



Dumfries and Galloway
Integration Joint Board

3rd December 2020

This Report relates to
Item 8 on the Agenda

Draft Records Management Plan and Policy

Paper presented by Alison Warrick

For Approval

Author:	Alison Warrick, Corporate Governance Officer
Approved for Submission by:	Julie White, Chief Officer
List of Background Papers:	N/A
Appendices:	Appendix 1 – Draft Records Management Plan Appendix 2 – Draft 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	

1. Introduction

- 1.1 The Public Records (Scotland) Act 2011 came into force on the 1st January 2013, and requires named public authorities to submit a Records Management Plan (RMP) to be agreed by the Keeper of the Records of Scotland. Integration Joint Boards were added to the Act's schedule by the Public Bodies (Joint Working) (Scotland) Act 2014.

2. Recommendations

- 2.1 **The Integration Joint Board is asked to approve for submission to the Keeper of the Records of Scotland:**
- **The Integration Joint Board Records Management Plan**
 - **The Integration Joint Board Records Management Policy**

3. Background and Main Report

- 3.1 In November 2018, the Integration Joint Board was invited to submit an initial Records Management Plan (RMP) to the Keeper of the Records of Scotland.
- 3.2 At the IJB meeting of the 24th July 2019 members approved the initial draft of the Plan for submission to the Keeper alongside the Records Management Policy. This was duly submitted in keeping with the timeframe set out by the Keeper.
- 3.3 In late summer 2019, the National Records of Scotland (NRS) put a hold on assessments of the IJB Records Management Plans with a mind to proposing a single solution to be followed by all Integration Joint Boards. A meeting was held in October 2019 and it became apparent that a single model to be shared with all IJB's was not possible due to differing approaches taken by Boards towards their records management.
- 3.4 In January 2020 we were contacted to ask to reconsider some aspects of the Draft Records Management Plan, namely:
- To determine whose systems the records you consider as being 'IJB Records' are managed and state this clearly in the RMP
 - Once you have identified where your IJB records are managed please check you have not submitted evidence relating to other systems
 - Check that any policy and procedure documents you mention have been supplied in evidence.
 - Please explain how the IJB liaises with the 'host' authority

We were advised that an invitation would be sent in May 2020 inviting us to resubmit the Records Management Plan by the 30th September 2020.

- 3.5 Unfortunately due to the Covid 19 pandemic which no one could have foreseen it was apparent that due to the volume of work being undertaken elsewhere and to revise the Records Management Plan and collate the evidence, that an extension was required and this was granted to the 31st December 2020.
- 3.6 Following discussion with the NRS it became apparent that as the corporate administrative function was housed within NHS Dumfries and Galloway and this was the central office for IJB records it was appropriate to only have the IJB records

	hosted on NHS Dumfries and Galloway systems, this was not clear in the first Records Management Plan, hence the reason for a revision.
3.7	Thereafter with support from the Head of IMT, NHS DG and the Chief Finance Officer a Memorandum of Understanding was drawn up, signed by JW on behalf of the IJB and Jeff Ace on behalf of NHS Dumfries and Galloway to provide clarity and assurance covering the records of the Integration Joint Board. This is submitted to the Keeper as evidence in support of the Records Management Plan, a list of all evidence is appended to the Records Management Plan.
3.8	On completion of the RMP and in line with the proposal to review it and the Records Management Policy, the Policy was refreshed to take into consideration the changes to the Plan. These changes have been minimal.
3.9	The Records Management Plan will be submitted to the Keeper and thereafter an assessment will be undertaken by them, the result of which will be available in Spring 2021.
4.	Conclusions
4.1	Given the information provided within the Records Management Plan and Policy, Members are asked to approve the Plan for submission to the Keeper of the Records of Scotland and the Policy which will be submitted as part of the evidence required.
5.	Resource Implications
5.1	There have been no resource implications as a result of the content of this paper.
6.	Impact on Integration Joint Board Outcomes, Priorities and Policy
6.1	The promotion of good records management practice as outlined in the Records Management Plan meets with Outcomes 8 and 9 of the National Health and Wellbeing Outcomes.
7.	Legal and Risk Implications
7.1	A Records Management Plan for the Integration Joint Board is required under the Public Records (Scotland) Act 2011.
8.	Consultation
8.1	During development of the Records Management Plan the following people/departments have been consulted: <ul style="list-style-type: none"> • Julie White, Chief Officer • Katy Lewis, Chief Finance Officer • Graham Gault, Head of IMT, NHS Dumfries and Galloway • Information Governance team, NHS Dumfries and Galloway • National Records of Scotland
9.	Equality and Human Rights Impact Assessment
9.1	As the content of this Plan does not propose a change in practice an EQIA is not

required at this time.

10. Glossary

10.1 All acronyms must be set out in full the first time they appear in a paper with the acronym following in brackets.

EQIA	Equalities Impact Assessment
IJB	Integration Joint Board
NRS	National Records of Scotland
RMP	Records Management Plan