

PROCEDURE REF NO: SABP/SERVICE IMPROVEMENT/0036

PROCEDURE	Records Management Strategy
REASON FOR THE PROCEDURE:	Sets out the approach taken within the Trust to provide a robust Records Management framework for the current and future management of information.
WHAT THE PROCEDURE WILL ACHIEVE:	A systematic and planned approach to Records Management from creation to disposal.
WHO NEEDS TO KNOW ABOUT IT:	All Trust staff
DATE APPROVED:	November 2014
VERSION NUMBER:	5.0
APPROVING COMMITTEE:	Executive Board
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AUTHOR/REVIEWER:	Records Manager
DIRECTORATE RESPONSIBLE:	Quality
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RECORDS MANAGEMENT STRATEGY

VERSION CONTROL SHEET

Version	Date	Author	Status	Comment
Final	11.08.10	Elaine Gould		
V2	15.09.11	Ann Stevenson		Strategy renamed and incorporated into Records Management Policy – See details of amendments on following sheet.
V3	23.09.13	Ann Stevenson		Action Plan updated.
V4	24.10.14	Ann Stevenson Clare Roughley	Reviewed Amendments	Strategy reviewed and updated
V4.1	28.10.14	Ann Stevenson Clare Roughley	Amendments	As per attached sheets
V4.1	3.11.14 2014	Clare Roughley		Formatting
V4.1	10.11.14	Clare Roughley	Amendment	As detailed on attached sheet

Summary of Changes since Version Final

Page /Paragraph/ Appendix Number (select the appropriate action)	Original / New / Amendment / Deleted – Statement (select the appropriate action)
Front page	<p>Information Lifecycle (Records Management) Strategy renamed Records Management Strategy</p> <p><i>Removed:</i></p> <ul style="list-style-type: none"> • better use of physical and server space; • better use of staff time; • improved control of valuable information resources; • compliance with legislation and standards <p><i>Add:</i></p> <p>A systematic and planned approach to records management from creation to disposal.</p> <p><i>Removed:</i></p> <p>18 October 2011</p> <p><i>Add:</i></p> <p>November 2014</p> <p><i>Removed:</i></p> <p>Version 2.0</p> <p><i>Add:</i></p> <p>Version 4.0</p> <p><i>Removed:</i></p> <p>18 October 2011</p> <p><i>Add:</i></p> <p>November 2014</p> <p><i>Removed:</i></p> <p>18 October 2014</p> <p><i>Add:</i></p> <p>November 2017</p> <p><i>Removed:</i></p> <p>'and Performance'</p>
Page	Records Management Strategy incorporated into Records Management Policy as a procedure thereof
4.	<i>Removed:</i> Page 4 (Records Management Strategy, September 2011, Contents)
5.	<p><i>Introduction Add:</i> Policy and procedures and the Information Governance and Security</p> <p>Legislation: Amendments</p> <p>The Caldicott Information Governance Review of Personally Identifiable Information 12 September 2013</p> <p>Caldicott Guardian Manual 21010</p> <p>International Standard on Records Management ISO 15489</p> <p>Information Security Standards ISO 27001</p> <p>Evidential weight & legal admissibility of electronic information BS 10008</p>

	<p><i>Add:</i> Under the Public Records Act 1958 section 3(1)(2) "...the Chief Executive, Directors and Senior Managers ..." are personally accountable for the safekeeping and quality of records management within the Trust. Also under the act all NHS records are defined as public records. The Trust has a duty to identify a senior member of staff to have corporate responsibility for records management.</p>
7. 1.2	<p><i>Add:</i> Information Flow and Asset Registers Review & Risk Assessment Procedure Trust Archiving & Disposal Project Records Management Policy</p>
7. 1.3	<p><i>Add:</i> This document sets out an overarching framework for all clinical and non-clinical records held in any format by the Trust. It defines a strategy for improving the quality, availability and effective use of records in the Trust and provides a strategic framework for all record management activities. <i>Removed:</i> existing</p>
7. 3	<p><i>Removed:</i> Objectives <i>Add:</i> Aims <i>Add:</i> The aims of the Trust's Records Management and Lifecycle strategy comprises of the following key elements:</p> <ul style="list-style-type: none"> • A systematic and planned approach to records management covering records from creation to disposal; • Efficiency and best value through improvements in the quality and flow of information, and greater coordination of records and storage systems; • Compliance with statutory requirements; • Provision of staff training for record keeping issues; • Awareness of the importance of Records Management and the need for responsibility and accountability at all levels; • Formal procedures for closure, disposal and retention of records; and • Appropriate archiving of the Trust's important records
7. 3.1	<p><i>Removed:</i> Strategy and Policy <i>Add:</i> Key elements <i>Removed:</i> 3.1 Strategy and Policy <i>Amend:</i> Change from: 3.2 Responsibility and Accountability to: 4.1 Responsibility and Accountability <i>Add:</i></p>

