnership Director and Business Manager are responsible for reviewing this policy. This policy is to be reviewed under the following circumstances

- Annually
- In the event of any changes to legislation