Fife Integration Joint Board

Records Management Policy

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Fife Integration Joint Board – Records Management Policy			

1. Introduction

Records management involves the creation, maintenance, retention and disposal of records in compliance with good practice and relevant legislation (including freedom of information and data protection).

The purpose of this policy is to support the creation, capture and management of authentic, reliable, and useable records that possess integrity, and support and enable business activity for the Fife Integration Joint Board (IJB) for as long as required.

The records of the IJB constitute an auditable account of the Board's business activities, and provide evidence of its strategies, decisions, and transactions.

The IJB maintains an averse/minimalist risk appetite for legal compliance and therefore this policy seeks to ensure the organisation is compliant with all relevant legislation in accordance with that stated risk appetite.

2. Principles

Authenticity
An authentic record is one that can be proven to:

- be what it claims to be;
- have been created or sent by the person stated to have created or sent it; and
- have been created or sent when stated.

Reliability
A reliable record is one:

- whose contents can be trusted as a full and accurate representation of the transactions, activities or facts to which they attest; and
- which can be depended upon in the course of subsequent transactions or activities.

Integrity
A record that has integrity is one that is complete and unaltered.

Useability
A useable record is one:

- that can be located, presented and interpreted within a reasonable timescale;
- connected to the business process or transaction that produced it; and
- has the necessary metadata, for example identifiers, format, and storage location.

3. Definitions

Fife Integration Joint Board
The Fife Integration Board is responsible for the integration of health and social care services in Fife. This includes the planning and delivery of integration arrangements and delegated functions.

The IJB is commonly referred to as the Fife Health and Social Care Partnership – this is the public facing aspect of the Fife Integration Joint Board.

Format
Records can be created in multiple formats including: paper files, hand-written notes, emails and correspondence, audio / visual recordings, digital documents, systems, applications, data, databases, images, photographs and videos.

Record
IJB records are defined as information that has been created, received and maintained by the IJB, either in the course of its business, or in order to provide evidence of its activities. It is important that records are retained for certain periods of time for legal or business reasons.

Records Management
Records management establishes policies and standards for maintaining diverse types of records throughout their lifecycle, from creation to storage and retention, until eventual archival or destruction.

Vital Records
Vital records are the documents and other types of information which are essential to enable the Fife Integration Joint Board to fulfil its functions and conduct its activities effectively.

4. Scope

This policy applies to all of the records created, received or held by the Fife Integration Joint Board. This includes paper and electronic records in all formats, for example hardcopy documents and files, visual images, audio recordings, and electronic information including emails, social media content, webpages and digital documents.

It also applies to IJB data held in the devices, systems, applications and storage media of partner organisations (particularly NHS Fife and Fife Council), in web based and remotely hosted services, as well as personal computers, laptops, tablets and mobile phones.

This policy covers any individual with access to the IJB's information and records, including (but not limited to): Board members, professional advisors, employees of partner organisations, agency and other temporary employees, suppliers, contractors, and other third parties.

5. Roles and Responsibilities

IJB Chief Officer

The Chief Officer, also identified as the Director of Health and Social Care, has senior responsibility for all aspects of the Board's records management. This includes responsibility for:

- The proper governance of information and records under his / her control, and the management of risks relating to these records.
- Selecting suitable individuals to fulfil records management responsibilities and activities for the IJB and the Fife Health and Social Care Partnership.
- Authorising the Business Classification Scheme (BCS) and Retention Schedule for the functions and activities of the IJB.
- Authorising the IJB Records Management Policy.
- Implementation and maintenance of the IJB's Records Management Plan.
- Ensuring that suitable training is provided to all Board members, partnership employees, and other individuals who access the IJB's records.

IJB Chief Finance Officer

The Chief Finance Officer is responsible for:

- Authorising the destruction of records in accordance with the IJB Retention Schedule.
- Developing and maintaining accounting procedures and financial records for the IJB.

IJB Caldicott Guardian

The Caldicott Guardian advises on options to promote lawful and ethical use of IJB records and information. This includes facilitating solutions which support the development and implementation of records management practices in accordance with the IJB Records Management Policy.

IJB SIRO

The Senior Information Risk Owner (SIRO) is accountable for information risk across the IJB. This includes ensuring that everyone is aware of their personal responsibility to exercise good judgement and supporting appropriate management of IJB information and records.

IJB Records Manager

The Records Manager has day-to-day operational responsibility for the Board's records management. This includes responsibility for:

- Developing and maintaining the IJB Records Management Policy, standards, procedures and guidance.

- Ensuring that the Records Management Policy is maintained and reviewed at least annually, and for providing advice and guidance on implementation.
- Developing and maintaining the BCS and Retention Schedule, and providing advice on retention periods.
- Liaising with the nominated records managers of partner agencies to help facilitate effective cooperation between the IJB and these organisations.
- Working with the appropriate repository for the permanent preservation of the IJB records that have been selected for permanent preservation.
- Ensuring regular contact with the Keeper of the Records of Scotland to ensure compliance with national standards including the Records Management Plan agreed with the Keeper.

IJB Board Members
Acting in their capacity as members of the IJB, individuals have a responsibility to ensure that they create and maintain records that meet the legal, regulatory, financial, operational and archival / historical needs of the Fife Integration Joint Board.

Service Managers and Team Managers
All managers are directly responsible for implementing the IJB's records management policies, procedures and guidelines within their areas of responsibility.

Managers must ensure that the employees that they are responsible for are adequately trained and understand their responsibilities when accessing IJB records.

All Individuals
All individuals with access to IJB information and records are responsible and accountable for creating and keeping accurate and complete records of their business activities. All data processing must comply with the IJB's Records Management Policy, related procedures and guidance

Partner Organisations
Fife Council Head of ICT, and NHS Fife Associate Director of Digital and Information, are responsible for the security and storage of IJB records held within the partners electronic infrastructure, or in web-based / hosted systems, and the management of all risks relating to the security and storage of that information.

6. Legislation, Regulation and Standards

This policy and associated records management guidance have been developed within the context of national legislation, professional standards, and codes of practice. Specifically, this includes:

- Public Records (Scotland) Act 2011
- Data protection legislation including UK GDPR (UK General Data Protection Regulation) and the UK Data Protection Act 2018
- Freedom of Information (Scotland) Act 2002
- Code of Practice on Records Management issued under Section 61 of the Freedom of Information (Scotland) Act 2002
- BS ISO 15489-1:2016 Information and documentation – Records management
- The records management policies and procedures of key partners, particularly Fife Council and NHS Fife.
- In addition, some records will be subject to other legislation or requirements covering their specific subject area.

7. Migration and Disposition

The process of migrating IJB records between business and / or records systems, including the migration of records between partner systems, or format conversion such as digitisation, must be planned, documented, and communicated effectively to relevant individuals in accordance with the principles of this policy.

Disposition of IJB records must be authorised by the Chief Finance Officer and carried out in accordance with relevant retention schedules.

8. Review

This policy will be reviewed annually, or sooner if required.

REVISION HISTORY

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