Dumfries and Galloway Integration Joint Board

Draft Records Management Policy

Document Control		Policy No:	TBC
Policy Group	IJB Governance Documents		
Author	Alison Warrick John Mcgonigle	Version No:	0.1
Reviewer	Julie White	Implementation Date:	31st July 2019
Status	Draft	Review Date:	July 2020
Approved By		Last Review Date:	July 2019
Impact Assessed		Data Impact Assessed	

Version Control	Date	Summary of Changes	Name
0.1	03/06/19	Initial Draft	Alison Warrick
0.2	03/07/19	Feedback from Head of Information Governance - NHS	John Mcgonigle

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Section 1 - Introduction

Records Management is the corporate and professional function of managing records to meet the needs of the Dumfries and Galloway Integration Joint Board (IJB), promote business efficiency and provide legal and financial accountability.

The Dumfries and Galloway Integration Joint Board recognises that the effective management of its records, regardless of format is essential to support the functions of the IJB, to comply with legal, statutory and regulatory obligations and to demonstrate transparency and accountability to all its stakeholders.

Records are a vital information asset and a valuable resource for the IJB's decision making processes, policy creation and operations and therefore must be managed effectively from the point of creation or receipt, through their lifecycle, to their ultimate destruction or permanent preservation.

Many of the functions of the IJB are carried out under its direction and on its behalf by its constituent authorities, NHS Dumfries and Galloway and Dumfries and Galloway Council. NHS Dumfries and Galloway and Dumfries and Galloway Council are accountable to the IJB for ensuring that records created on behalf of the IJB in carrying out of functions on its behalf are managed in accordance with their respective Records Management Policies and approved Records Management Plans.

This Policy is intended to cover those records created in relation to those functions of the IJB which are not carried out on its behalf by its constituent authorities.

This Policy along with associated guidance provides the foundation for good records management across the IJB and aims to ensure that:

- Records Management is recognised as a corporate function
- Records created are fit for purpose and support the delivery of efficient services and provide evidence of the activities, business, actions and decisions of the IJB;
- The IJB provides continuity in the event of a disaster;
- The IJB complies with legal requirements;
- The right information is created and kept for as long as it is required;
- Information is stored, used and protected in accordance with the many requirements of its creators, users the IJB, and statutory and regulatory authorities;
- Information is held in a form and manner that helps people access it easily and efficiently;
- Information sharing is managed appropriately;
- Records are stored and maintained in a cost effective manner;
- Better working environments and the identification of opportunities for office rationalisation and increased agile working.

Section 2

It is the policy of the IJB to maintain authentic, reliable and useable records, which are capable of supporting business function and activities for as long as they are required. This will be achieved through the establishment of effective records management policies and procedures and by:

- The development of a business classification scheme to reflect the functions, activities and transactions of the IJB;

- The adoption of the Scottish Council on Archives Records Retention and Disposal Schedules to provide clear guidance regarding the retention and disposal of the IJB;

- The review and consolidation of destruction arrangements to detail the correct procedures to follow when disposing of business information;

- The development of archive transfer arrangements to detail the procedure for identifying and transferring relative records to the IJB's Archive;

- The provision of appropriate training to all staff to ensure that the aims outlined in Section 1 are achieved.

Section 3

The IJB will manage records efficiently and systematically, in a consistent manner to support IJB operations and to meet legislative, regulatory, funding and ethical requirements.

Records will be created, maintained and retained in order to provide information about, and evidence of, the IJB's transactions and activities. Retention schedules will govern the period of time that records will be retained.

A small percentage of the IJB's records will be selected by an appraisal process for permanent preservation. The appraisal process is currently defined in the NHS's Health and Administration Records Management Policy. These records will become part of the IJB's Archive and provide an enduring record of the conduct of the D&GIJB's functions and business.

It is anticipated that Records Management Training will be mandatory for all members of staff.

This document, together with any subsidiary policies and guidance documents available on the NHS intranet, within which records are managed across the IJB.

Section 4 Scope

This Policy applies to all records (regardless of format or technology used to create and store them) that are created, received and maintained by the IJB, other than those records created by NHS Dumfries and Galloway and Dumfries and Galloway Council in carrying out functions on behalf of the IJB. This includes business systems as well as traditional paper correspondence, files and email.

This Policy applies to records throughout their lifecycle, from planning and creation through to disposal.

This Policy is binding on all those who create or use IJB records such as elected members, non-executive board members, (including external bodies third and independent sectors) and consultants in the course of carrying out their duties for the IJB.

Section 5 Responsibilities

All information users are responsible for creating, maintaining and preserving records to which they have access in accordance with this Policy.

The Senior Information Risk Owner (SIRO) for NHS Dumfries and Galloway is also responsible for ensuring that records management practices and procedures are established in line with legal obligations and professional standards for the IJB and for issuing advice and guidance through the Clinical, Care and Governance Committee in order to meet the aims and objectives outlined in the Information Governance Strategy which is still in draft form and associated documents.