	It is important that all individuals in the Trust appreciate the need for responsibility and accountability in the creation, amendment, management, storage of and access to all Trust Records. A major target is therefore to have a clear chain of managerial responsibility and accountability for all records created by the Trust. This is the prerequisite for an effectively coordinated records management strategy. This is defined within the Records Lifecycle Management and Information Governance Policy.
7. 3.2	<i>Removed:</i> To ensure that SABP establishes and implements clear lines of accountability and responsibility for records management within the Trust.
7. 3.3	<i>Amend:</i> Change from: 3.3 Management To: 4.1.1 Management
7. 3.3	<i>Removed:</i> To ensure that SABP develops an effective, systematic approach to the management of the Trust's clinical and corporate records. Implementation of a life cycle approach to records management, covering both paper and electronic records from creation to disposal, whilst ensuring the archiving of the Trust's important records. <i>Add:</i> To achieve systematic, orderly and consistent creation, retention, appraisal and disposal procedures for records throughout their life cycle. Record-keeping systems should be easy to understand, clear, and efficient in terms of minimising staff time and optimising the use of space for storage. Records Management is a discipline which utilises an administrative system to direct and control the creation, version control, distribution, filing, retention, storage and disposal of records, in a way that is administratively and legally sound, whilst at the same time serving the operational needs of the Trust and preserving an appropriate historical record.
7. 3.2	<i>Removed:</i> 3.2 Record Lifecycle Management
7.	<i>Amend:</i> Change from: 3.2 Responsibility and Accountability To: 4.1 Responsibility and Accountability
8. 3.2.1	<i>Removed:</i> 3.2.1 Creation, Retention, Appraisal and Disposal <i>To ensure that newly created records are accurate and as complete as possible.</i> <i>After closure, ensure that records are kept and maintained in line with NHS recommended retention periods.</i>

	<p><i>Determine whether records are worthy of permanent archival preservation by the Trust or the Surrey or National Archives.</i></p> <p><i>Securely dispose of records in line with national guidelines.</i></p>
8. 3.2.2	<p><i>Amend:</i> Change from: 3.2.2 Disclosure and Transfer To: 4.1.2 Disclosure and Transfer</p>
8. 3.2.2	<p><i>Remove:</i> Freedom of Information Act <i>Add:</i> Data Protection Act and Freedom of Information requirements.</p>
8. 3.2.2	<p><i>Remove:</i> Ensure that transfer of records between organisations is tailored to the sensitivity of the information within the records.</p>
8. 3.2.3	<p><i>Amend:</i> Change from: 3.2.3 To: 4.1.3</p>
8. 3.2.3	<p><i>Remove:</i> Improve standards of record keeping for clinical and corporate information by use of consistent policies, guidelines and procedures.</p> <p>Develop a clear process for the transition of Trust corporate and clinical records from paper to electronic recording.</p> <p>Improve documentation to support efficiency and best value through improvements in the completeness, accuracy, quality and flow of information for decision support and greater coordination of information records and storage and retrieval systems.</p> <p>Implement the NHS Information Classification standards to further enhance and support the management of the Trust records.</p> <p><i>Add:</i> To achieve systematic, orderly and consistent creation, retention, appraisal and disposal procedures for records throughout their lifecycle.</p> <p>Record-keeping systems should be easy to understand, clear, and efficient in terms of minimising staff time and optimising the use of space for storage. Records Management is a discipline which utilises an administrative system to direct and control the creation, version control, distribution, filing, retention, storage and disposal of records; in a way that is administratively and legally sound, whilst at the same time serving the operational needs of the Trust and preserving and appropriate historical record.</p>
9. 3.2.4	<p><i>Amend:</i> Change from: 3.2.4 Security To: 4.1.4 Security</p>
9. 3.2.4	<p><i>Remove:</i> Improve storage, forensic readiness, retrieval, appropriate archiving and disposal of records and to reduce the potential for</p>

