



Dumfries and Galloway Integration Joint Board

Records Management Policy

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2.2	05/01/2024	Changes made to Section 3 following communication with NHS Dumfries and Galloway's Head of Information Governance	Alison Warrick
2.3	17/01/2024	Change in terminology made following discussion with Director of Strategic Planning and Transformation	Alison Warrick
2.4	19/05/2026	Accuracy check to national policy	Kirsty Bell

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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), to promote business efficiency and provide legal and financial accountability.

The Dumfries and Galloway Integration Joint Board recognises that the effective management of its corporate 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.

This Policy covers the corporate documents of the Integration Joint Board which include, but are not limited to, all Agendas and Reports for the IJB, its Committees and Strategic Planning Group and Strategies, Policies and Procedures, all of which are published on the Health and Social Care Partnership website at www.dghscp.co.uk

Any other records including staff, service users, patients and internal policies and procedures will remain with the constituent authorities; Dumfries and Galloway Council and NHS Dumfries and Galloway (NHSD&G) and do not impact on the IJB's Records Management Policy.

All corporate records of the IJB are held on NHSD&G Information Technology systems, therefore the corporate records of the IJB are covered by many of the policies and procedures of NHSDG.

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 of 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 Policy Statement and Commitment

The IJB Corporate Records Management Policy is reflective of the recordkeeping arrangements of the IJB and makes reference to the policy statement of NHSD&G Records Management Policy – *'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 NHSD&G processes as they relate to 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 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 Policy

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

Records will be 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 the [Records Management Health and Social Care Code of Practice \(Scotland\) 2020](#)

A small percentage of the IJB's corporate 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 Dumfries and Galloway IJB's functions and business.

All staff who manage the corporate records of the IJB are employed by NHSD&G and will be required to complete the Safe Information Handling and Cyber Security modules as part of their core mandatory training on commencement of employment and every two years thereafter for the duration of their service with NHSD&G.

Section 4 Scope

This Policy applies to all records (regardless of format or technology used to create and store them) that are maintained by the IJB. All corporate 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 in their role as Senior Information Risk Owner is responsible for ensuring that records management practises 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.

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 Audit, Risk and Governance Committee of the IJB is responsible for the approval of the Records Management Policy and for 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 Integration Joint Boards Records Management Plan
- Dumfries and Galloway Integration Joint Boards Business Classification Scheme

In respect of records covered by this policy the following NHSD&G policies and guidance also form part of the IJBs overall records management framework:

- Records Management Plan
- Health and Administration Records Management Policy
- Business Classification Scheme Framework
- Information Security Policy

- Confidentiality and Data Protection Policy
- Fair Warning Guide for Staff
- Fair Warning Guide for Managers
- Data Protection Registration
- Business Continuity Management Overview and Framework
- Recruitment and Selection 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.

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:

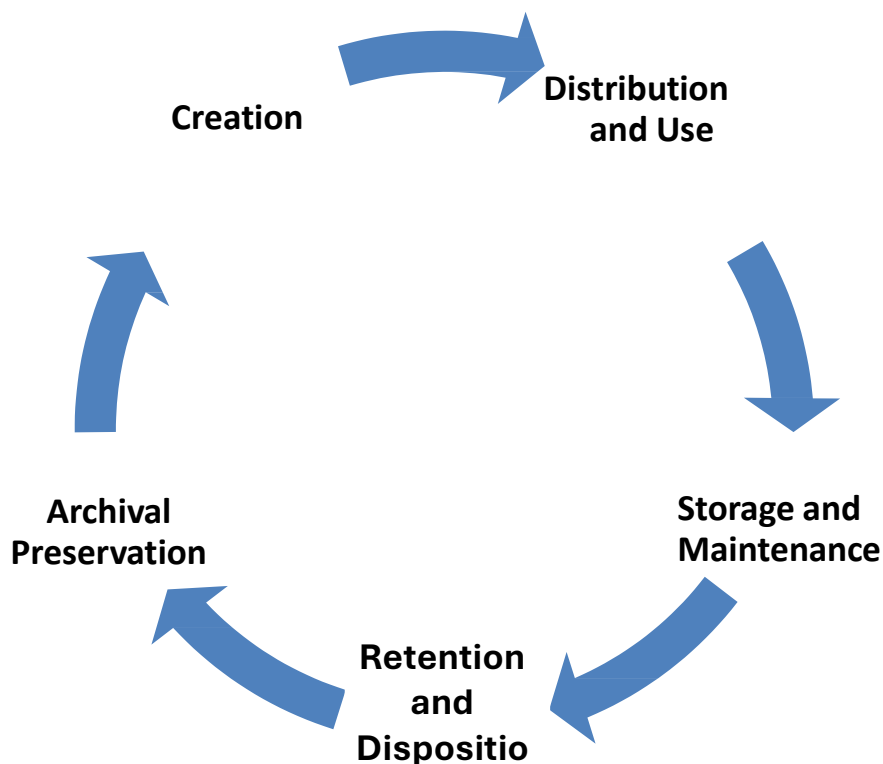
Documents, regardless of format, which need to be kept as evidence of business transactions, routine activities or as a result of legal obligations and which are thereafter retained (for a set period) to provide evidence of its transactions or activities. These should be placed into an official filing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