The Chief Officer, Chief Finance Officer, and Heads of Service are Information Asset Owners for their service areas and are responsible for ensuring that all records in their area are managed in conformance with this Policy.

The Corporate Governance Officer in their role as records manager is responsible for developing and disseminating policy and guidance and assisting in local implementation.

NHS Dumfries and Galloway archive arrangements will be used for any paper copies of IJB's records that require to be archived.

Anyone acting in breach of this policy, or who do not act to implement it, may be subject to disciplinary procedures or other appropriate sanctions.

Section 6 Monitoring of Compliance

The SIRO along with the Clinical and Care Governance Committee are responsible for the approval of records management policies and overseeing policy implementation across IJB functions.

The SIRO along with the Clinical and Care Governance Committee are also responsible for regular policy reviews; monitoring compliance and the effectiveness of the Records Management Policy across the IJB.

The Policy will be reviewed at least every two years in order to take account of any new or amended legislation, regulations or business practices.

Section 7 Implementation

This document forms part of the IJB's overall records management framework, together with the following policies and guidance:

- NHS Dumfries and Galloway retention schedules which are incorporated in the NHS Health and Administration Records Management Policy
- NHS Data Protection Policy

In respect of records covered by this policy the following NHS Dumfries and Galloway policies and guidance also form part of the IJB's overall records management framework:

- Health and Administration Records Management Policy

- Acceptable Use of Email Policy

- Freedom of Information Guidance (**the IJB has its own policy**)

- Information Asset Register Guidance

- Code of Corporate Governance

- Information Security Policy

- Open Data Publication Plan

- Physical Files Policy

- Records Management Policy

- Scanning Records Checklist

This Policy along with the policies and guidance listed above will be available to all NHS staff acting on behalf of the IJB via the intranet system.

Appendix 1 Definitions

Document:
A document is any piece of written information in any form, produced or received by an organisation or person. It can include databases, website, email messages, word and excel files, letters and memos. Some of these documents will be short lived or of very short term value and should not be kept in a records management system.

Record:
Documents, regardless of format, which need to be kept as evidence of business transactions, routine activities or as a result of legal obligations and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These should be placed into an official filing system and at this point they become official records. In other words all records start off as documents but not all documents will ultimately become records.

Records Management:
Records management is defined as the field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, distribution, storage and disposal of records.

Records Lifecycle:
This term describes the life of a record from its creation through the period of active use, then in to a period of inactive retention and finally disposal or archival presentation. The following diagram shows the lifecycle of the records we create:

Creation

Distribution and Use

Storage and Maintenance

Retention and Disposition

Archival Preservation
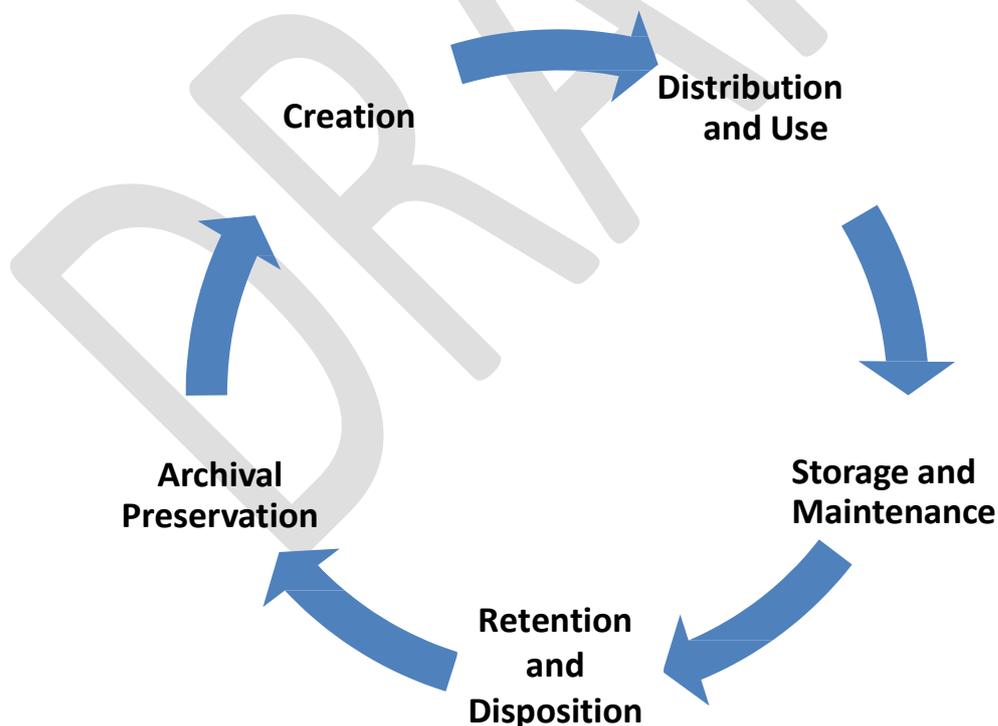
Staff:
As the IJB does not directly employ anyone, when staff are mentioned in this document it relates to members of staff from both organisations who are working on behalf of the IJB.