	<p>duplicate/multiple records.</p> <p>Ensure implementation of this strategy supports information governance assurance and the Trust's Information Risk Management Strategy.</p> <p>Ensure the confidentiality, integrity and availability of information records is maintained.</p> <p><i>Add:</i> To provide systems which maintain appropriate confidentiality, security and integrity for records in their storage and use.</p> <p>Records must be kept securely to protect the confidentiality and authenticity of their contents, and to provide further evidence of their validity in the event of a legal challenge. Records must be held securely to protect them from unauthorised or inadvertent alteration or erasure, access and disclosure are properly controlled and audit trails will track all use and changes. To ensure that records are held in a robust format which remains readable for as long as records are required.</p>
9. 3.2.5	<p><i>Amend:</i> Change from: 3.2.5 Audit To: 4.1.5 Audit</p>
9. 3.2.5	<p><i>Remove:</i> Create an inventory of existing records held across the Trust.</p> <p>Develop an audit/monitoring system to ensure the Trust controls and retains records in compliance with its legal, statutory and regulatory requirements in respect of its information records management.</p> <p><i>Add:</i> To audit and measure the implementation of the Records Management Strategy against agreed standards.</p> <p>The performance of the Records Management programme will be audited.</p>
9. 3.3	<p><i>Amend:</i> Change from: 3.3 Staff Training To: 4.1.6 Staff Training</p>
9. 3.3	<p><i>Remove:</i> Improve the awareness of the importance of records management within the Trust and the need for responsibility and accountability at all levels.</p> <p>Develop a training package for record management.</p> <p><i>Add:</i> To provide training and guidance on legal and ethical responsibilities and operational good practice for all staff involved in Records Management.</p> <p>Effective Records Management involves staff at all levels. Training</p>

	and guidance enables staff to understand and implement policies, and facilitated the efficient implementation of good record keeping practices.
9. 3.4	<i>Amend:</i> Change from: 3.4 Records Access To: 4.1.7 Records Access
9. 4	<i>Amend:</i> Change from: 4. Accountability To: 5. Roles and Responsibility
9. 4.1	<i>Amend:</i> Change from: 4.1 Legislation To: 5.1 Legislation <i>Remove:</i> Under the Public Records Act 1958 section 3(1)(2) "...the Chief Executive, Directors and Senior Managers ..." are personally accountable for the safekeeping and quality of records management within the Trust. Also under the act all NHS records are defined as public records. The Trust has a duty to identify a senior member of staff to have corporate responsibility for records management.
9. 4.2	<i>Remove:</i> 4.2 SABP Management Clear lines of accountability for records management have been established in the Trust as follows: Board Level Trust Lead Director } Director of Quality and Performance Caldicott Guardian Senior Information Risk Manager Non clinical records } All Lead Directors Senior Management Associate Directors, General Managers, and Associate Director of Quality Assurance and Reporting. The Information Governance Steering Group. Local Management The responsibility for local records management is devolved via the relevant Executive Director to departmental/service/locality-specific managers as applicable. Local managers have responsibility for the management of records generated by the activities of their departments/service/locality i.e. for ensuring that records controlled within their areas of responsibility are managed in a way which meets the aims of the Trust's record management policies.

