Midlothian Integration Joint Board

Midlothian Health & Social Care Partnership

Thursday 25th August 2022, 14.00-16.00

Record Management Plan Update

Item number:	5.4

Executive summary

This report updates the IJB Board on the Records Management Plan (RMP), details the recommended updates to the RMP and provides information on outstanding actions which need to be resolved prior to resubmission of the RMP to the Records Keeper of Scotland.

Board members are asked to:

- Agree the recommended updates as detailed in this paper.
- Note the actions and agree to review the completed Records Management Plan at a later meeting to allow the re-issue to the Records Keeper.
- Agree to receive quarterly updates on progress against the finalised action plan.

Record Management Plan Update

1 Purpose

1.1 The purpose of this report is to update members on the required updates and recommendations for the IJB Record Management Plan. Following the completion of proposed amendments, the IJB Records Management Plan will be submitted to the Record Keeper for review and feedback. This will form our action plan, the progress on which will be communicated to the IJB.

2 Recommendations

2.1 As a result of this report Members are asked to:

- Agree the recommended updates as detailed in this paper (3.3)
- Note the actions and agree to review the completed Records Management Plan at a later meeting to allow the re-issue to the Records Keeper (3.4)
- Agree to receive quarterly updates on progress against the finalised action plan.

3 Background and main report

3.1 The Public Records (Scotland) Act 2011 requires the IJB to develop a Records Management Plan (RMP). The IJBs current RMP was submitted to the Records Keeper in 2018. Recommendations were received from the Records Keeper in 2019, but due pressures relating to the pandemic, work in this area was put on hold. There have been various changes to the management structure and we are looking to revise our RMP for resubmission to the Records Keeper in order to provide assurance that the IJB is meeting legislative requirements in relation to records management.

3.2 The RMP conforms to the model Records Management Plan as set out by the Keeper of the Records of Scotland, in accordance with the provisions of the Public Records (Scotland) Act 2011.

This RMP covers Midlothian Integration Joint Board, referred to as 'the IJB' throughout.

The RMP outlines and evidences the IJB's policies and procedures regarding the creation, use, management, and disposal of the public records it creates and uses in pursuance of its statutory functions.

In line with the model plan, the IJB's RMP addresses 14 elements:

Element 1: Senior management responsibility
Element 2: Records manager responsibility
Element 3: Records management policy statement

Element 4: Business classification
Element 5: Retention schedule
Element 6: Destruction arrangements
Element 7: Archiving and transfer arrangements
Element 8: Information security
Element 9: Data protection
Element 10: Business continuity and vital records
Element 11: Audit trail
Element 12: Competency framework for records management staff
Element 13: Assessment and review
Element 14: Shared Information

3.3   Recommended updates for agreement
- Element 1 – Senior management responsibility
  - Removal of Allister Short and replacement with Morag Barrow as Chief Officer, Midlothian IJB

- Element 2 – Records manager responsibility
  Amendment to Operational Officers responsible for records management:
  - Roxanne Watson is now Executive Business Manager
  - Removal of Tom Welsh as Integration Manager
  - Removal of secondary NHS Lothian Operational Officer

- Element 13 - Assessment and review
  - References to Joint Management Team updated to Senior Management Team to reflect new governance structures.
  - Addition of commitment to review the RMP every six months at Strategic Planning Group.

3.4   Actions for noting only
- A requirement for a formal agreement to be put in place regarding permanent preservation.
- Requirement to review and agree a local RMP planning group to provide further assurance to our governance of Records Management.

4   Policy Implications

4.1   The RMP is required under the Public Records (Scotland) Act 2011.
4.2   Our partners NHS Lothian and Midlothian Council maintain local records management policies.

5   Directions

5.1   N/A

6   Equalities Implications

6.1   None

Midlothian Integration Joint Board

7 Resource Implications

7.1 Requirement to identify suitable Information Governance resource to support the execution of the IJBs RMP.

8 Risk

8.1 The recommendations set out in this report will allow the RMP to be updated to ensure the IJB meets its obligations in respect of the Public Records (Scotland) Act 2011. Once the plan is completed, approved by IJB and approved by the Record Keeper, the IJB will have met legislative requirements. Not completing this work risks breaching the legal requirements of records management and associated reputational damage.

9 Involving people

9.1 By refreshing our RMP and investing time in structuring our record management responsibilities and requirements as detailed in the outstanding actions above, the RMP will help ensure compliance with legislative, regulatory and best practice standards.

The ongoing development of the RMP will need to be supported by Midlothian Council and NHS Lothian Information Governance Officers, the HSCP Senior Management Team and IJB members.

10 Background Papers

10.1 None

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