



Item 12 Appendix 1

Angus Integration Joint Board

RECORDS MANAGEMENT POLICY

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Amendment Form

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Introduction

- 1.1 Records Management is the corporate and professional function of managing records to meet the needs of the Angus Integration Joint Board (AIJB), promote business efficiency and provide legal and financial accountability.
- 1.2 The AIJB recognises that the effective management of its records, regardless of format is essential to support the functions of the AIJB, to comply with legal, statutory and regulatory obligations and to demonstrate transparency and accountability to all its stakeholders.
- 1.3 Records are a vital information asset and a valuable resource for the AIJB'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.
- 1.4 Many of the functions of the AIJB are carried out under its direction and on its behalf by its constituent authorities, NHS Tayside and Angus Council. NHS Tayside and Angus Council are accountable to the AIJB for ensuring that records created on behalf of the AIJB in carrying out of functions on its behalf are managed in accordance with their respective Records Management Policies and approved Records Management Plans.
- 1.5 This policy is intended to cover those records created in relation to those functions of the AIJB which are not carried out on its behalf by its constituent authorities.
- 1.6 This policy along with associated guidance provides the foundation for good records management across the AIJB 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 AIJB;
 - The AIJB provides continuity in the event of a disaster;
 - The AIJB 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 AIJB, 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 & Commitment

- 2.1 It is the policy of AIJB to maintain authentic, reliable and useable records, which are capable of supporting business functions 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 AIJB;
 - The adoption of the Scottish Council on Archives Records Retention & Disposal Schedules to provide clear guidance regarding the retention and disposal of AIJB 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 procedures for identifying and transferring relevant records to the AIJB's Archive;
 - The development of a mandatory training programme for all staff.

Section 3 Policy

- 3.1 The AIJB will manage records efficiently and systematically, in a consistent manner to support AIJB operations and to meet legislative, regulatory, funding and ethical requirements.
- 3.2 Records will be created, maintained and retained in order to provide information about, and evidence of, the AIJB's transactions and activities. Retention schedules will govern the period of time that records will be retained.
- 3.3 A small percentage of the AIJB's records will be selected by an appraisal process for permanent preservation. The appraisal process is defined in the AIJB's Records Retention and Disposal Guidance. These records will become part of the AIJB's Archive and provide an enduring record of the conduct of the AIJB's functions and business.
- 3.4 Records management training will be mandatory for all members of staff.
- 3.5 This document, together with subsidiary policies and guidance documents available on the [intranet](#) define the framework within which records are managed across the AIJB.

Section 4 Scope

- 4.1 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 AIJB, other than those records created by NHS Tayside and Angus Council in carrying out functions on behalf of the AIJB. This includes business systems as well as traditional paper correspondence, files and email.

- 4.2 This policy applies to records throughout their lifecycle, from planning and creation through to disposal.
- 4.3 This policy is binding on all those who create or use AIJB records such as elected members, non-executive board members, contractors, external bodies and consultants in the course of carrying out their duties for the AIJB.

Section 5 Responsibilities

- 5.1 All information users are responsible for creating, maintaining and preserving records to which they have access in accordance with this policy.
- 5.2 The Senior Information Risk Owner (SIRO) is responsible for ensuring that records management practices and procedures are established in line with legal obligations and professional standards, issuing advice and guidance through the Angus Clinical, Care and Professional Governance Forum in order to meet the aims and objectives outlined in the Information Governance Strategy and associated documents.
- 5.3 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.
- 5.4 The Records Manager is responsible for developing and disseminating policy and guidance and assisting in local implementation.
- 5.5 Angus Council Archivist has responsibility for the AIJB's corporate Archive.
- 5.6 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 Training

- 6.1 A comprehensive training programme will be developed for staff to highlight and increase awareness of their responsibilities in line with data protection, freedom of information and records management.
- 6.2 Heads of Service are responsible for ensuring that all members of staff are aware of the AIJB's policies and procedures.
- 6.3 Additional support and guidance will be provided the Data Protection Officer as required.

Section 7 Monitoring of Compliance

- 7.1 The SIRO along with the Angus Clinical, Care and Professional Governance Forum are responsible for the approval of records management policies and overseeing policy implementation across AIJB functions.