	<p>Individual</p> <p>All NHS employees are responsible for any records which they create or use.</p> <p>Everyone working for or on behalf of the Trust who records, handles, stores or otherwise comes across personally identifiable information has a personal common law duty of confidentiality to people who use services and to his/her employer. The duty of confidentiality continues even after the death of the person who uses services or after an employee or contractor has left the NHS.</p>
10. 5	<p><i>Amend:</i> Change from: 5. Implementation and Action plan To: 6. Implementation and Action plan</p>
10. 5.1	<p><i>Amend:</i> Change from: 5.1 Implementation To: 6.1 Implementation</p>
10. 5.1	<p><i>Remove:</i> <i>Implementation of this strategy and action plan will be rolled out across the Trust over the next three years alongside the implementation of the SIRO structure which is currently being piloted within the Trust.</i></p> <p><i>Retention and disposal of any information/records held will be carried out against/ within the priorities, objectives and timescales agreed in the Archiving and Disposal of Records Capital Programme</i></p> <p><i>Add:</i> Ongoing implementation of this strategy and the action plan will be rolled out across the Trust.</p>
Page 14	Delete: intends and add continues
Appendix 1	Definitions added
Appendix 2	Aims of Records Management system added

Action Plan

Action Plan updated

Removed:

Action plan

NHS Foundation Trust

Focus	Task	Action	Responsibility
Trust policy	To ensure that SABP has in place an overall policy statement stating how it will manage all records, regardless of their storage media.	Review and update the Records Management Policy.	Records Manager
		Develop a Record Management and Action Plan for 2013/2014.	AD Performance and Knowledge Management
		Review the Trust-wide record management structure across all Directorates using SIRO structure.	AD Performance and Knowledge Management
		Update Directors details as Information Asset owners for each division.	AD Performance and Knowledge Management
		Review Information Asset Administrators in all teams, services.	AD Performance and Knowledge Management
Creation, Retention & Maintenance	Ensure the creation of relevant records is in line with the Records Management Guidance. All health records are recorded on either the Trust Case Note Tracking System or a similar system	Ensure all divisions have up to date information assets registers to identify records/information created and held through a rolling programme of delivery	AD Performance and Knowledge Management
		Review the process for the creation and filing of paper and electronic records in specific services	AD Performance and Knowledge Management
		All divisions to adopt a standard record keeping/filing system and naming convention to ensure ease of retrieval using the Trust Branding Guidance	I.A.O.

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Focus	Task	Action	Responsibility
		Complete recording of all health records onto either the Trust Case Note Tracking System or a similar system through the implementation of Phase 3 of the Central Records Library Business Case.	Records Managers
Disclosure and Transfer	Ensure the correct disclosure & transfer of health records with Trust partners	Extend the use of Information Sharing Protocols with other providers	AD Performance and Knowledge Management
Records Quality	The Trust will have good quality corporate records management in place	Support will be given to corporate services to improve the storage and quality of corporate records	Records Managers
Security	Improve storage, forensic readiness, retrieval, appropriate archiving and disposal of records and to reduce the potential for duplicate/multiple records.	Ensure all health records are appropriately stored in order to ensure that retrieval is efficient.	Records Managers
	Ensure the confidentiality, integrity and availability of information records is maintained.	Provide guidance to clinical divisions on accessing paper health records from the Central Records Library/Box-It.	Records Managers
		Review IT folders, apply naming conventions and appoint folder owners	AD Performance and Knowledge Management
Audit	Develop an audit/monitoring system to ensure the Trust controls and retains records in compliance with its legal, statutory and regulatory requirements in respect of its information records management.	During the implementation of the Phase 3 business case advise teams on Records Management Security	Records Managers
		Extend Trust Audit programme across the Trust.	AD Performance and Knowledge Management
		Implement an independent audit of central drives to check whether teams have adopted recommended structure, naming conventions and branding guidance	AD Performance and Knowledge Management

Add:

