



Integration Joint Board

24th July 2019

This Report relates to
Item 10 on the Agenda

Records Management Plan and Policy

(Paper presented by Alison Warrick)

For Approval

Approved for Submission by	Julie White, Chief Officer
Author	John McGonigle, Head of Information Governance Alison Warrick, Governance Officer
List of Background Papers	Not Applicable
Appendices	Appendix 1 – Records Management Plan Appendix 2 – Records Management Policy

Direction Required to Council, Health Board or Both	Direction to:	
	1. No Direction Required	X
	2. Dumfries and Galloway Council	
	3. NHS Dumfries and Galloway	
	4. Dumfries and Galloway Council and NHS Dumfries and Galloway	

SECTION 1: REPORT CONTENT

Title/Subject: Records Management Plan and Policy

Meeting: Integration Joint Board

Date: 24th July 2019

Submitted By: Alison Warrick

Action: For Approval

1. Introduction

- 1.1 This Report presents the draft Records Management Plan and draft Records Management Policy which are prepared in accordance with the Public Records (Scotland) Act 2011

2. Recommendations

2.1 The Integration Joint Board is asked to:

- **Approve the Records Management Plan and its submission to the Keeper of the Records of Scotland**
- **Approve the Records Management Policy for implementation, following completion of an Equality Impact Assessment.**

3. Background

- 3.1 Under the terms of the Public Records (Scotland) Act 2011, the IJB is required to prepare and submit a Records Management Plan to the Keeper of the Records of Scotland when requested.
- 3.2 In November 2018 an invitation to submit a Records Management Plan was received.

4. Main Body of the Report

- 4.1 The Public Records (Scotland) 2011 asks that all public authorities are to prepare and implement a Records Management Plan to set out arrangements for the management of records within each public authority.
- 4.2 In November 2018 notification was received from the Keeper of the Records of Scotland to submit a Records Management Plan for the Integration Joint Board.

4.3 The IJB's Draft Records Management Plan is based on the Keeper's published Model Records Management Plan and requires to be supported by wide range of evidence.

4.4 The Draft Records Management Policy (**Appendix 2**), provides a statement of the IJB's proposed intentions and any subsidiary policies under which the IJB's records will be managed.

5. Conclusions

5.1 Based on the information provided, Members are asked to approve these documents for submission and implementation.

SECTION 2: COMPLIANCE WITH GOVERNANCE STANDARDS

6. Resource Implications

6.1 There are no financial implications arising from the content of this report.

7. Impact on Integration Joint Board Outcomes, Priorities and Policy

7.1 The creation of a Records Management Policy and Plan meets with the National Health and Wellbeing Outcomes.

8. Legal & Risk Implications

8.1 As the request to forward a RMP is by invitation this does not pose any legal or risk implication to the IJB.

9. Consultation

9.1 The creation of both Appendices has been with the Information Governance Officer for the NHS who has provided guidance and information.

9.2 The Chief Officer has been consulted with regard to the Plan and Policy.

10. Equality and Human Rights Impact Assessment

10.1 An EQIA is currently being completed in line with this Policy.

11. Glossary

IJB	Integration Joint Board
RMP	Records Management Plan

Dumfries and Galloway Integration Joint Board



DIRECTION

(ISSUED UNDER SECTIONS 26-28 OF THE PUBLIC BODIES (JOINT WORKING) (SCOTLAND) ACT 2014)

1.	Title of Direction and Reference Number	
2.	Date Direction Issued by Integration Joint Board	
3.	Date from which Direction takes effect	
4.	Direction to	
5.	Does this direction supersede, amend or cancel a previous Direction? If yes, include the reference number(s)	
6.	Functions covered by Direction	
7.	Full text of Direction	
8.	Budget allocated by Integration Joint Board to carry out Direction	
9.	Desired Outcomes	
10.	Performance Monitoring Arrangements	
11.	Date Direction will be Reviewed	