

CÙRAM IS SLAINTE NAN EILEAN SIAR

INTEGRATION JOINT BOARD AUDIT & RISK COMMITTEE



Meeting date:	03 October 2023
Item:	5.4.1
Title:	IJB Records Management Plan
Responsible Officer:	Nick Fayers, Chief Officer
Report Author:	Michelle McPhail, Corporate Business Manager, NHSWI

1 Purpose

This is presented to the Integration Joint Board Audit & Risk Committee (IJBARC) for:

- Decision

This report relates to a:

- Government policy/directive
- Legal requirement

Competence:

- Legal impact - has been appropriately discussed

2 Report summary

2.1 Situation

To advise the Integration Joint Board Audit & Risk Committee of the progress to establish a Records Management Plan in compliance with the Public Records (Scotland) Act 2011.

2.2 Background

The Public Records (Scotland) Act 2011 requires all named Scottish Public authorities to submit a Records Management Plan for approval by The Keeper of the Records of Scotland. The Plan should set out proper arrangements for the management of their records, and this is relevant to any format of a record – paper, electronic, digital.

The Keeper of the Records of Scotland, another statutory title of the Chief Executive of the National Records of Scotland. They are responsible to the Scottish Ministers for the

management of certain functions of the National Records of Scotland, and to the Lord President of the Court of Session for the efficient management of the court and other legal records in Scotland.

2.3 Assessment

The initial draft of the IJB Records Management Plan was submitted to the Keeper in 2021 for their consideration. Due to the pandemic the review of the Plan by the Keeper's assessment team was delayed and it was in March 2023 that the Western Isles Integration Joint Board obtained agreement on the submitted Plan.

To ensure that the IJB is compliant with Section 5 of the Act, it has a duty placed upon it to:

- ✚ Keep its Records Management Plan under review, and
- ✚ If the Keeper so required carry out a review of the plan by such a review date as the Keeper may determine in accordance with the Act.

The Plan is dependent upon the development of services in conjunction with the IJBs Parent Bodies. The 4 specific areas where further development is required is:

1. Business Classification – section 4
2. Destruction Arrangements – section 6
3. Business Continuity and Vital Records – section 10
4. Audit trail – section 11

Noted in appendix 2 is the full Records Management Plan and at appendix 3 is the Keeper of Records Scotland's formal response.

An annual review of the Records Management Plan will be undertaken and reported to the IJB Audit & Risk Committee to ensure scrutiny of the Plan is continually undertaken and recorded.

2.3.1 Quality/ Patient Care

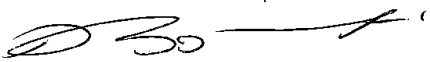
The report does not make any specific reference on the provision of quality of care (and services).

2.3.2 Workforce

There is no direct impact on staff including resources, staff health and wellbeing contained with the report.

2.3.3 Financial

At this point in time, the report does not make any specific reference to financial need, however if in addressing any one aspect of the Plan there is a financial requirement this will be presented for agreement.

Accountants Name	Signature
Debbie Bozkurt	

Comment from the Chief Finance Officer:

There is no financial requirement from this report, however noted any requirement in the future would be presented for agreement

2.3.4 Risk Assessment/Management

There is a potential risk associated with non-compliance of the statutory requirement placed on the IJB to maintain regular review and implementation of the Plan.

To mitigate the potential risk, an annual review of the Plan will be undertaken and the findings presented to the IJB Audit & Risk Committee.

2.3.5 Equality and Diversity, including health inequalities

An impact assessment has not been completed because it is not relevant to the purpose of this report.

2.3.6 Climate Emergency and Sustainability Development

State how this report will support or impact on the Scottish Government's policy on Global Climate Emergency and Sustainability Development DL(2021)38.

There are no direct impacts on Climate Emergency or Sustainability noted in the report.

2.3.7 Other impacts

No other relevant impacts.

2.3.8 Communication, involvement, engagement and consultation

The Plan does not require the involvement or engagement of external stakeholders.

2.3.9 Route to the Meeting

The report has not been discussed by any other group.

- Initial discussion IJB Audit & Risk Committee 03 October 2023

2.4 Recommendation

- **Discussion** – Examine and consider the implications of a matter. To obtain assurance through discussion.

3 List of appendices

The following appendices are included with this report:

- Item 5.4.1.1 - Appendix 1 – Letter of agreement from Laura Mitchell, Deputy Keeper of the Records of Scotland
- Item 5.4.1.2 - Appendix 2 - IJB full Records Management Plan
- Item 5.4.1.3 - Appendix 3 – The Keeper of the Records of Scotland response to the full Plan.