Action Plan

Strategic Goal	Objective	Action	Responsibility & Progress	Target Date
1 Disclosure and Transfer				
1.1 Disclosure and Transfer	Ensure the correct disclosure and Transfer of health records with the Trust partners	Ensure that there are Information Sharing Protocols in place with other providers	AD Performance and Knowledge Management	
2 Record Quality				
2.1 Record Quality	The Trust will have good quality corporate records in place	Support will be given to corporate services to improve the storage and quality of corporate records	AD Performance and Knowledge Management	
3 Security				
3.1 Security	Improve storage, forensic readiness, retrieval, appropriate archiving and disposal of records and to reduce the potential for duplicate/multiple records	Ensure all health records are appropriately stored in order to ensure that retrieval is efficient	Records Managers	
3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	Provide guidance to clinical divisions on accessing paper health records from the	Records Managers	

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		Central Records Library/BoxIt		
3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	Review Trust wide East IT drive structure and implement changes	AD IT/ Performance and Knowledge Management	
3.2 Security		Appoint folder owners for shared drives in the east structure	AD IT/ Performance and Knowledge Management	
3.2 Security		Discuss how to ensure that people get access to shared drives and publish in the e-bulletin	AD IT/ Performance and Knowledge Management	
3.2 Security		During the implementation of the Phase 3 business case advise teams on Records Management Security	Records Managers	
4 Audit				
4.1 Audit	Develop an audit/monitoring system to ensure the Trust controls and retains records in compliance with its legal, statutory and regulatory requirements in respect of its	Extend Trust Audit programme across the Trust	AD Performance and Knowledge Management	
4.1 Audit		Implement an independent audit of central drives to check whether teams have adopted recommended	AD Performance and Knowledge Management	

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Records Management Strategy Version 4.1

Introduction

This document sets out an overarching framework for integrating current Records Management initiatives and recommends new ones. It defines a strategy for improving the completeness, accuracy, quality, availability and effective use of records across the Trust and provides a strategic framework for all Records Management activities. It will enable overall co-ordination of all Records Management activities and ensure alignment with Trust information governance assurance and risk management structures supporting the Trust's business strategies.

This Strategy supports the Records Management Policy and procedures and the Information Governance and Security Policies, in providing the operational guidance to ensure that the objectives are met.

Records are a valuable resource. The Trust understands the importance of robust Records Management and continues to develop a culture within the organisation that encourages all staff to recognise the importance of competent Records Management. Records Management is a key responsibility of all staff and all employees are required to operate within the scope of the Records Management Strategy and policies. These documents are intended to raise the profile of Records Management and to improve the quality and standards across the Trust.

1. Legal and compliance obligations

1.1 Legislation

Under the Public Records Act 1958 section 3(1)(2) "...the Chief Executive, Directors and Senior Managers ..." are personally accountable for the safekeeping and quality of Records Management within the Trust. Also under the act all NHS records are defined as public records. The Trust has a duty to identify a senior member of staff to have corporate responsibility for Records Management.

There are a number of factors driving the development of this Strategy. These include:

- The Caldicott Information Governance Review of Patient Identifiable Information (12 September, 2013)
- Caldicott Guardian Manual (2010)
- Data Protection Act (1998)
- Freedom of Information Act (2000)
- Access to Health Records Act (1990)
- Public Records Act (1958)
- International Standard on Records Management ISO 15489
- Information Security Standards ISO 27001

- Evidential weight & legal admissibility of electronic information BS 10008
- Information Governance Toolkit
- NHS LA standards
- Records Management: NHS Code of Practice (2006) (pt1) & (2009) (pt2)
- Environmental Information Regulations (2004)
- Reuse of Public Sector Information Regulations (2005)
- Care Quality Commission (Registration Regulations) (2009)

1.2 Internal References

- Information Security Policy
- Information Flow and Asset Registers
- Review & Risk Assessment Procedure
- Trust Archiving & Disposal Project
- Records Management Policy and procedures

1.3 Purpose

This document sets out an overarching framework for all clinical and non-clinical records held in any format by the Trust. It defines a strategy for improving the quality, availability and effective use of records in the Trust and provides a strategic framework for all Record Management activities.

2. Scope

For the purpose of this strategy a record is defined as anything that contains information. Whilst this is a broad definition it is the definition that organisations are required to work to in terms of Record Management. Therefore this strategy covers all information recorded in any format within the Trust.

2.1 Record Types

This strategy relates to all clinical and non-clinical operational records held in any format by the Trust, i.e.

