



RECORDS MANAGEMENT POLICY

Aberdeen City Integration Joint Board

ABSTRACT

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 Aberdeen City Integration Joint Board (IJB) for as long as required.



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1. Introduction

The Aberdeen City Health and Social Care Partnership (ACHSCP) formally came into existence in February 2016 with the approval of its Integration Scheme by Scottish Ministers. The Integration Joint Board (IJB) – the Partnership’s board of governance, strategy and scrutiny – became responsible for its delegated health and social care functions on the 1st of April 2016. This record management policy relates to the Integration Joint Board.

A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager.

2. What is Records Management?

Records management can be defined as the process whereby an organisation manages its records, whether created internally or externally and in any format or media type, from their creation or receipt, through to their destruction or permanent preservation.

Records management is about placing controls around each stage of a record’s lifecycle, at the point of creation (through the application of metadata, version control and naming conventions), during maintenance and use (through the management of security and access classifications, facilities for access and tracking of records), at regular review intervals (through the application of retention and disposal criteria), and ultimate disposal (whether this be recycling, confidential destruction or transfer to the archive branch for permanent preservation). By placing such controls around the lifecycle of a record, we can ensure they demonstrate the key attributes of authenticity, reliability, integrity and accessibility, both now and in the future.

3. Policy Statement and Commitment

It is the policy of the Aberdeen City Integration Joint Board to maintain authentic, reliable and useable records, which are capable of supporting business functions and activities for as long as they are required.



4. Principles

1. IJB records must be accurate, authoritative and comprehensive in content in order to provide reliable evidence of IJB business.
2. IJB records must be adequate for the IJB business they support and based on good quality data, in accordance with either the Council or NHS Grampian's information governance policies (dependent on originating source)
3. IJB records must be titled and referenced in a manner consistent and relevant to the business activity to ensure that they can be easily retrieved, understood and managed.
4. IJB records should be created in fixed formats where ever possible.

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.



5. Our Records

A record is recorded information, in paper or electronic format, created or received and maintained by the IJB in the transaction of business or the conduct of affairs and kept as evidence of such activity. Records include, but not exhaustively:

- Directions
- Accounts
- Strategies and policies
- Annual reports
- Minutes
- Reports
- Any IJB complaints

For the purposes of the IJB, a record is recorded information that has been created or received by the IJB in the regular course of its business activities or in the pursuance of legal transactions.

As such, all records are the property of the IJB. This applies regardless of the physical location of the record, or whether it is held in off-site storage (i.e. deposited with a 3rd party organisation specifically contracted to store information on behalf of the IJB), in a partner organisation asset (Council or NHS Grampian) or within a service provider's system.

We retain records that provide evidence of our functions, activities and transactions, for:

- **Operational Use** – to serve the purpose for which they were originally created, to support our decision-making processes, to allow us to look back at decisions made previously and to learn from previous successes and failure, and to protect the organisation's assets and rights.
- **Internal and External Accountability** – to demonstrate transparency and accountability for all actions, to provide evidence of legislative, regulatory and statutory compliance and to demonstrate that all business is conducted in line with best practice. IJB records constitute an auditable account of the Board's activities, which provides evidence of the business, actions, decisions and resulting policies formed by the organisation.
- **Historical and Cultural Value** – to protect and make available the corporate memory of the organisation to all stakeholders and for future generations.



Records represent a vital asset, which support the daily functions of the IJB and protect the interests and rights of staff, service users, patients and members of the public who have dealings with this authority. Effective record keeping supports efficiency, consistency and continuity of work and enables the IJB to deliver a wide range of sustainable services.

It ensures that the correct information is:

- Captured
- Stored
- Maintained
- Retrieved and destroyed
- Preserved in accordance with business need, statutory and legislative requirements. Records management is an essential part of enabling the IJB to achieve priority outcomes that reflect what is most important to the people and communities of Aberdeen City.

6. Scope:

The IJB Record Management Policy applies to:

- All records which are created received and managed in the course of IJB business (IJB Records) 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 Grampian and Aberdeen City 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):
 - All voting and non-voting members and any other Council or NHS Grampian officer when acting in IJB business; and
 - All third parties and contractors performing a statutory IJB function or service



7. Roles & Responsibilities

The lead responsible officer for records management in the Aberdeen City Integration Joint Board is the Chief Officer. With the support of the Business Manager, they have responsibility for ensuring compliance with this records management policy. The partnership's Leadership Team provides the governance framework within which this compliance is evidenced.

The Aberdeen Integration Joint Board is the owner of all IJB records, including those created by Council or NHS Grampian employees, volunteers, people on work placements and elected members, contractors or consultants when acting in IJB business.

8. 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 GDPR (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 Aberdeen City Council and NHS Grampian.

In addition, some records will be subject to other legislation or requirements covering their specific subject area.

9. Storage:

IJB records must be adequately protected and stored securely to prevent unauthorised access.



Electronic IJB records must be stored on either the Council or NHS Grampian's network in folder structures clearly identified for IJB business or in valid electronic record keeping systems.

Physical IJB records no longer needed for immediate or routine use should be sent to the Aberdeen City Council Records Centre for storage and management.

IJB records must always be retrievable for business, performance, audit and public rights of access purposes up until they are destroyed.

10. Management:

The IJB does not have its own IT system, associated storage equipment and infrastructure. As such it must rely on both the Aberdeen City Council and NHS Grampian's assets for the day-today administration of its business.

The IJB business records categories identified at 5 above, are exclusively electronic in nature and are managed through Aberdeen City Council's records management policies and protocols. To support this, a Memorandum of Understanding has been documented and signed by the relevant parties from the Council and the IJB.

IJB records must have access controls and audit logging in place that are appropriate to the sensitivity and risk of their content.

Primary IJB records which have been published (meetings, minutes, reports) must remain accessible and usable for as long as they are required to be solely managed, retained and archived under the Aberdeen City Council's information governance policies.

Secondary IJB records which have been created for the purposes or for the attention of IJB business (e.g. accounts, emails, complaints) will be subject by the hosting organisation's respective information governance policies.

IJB records must not be distributed or copied unnecessarily.

11. Disposal:

No IJB record may be destroyed without appropriate authorisation and due regard to both legal obligations.



All destructions of IJB records must be logged by the disposing business unit. This log must be kept for no less than 20 years on a rolling basis.

- **Primary IJB records:** must never be destroyed – they will be held permanently.
- **Secondary IJB records:** must be destroyed securely, in compliance with the hosting organisation procedures.

12. Reporting Records Management Issues:

The records management statement should include a description of the mechanism for records management issues being disseminated through the authority and confirmation that regular reporting on these issues is made to the main governance bodies.

13. Review

This policy will be reviewed annually or sooner if required.

14. Revision History

Date	Revision	Created By
19.02.2019	Initial Draft	S. Gibbon
21.07.20	Second Draft	N. Buck



Appendix 1 – Definitions

Aberdeen City Integration Joint Board	The Aberdeen City Integration Joint Board is responsible for the integration of health and social care services in Aberdeen City. This includes the planning and delivery of integration arrangements and delegated functions. The IJB is commonly referred to as the Aberdeen City Health and Social Care Partnership – this is the public facing aspect of the Aberdeen City 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, 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 Aberdeen City Integration Joint Board to fulfil its functions and conduct its activities effectively.