

ANNEX 3 - LIST OF SUBJECTS TO BE ADDRESSED BY OPERATIONAL PROCEDURES AND GUIDANCE

Records creation

- Creation of adequate records to document essential activities;
- Structured information (content management, version control) to facilitate shared systems based on functional requirements;
- Referencing and classification for effective retrieval of accurate information;
- Documented guidelines on creation and use of record systems

Records maintenance

- Assignment of responsibilities to protect records from loss or damage over time;
- Access controls to prevent unauthorised access or alteration of records;
- Defined security levels for access to electronic records and procedures to amend access authorisations as appropriate when staff move
- Tracking systems to control movement/audit use of records;
- Identification and safeguarding key or vital records;
- Arrangements for business continuity;
- Training and guidance

Records disposal

- Systematic retention schedules and procedures for consistent and timely disposal;
- Central storage systems for records requiring long-term retention to include electronic archiving systems;
- Mechanisms for regular transfer of records designated for permanent preservation to appropriate archives

Training and guidance

- Inclusion of records management functions in job processes where appropriate;
- Generic and specific guidance on record-keeping standards and procedures;
- Training programmes

Performance measurement

- Development of effective indicators and review systems to improve records management standards

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