- all Corporate records (e.g. personnel, estates, financial and accounting records, complaints, investigations etc.).
- all clinical records for all specialties and including records for private people who use services treated on NHS premises.
- all information held by the Trust e.g. emails, working documents, drafts, leaflets etc.

2.2 Record Media

This strategy includes records held in any format e.g.

- paper records, reports, diaries and registers etc;
- electronic records;
- x-rays and other images;
- microform (i.e. microfiche and microfilm);

- audio and video tapes;
- CCTV.

3. Aims

The aims of the Trust's Records Management Strategy comprises of the following key elements:

- A systematic and planned approach to Records Management covering records from creation to disposal;
- Efficiency and best value through improvements in the quality and flow of information, and greater coordination of records and storage systems;
- Compliance with statutory requirements;
- Provision of staff training for record keeping issues;
- Awareness of the importance of Records Management and the need for responsibility and accountability at all levels; and
- Formal procedures for closure, disposal and retention of records
- Appropriate archiving of the Trust's important records

4 Key Elements

4.1 Responsibility and Accountability

It is important that all individuals in the Trust appreciate the need for responsibility and accountability in the creation, amendment, management, storage of and access to all Trust Records. A major target is therefore to have a clear chain of managerial responsibility and accountability for all records created by the Trust. This is the prerequisite for an effectively coordinated records management strategy. This is defined within the Records Lifecycle Management and Information Governance Policy.

4.1.1 Management

To achieve systematic, orderly and consistent creation, retention, appraisal and disposal procedures for records throughout their life cycle.

Record-keeping systems should be easy to understand, clear, and efficient in terms of minimising staff time and optimising the use of space for storage. Records Management is a discipline which utilises an administrative system to direct and control the creation, version control, distribution, filing, retention, storage and disposal of records, in a way that is administratively and legally sound, whilst at the same time serving the operational needs of the Trust and preserving an appropriate historical record.

4.1.2 Disclosure and Transfer

Develop and maintain clear protocols with other organisations for secure information sharing.

Ensure that people who use our services, their nominated representatives and relevant staff can access and contribute to the information when necessary for compliance.

Ensure that clear protocols exist in line with Data Protection Act and Freedom of Information requirements.

4.1.3 Record Quality

To achieve systematic, orderly and consistent creation, retention, appraisal and disposal procedures for records throughout their lifecycle.

Record-keeping systems should be easy to understand, clear, and efficient in terms of minimising staff time and optimising the use of space for storage. Records Management is a discipline which utilises an administrative system to direct and control the creation, version control, distribution, filing, retention, storage and disposal of records; in a way that is administratively and legally sound, whilst at the same time serving the operational needs of the Trust and preserving and appropriate historical record.

4.1.4 Security

To provide systems which maintain appropriate confidentiality, security and integrity for records in their storage and use.

Records must be kept securely to protect the confidentiality and authenticity of their contents, and to provide further evidence of their validity in the event of a legal challenge. Records must be held securely to protect them from unauthorised or inadvertent alteration or erasure. Access and disclosure are properly controlled and audit trails will track all use and changes. To ensure that records are held in a robust format which remains readable for as long as records are required.

4.1.5 Audit

To audit and measure the implementation of the Records Management Strategy against agreed standards.

The performance of the Records Management programme will be audited.

4.1.6 Staff Training

To provide training and guidance on legal and ethical responsibilities and operational good practice for all staff involved in Records Management.

Effective Records Management involves staff at all levels. Training and guidance enables staff to understand and implement policies, and facilitate the efficient implementation of good record keeping practices.

4.1.7 Records Access

Any NHS record may be subject to information requests under the Freedom of Information Act 2000 and the Data Protection Act (1998).

It is important that records are controlled and managed in order to be able to consider requests for information within the prescribed time limits.

Implement appropriate legitimate relationship management for electronic clinical records.

5. Roles and Responsibility

- Chief Executive
- Directors
- Senior Managers

6. Implementation and Action plan

6.1 Implementation

Ongoing implementation of this strategy and action plan will be rolled out across the Trust.

