Records Management Policy

Integration Joint Board

Document Control Sheet

Review / Approval History

Date.	Name.	Position.	Version Approved.

Change Record Table

Date.	Author.	Version.	Status.	Reason.

Status Description

Final – The document is complete and is not expected to change significantly. All changes will be listed in the change record table.

Contents

Definitions

Record

A record is recorded information, in any form, including data in systems, created received and maintained by the Orkney Integration Joint Board (the "Board") and kept as evidence of an activity.

Vital Records

This is a record without which an organisation would be unable to function or to prove that a key activity had taken place.

Format

A record can be in any format including (but not limited to) paper files, e-mail, audio/visual, electronic documents, systems data, databases, digital images and photographs.

Records Management

The control of the Board records during their lifetime, from creation to storage, until archiving or destruction.

Record Keeping System

A system or procedure by which the records of the Board are created, captured, secured, maintained and disposed of.

1. Policy Statement

The records of the Board constitute an auditable account of the Board's activities. They provide evidence of the business, actions, decisions and policies created by the Board.

Records represent a vital asset. Effective record keeping supports efficiency, consistency and continuity of work and enables the Board to fulfil its role. It ensures that the correct information is captured, stored, maintained, retrieved and destroyed or preserved in accordance with business need, best practice and the law.

Records management is an essential part of enabling the Board to achieve priority outcomes that reflect what is most important to the people and communities of Orkney. The Board will maintain a Records Management Plan, policies, procedures and practices across all its service areas. These will be based upon the requirements of the Public Records (Scotland) Act 2011 and the principles detailed below.

2. Objectives

The key objectives of this Policy are to establish:

- Awareness of records management principles, roles and responsibilities within the Board.
- A common and consistent approach to Records Management.
- Compliance with legislation relating to Records Management.
- Arrangements for monitoring and reporting on Records Management.

3. Scope

This policy applies to all aspects of Board operations including:

- All staff and those performing a function on behalf of the Board.
- All records in all formats.
- Business information systems used to create, store, maintain and archive or dispose of records.

4. Principles

The following principles will drive activities relating to records management:

- Records are a valuable resource and must be managed as such.
- Records are maintained in accordance with legislation.
- Records are stored within record keeping systems rather than in personal filing.
- Records are shared and not duplicated.
- Records are stored in a consistent manner that reflects Board functions.
- Records are appropriately secured.
- Records are easily accessible for as long as they are required.
- Records that are identified as vital are protected accordingly.

- Records that are identified as of historical significance are preserved.
- Records are disposed of in accordance with approved Record Retention Schedules.
- Records management procedures are understood by all staff and staff are appropriately trained.
- Records management is a responsibility of all staff.
- Records management practices comply with corporate policy, procedures, best practice and the law.
- Record keeping systems manage records throughout their lifecycle.
- Records management practices will support Board values.

5. Benefits

The benefits of effective records management for the Board are:

- Accurate and reliable records that are created, stored and disposed of in a managed environment.
- Increased efficiency and effectiveness.
- Accurate and timely retrieval of records through effective filing schemes.
- Savings in administrative costs.
- Support and achievement of business objectives and targets.
- Better use of Board facilities as records are retained for no longer than is necessary through use of retention schedules.
- Compliance with legislation or guidelines governing the retention of local authority records.
- Identification of records of historical value for permanent retention at the earliest possible moment.
- Records are created and managed in the most appropriate medium.
- Improved compliance with access to information legislation.
- Records are maintained adequately for the purposes for which they are kept.

6. Roles and Responsibilities

All processes and procedures relating to records must comply with and support this policy. Overall responsibility and accountability for ensuring that all staff and associated third parties comply with information legislation, this Policy and associated policies and procedures lies with the Board's Chief Officer. The Board's Chief Officer will act as the Board's Senior Information Risk Owner. S/he has strategic responsibility for information governance.

Head of Legal Services

The Council's Head of Legal Services will monitor compliance with information legislation and this Policy across Board.

7. Legislative and Standards Framework

This Policy and the associated records management guidance have been developed within the context of national legislation, professional standards and codes of practice As far as is practical, this Policy and associated policies and procedures will address the records management principles found in relevant legislation, standards and codes of practice, including:

- Legislation:
  - o Public Bodies (Joint Working) (Scotland) Act 2014.
  - o Adults with Incapacity (Scotland) Act 2000.
  - o Age of Legal Capacity (Scotland) Act 1991.
  - o Computer Misuse Act 1990.
  - o Copyright, Designs and Patents Act 1988.
  - o Data Protection Act 2018.
  - o General Data Protection Regulation.
  - o Environmental Information (Scotland) Regulations 2004.
  - o Freedom of Information (Scotland) Act 2002.
  - o Inspire (Scotland) Regulations 2009.
  - o Human Rights Act 1998.
  - o Local Government (Scotland) Act 1994.
  - o Public Records (Scotland) Act 2011.
  - o Regulation of Investigatory Powers (Scotland) Act 2000.
  - o Re-use of Public Sector Information Regulations 2015.
  - o Carers (Scotland) Act 2016.
  - o Children (Scotland) Act 1995.
  - o Adoption and Children (Scotland) Act 2007.
  - o Children's Hearing (Scotland) Act 2011.
  - o Children and Young People (Scotland) Act 2014.
  - o Social Care (Self Directed Support) (Scotland) Act 2013.
  - o Frank's Law (free personal care for under 65's).

- Standards:
  - o BS ISO 15489 – Information and Documentation - Records Management. Ensures that policies and procedures are in place.
  - o BIP 0025 – Effective Records Management. For introducing best practice quality initiatives; legal and regulatory compliance in the management of records.

- BS 10008:2008 – Evidential weight and legal admissibility of electronic information. Where significant amounts of an organisation's information is in electronic format this standard is relevant.

- Code of Practice:
    - Code of Practice on Records Management issued under Section 61 of the Freedom of Information (Scotland) Act 2002.
    - SSSC Codes of Practice.

8. Monitoring and Reporting

This Policy will be reviewed annually by the Board's Chief Officer.

A review of the Board's compliance with relevant legislation and best practice will be reported to elected members on an annual basis.

9. Further Information and Guidance

For enquiries relating to Records Management Policy, please contact:

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