- 7.2 The SIRO along with the Angus Clinical, Care and Professional Governance Forum are also responsible for regular policy reviews; monitoring compliance and the effectiveness of the Records Management Policy across the AIJB.
- 7.3 This 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 8 Implementation

- 8.1 This document forms part of the AIJB's overall records management framework, together with the following policies and guidance:
- Angus HSCP Business Classification Scheme and Retention Schedules
 - Angus HSCP Archiving and transfer of records agreement
 - Angus HSCP Data Protection Guidance
 - Angus HSCP Records Management Plan
- 8.2 In respect of records covered by this policy the following Angus Council policies and guidance also form part of the AIJB's overall records management framework:
- Best practice guidance for scanned formats
 - Email Management Guidance
 - Freedom of Information Guidance
 - Information Asset Register Guidance
 - Information Governance Strategy
 - Information Security Policy
 - Naming Conventions
 - Open Data Publication Plan
 - Physical Files Policy
 - Records Management Guidance
 - Records Retention and Disposal Guidance
 - Scanning records checklist
- 8.3 This policy along with the policies and guidance listed above will be available to all staff electronically.

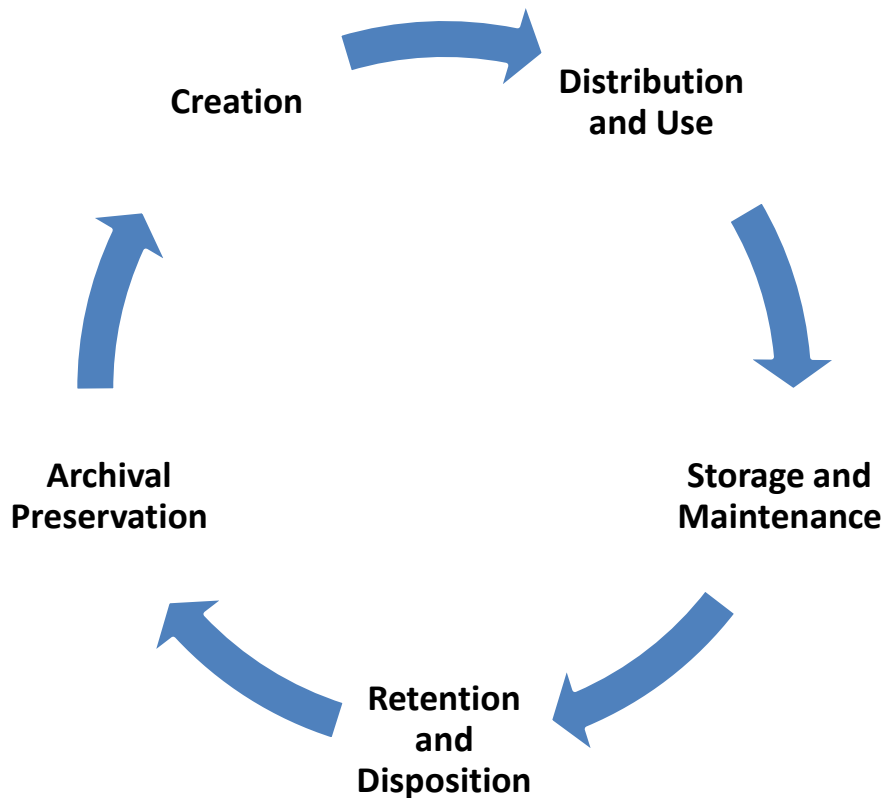
Appendix 1 Definitions

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 (ISO 15489).

Records Lifecycle

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



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 ephemeral 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 may be created, received or maintained in hard copy or electronically. A record has the following essential qualities:

- ***it is present*** (the information needed to evidence and reconstruct the relevant activity or transactions is recorded).
- ***it can be accessed*** (it is possible to discover, locate and access the information, and present it in a way that is true to the original presentation of the information).
- ***it can be interpreted*** (a context for the information can be established showing how it is related to other information, when, where and who created it, and how it was used).
- ***it can be trusted*** (the information and its representation is fixed and matches that which was actually created and used, and its integrity, authenticity and provenance can be demonstrated beyond reasonable doubt).
- ***it can be maintained*** (the record can be deemed to be present and can be accessed, interpreted and trusted for as long as necessary and on transfer to other agreed locations, systems and technologies).

Appendix 2 Legislative and Standards Framework

The management of the AIJB's records is undertaken in line with the legislative and regulatory framework. Compliance with this Policy will facilitate compliance with the all relative acts, regulations and standards.

Standards and Codes of Practice:

The AIJB also aims to operate in accordance with the following best practice standards for record keeping:

- Code of Practice on Records Management issued under Section 61 of the Freedom of Information (Scotland) Act 2002
- BS ISO 15489 Information and Documentation - Records Management
- PD 0010 The principles of good practice for information management
- BIP 0025 Effective Records Management
- BS 10008:2008 Evidential weight and legal admissibility of electronic information