Action Plan

Strategic Goal	Objective	Action	Responsibility & Progress	Target Date
1 Disclosure and Transfer				
1.1 Disclosure and Transfer	Ensure the correct disclosure and Transfer of health records with the Trust partners	Ensure that there are Information Sharing Protocols in place with other providers	AD Quality and Assurance Reporting	
2 Record Quality				
2.1 Record Quality	The Trust will have good quality corporate records in place	Support will be given to corporate services to improve the storage and quality of corporate records	AD Quality and Assurance Reporting	
3 Security				
3.1 Security	Improve storage, forensic readiness, retrieval, appropriate archiving and disposal of records and to reduce the potential for duplicate/multiple records	Ensure all health records are appropriately stored in order to ensure that retrieval is efficient	Records Managers	
3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	Review Trust wide East IT drive structure and implement changes	AD IT/ Quality and Assurance Reporting	

3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	Appoint folder owners for shared drives in the east structure	AD IT/ Quality and Assurance Reporting	
3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	Discuss how to ensure that people get access to shared drives and publish in the e-bulletin	AD IT/ Quality and Assurance Reporting	
3.2 Security	Ensure the confidentiality, integrity and availability of information records is maintained	During the implementation of the Phase 3 business case advise teams on Records Management Security	Records Managers	
4 Audit				
4.1 Audit	Develop an audit/monitoring system to ensure the Trust controls and retains records in compliance with its legal, statutory and regulatory requirements in respect of its information Records Management	Extend Trust Audit programme across the Trust	AD Quality and Assurance Reporting	
4.1 Audit		Implement an independent audit of central drives to check whether teams have adopted recommended structure, naming conventions and branding guidance	AD Quality and Assurance Reporting	

Appendix 1

Definitions

Records Management is a discipline which utilises an administrative system to direct and control the creation, version control, distribution, filing, retention, storage and disposal of records, in a way that is administratively and legally sound, whilst at the same time serving the operational needs of the Trust and preserving an appropriate historical record.

The term **Records Life Cycle** describes the life of a record from its creation/receipt through the period of its 'active' use, then into a period of 'inactive' retention (such as closed files which may still be referred to occasionally) and finally either confidential disposal or archival preservation.

In this procedure, **Records** are defined as 'recorded information, in any form, created or received and maintained by the Trust in the transaction of its business or conduct of affairs and kept as evidence of such activity'.

Information is a corporate asset. The Trust's records are important sources of administrative, evidential and historical information. They are vital to the Trust to support its current and future operations (including meeting the requirements of Freedom of Information legislation), for the purpose of accountability, and for an awareness and understanding of its history and procedures.

This procedure should be read in conjunction with the following Trust policies:

- Information Security policy
- Acceptable User Policy
- Information Governance Policy
- Incident Management Policy
- Safe Haven Policy
- Surrey Overarching Information Sharing Protocol
- NHS Code Of Practice

Appendix 2

Aims of the Records Management System

The aims of the Records Management System are to ensure that:

- **Records are available when needed** - from which the Trust is able to form a reconstruction of activities or events that have taken place;
- **Records can be accessed** - records and the information within them can be located and displayed in a way consistent with its initial use, and that the current version is identified where multiple versions exist;
- **Records can be interpreted** - the context of the record can be interpreted: who created or added to the record and when, during which business process, and how the record is related to other records;
- **Records can be trusted** – the record reliably represents the information that was actually used in, or created by, the business process, and its integrity and authenticity can be demonstrated;
- **Records can be maintained through time** – the qualities of availability, accessibility, interpretation and trustworthiness can be maintained for as long as the record is needed, perhaps permanently, despite changes of format;
- **Records are secure** - from unauthorised or inadvertent alteration or erasure, that access and disclosure are properly controlled and audit trails will track all use and changes. To ensure that records are held in a robust format which remains readable for as long as records are required;
- **Records are retained and disposed of appropriately** - using consistent and documented retention and disposal procedures, which include provision for appraisal and the permanent preservation of records with archival value; and
- **Staff are trained** - so that all staff are made aware of their responsibilities for record-keeping and record management and adherence to learning and development policy.