



# Dumfries and Galloway Integration Joint Board

## Draft Records Management Policy

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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.

This Policy is intended to cover records created in relation to the functions of the IJB. As all public records of the IJB are held on NHS Dumfries and Galloway IT systems, it will be covered by many of the policies and procedures in place and in particular the NHS Dumfries and Galloway Records Management Plan and Records Management Policy.

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

The IJB Records Management Policy is reflective of the recordkeeping arrangements of the IJB and makes reference to the policy statement of NHS Dumfries and Galloway Records Management Policy in that – *NHS Dumfries and Galloway is committed to a systematic and planned approach to the management of records within the organisation, from their creation to their ultimate disposal.*

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;

Formal adoption of the following NHS Dumfries and Galloway processes in respect of the Integration Joint Board:

- 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 records
- 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 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 and will be in line with Scottish Governments Records Management Health and Social Care Code of Practice (Scotland) 2020.

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 and the aforementioned Scottish Government Code of Practice. 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.

All staff who manage the records of the IJB are employed by NHS Dumfries and Galloway and will therefore undertake Information Governance and Security as part of

their core mandatory training on commencement of employment and throughout their career.

This document, together with any subsidiary policies and guidance documents will be made available on the NHS intranet (Beacon).

#### **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. All records of the IJB are held electronically.

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

This Policy is binding on all those who create records on behalf of 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 Chief Officer is responsible for ensuring that records management practices and procedures are established in line with legal obligations and professional standards for the IJB.

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 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 IJB is responsible for the approval of Records Management Plans and Policies and overseeing policy implementation and review.

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:

- Dumfries and Galloway IJB Records Management Plan
- Dumfries and Galloway IJB Business Classification Scheme and Retention Schedule

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:

- Records Management Plan
- Records Management Policy
- Health and Administration Records Management Policy
- NHS Dumfries and Galloway Business Classification Scheme Framework
- NHS Dumfries and Galloway Information Security Policy
- NHS Confidentiality and Data Protection Policy
- NHS Dumfries and Galloway Fair Warning Guide for Staff
- NHS Dumfries and Galloway Fair Warning Guide for Manager
- NHS Dumfries and Galloway Data Protection Registration
- NHS Dumfries and Galloway Business Continuity Management Overview and Framework
- NHS Dumfries and Galloway Recruitment, Selection and Induction Policy

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 Beacon.

## 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:

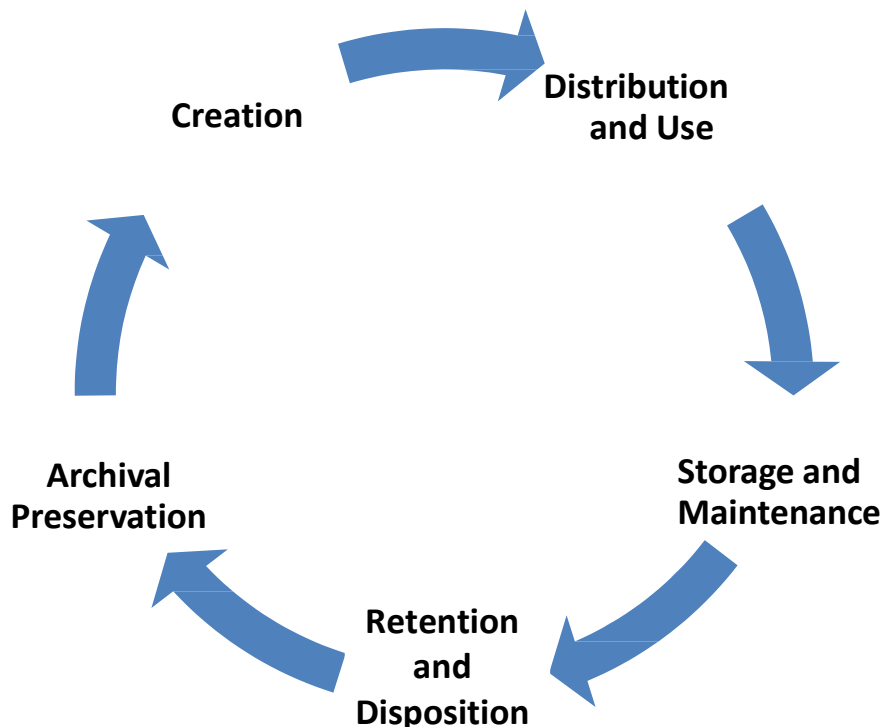
Documents, regardless of format, which need to be kept as evidence of business transactions, routine activities or as a result of legal obligations and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These should be placed into an official filing 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:



**Staff:**

As the IJB does not directly employ anyone, when staff are mentioned in this document, it relates to members of staff from NHS Dumfries and Galloway who are working on behalf of the IJB.