

# **Records Management Roadmap Framework**

## DOCUMENT CONTROL

<b>Reference Number Version</b>	1.2
<b>Amendments</b>	Addition of Records Inventory materials
<b>Document objectives</b>	Sets out the current contents of the Records Management Roadmap
<b>Date of Issue</b>	7 <sup>th</sup> June 2007

<b>Reference Number Version</b>	1.3
<b>Amendments</b>	Web links updated
<b>Document objectives</b>	
<b>Date of Issue</b>	4 September 2009

## **Setting and Achieving the NHS Standard for Records Management – A Roadmap**

**Adoption of a systematic and planned approach to the management of records, from the moment they are created to their ultimate disposal, enables an organisation to control both the quality and the quantity of the information that it generates.**  
(The National Archives)

Records Management is a key component of broader Information Governance. It also addresses the quantity as well as the quality of information generated and encompasses the ways in which it is held by an organisation. Records Management is closely aligned, therefore, with Information Quality Assurance (IQA).

The concepts of 'information lifecycle management' and 'information pathways' have evolved in recent years as thinking on methodologies for improving records management and information quality has developed. Effective records management applies throughout the lifecycle of a record, from creation, use and maintenance to disposal and it focuses on four critical components:

- Management and Culture
- Technology and Systems
- Process and Practice
- People and Skills

The methodology adopted by each NHS organisation to improve its management of records will necessarily vary; there can never be a 'one size fits all' specification. However, an effective methodology will have the following characteristics:

- Clear responsibilities assigned to key roles
- Clarity of vision conveyed by Policy and Strategy documents
- Robust governance mechanisms to ensure accountability for key roles with clear and managed links to other elements of the information governance work programme
- Clear milestones and deliverables with a focus on metrics and regular audits of compliance with recognised national standards
- Templates for the deployment of technologies and supporting processes
- Appropriate education and training on both 'how to' and 'why'

This Roadmap provides a framework containing practical guidance designed to support organisations in the implementation of an effective records management methodology in line with the principles contained in the Records Management: NHS Code of Practice. Guidance will be added to the Roadmap periodically, as and when it is produced.

# NHS RECORDS MANAGEMENT ROADMAP

Processes	Required Actions
01. Policies and responsibilities	<ul style="list-style-type: none"> <li>• Chief Executives and their senior managers should personally oversee the actions needed to raise the profile of, and support improvement in, standards of records management</li> <li>• A senior manager should be nominated to take lead responsibility for, and actively champion, records management within the organisation</li> <li>• The records management lead should be directly involved in broader Information Governance within the organisation</li> <li>• The lead role should be formally acknowledged and communicated to the organisation</li> <li>• Responsibility and Accountability for recordkeeping should be clarified and documented throughout the organisation</li> <li>• Reporting procedures should be established and documented to ensure that issues and progress on records management are routinely fed back to the Board</li> <li>• Guidance is provided in the following template:</li> </ul> <p>01A <a href="#">Getting Started</a></p>
02. Strategies, design and implementation	<ul style="list-style-type: none"> <li>• The Records Management Lead should oversee and steer the development of an organisation - wide records management policy and strategy</li> </ul> <p>The following models are provided:</p> <p>02A <a href="#">A Model Records Management Policy</a>            02B <a href="#">A Model Records Management Strategy</a></p>
03. Records processes and controls	<ul style="list-style-type: none"> <li>• The Records Management Lead should establish working groups and identify key staff to take forward the records management strategy and implementation plans</li> <li>• An essential task is to audit and maintain an inventory of all record collections</li> </ul> <p>03A <a href="#">A Records Inventory Survey Template</a>            03A(i) <a href="#">Electronic Records Inventory Survey Form</a>            03A(ii) <a href="#">Electronic Records Inventory Form Definitions</a>            03A(iii) <a href="#">Manual Records Inventory Survey Form</a>            03A(iv) <a href="#">Manual Records Inventory Form Definitions</a></p>
04. Monitoring and auditing compliance with standards	<ul style="list-style-type: none"> <li>• Regular programmes of audit of compliance with records management standards should be established. The results from these audits should then be fed back regularly to records management professionals and there should be evidence of action on audit results to improve and maintain the</li> </ul>

	<p>organisation's performance on records management</p> <p>04A <a href="#">An Approach to Records Management Audit</a></p>
<p>05. Training</p>	<ul style="list-style-type: none"> <li>• Establish an appropriately resourced training programme for records managers and staff (including health records), which includes awareness of personal responsibilities under the Freedom of Information Act 2000. The training programme should be regularly reviewed (including trainee satisfaction assessments) and necessary amendments made to the programme in the light of the review</li> <li>• The organisation should ensure that all staff across the organisation that are providing records management related services are kept up to date with new records management processes and procedures</li> </ul> <p>05A <a href="#">Outline Records Management training modules</a></p> <p>05A(i) <a href="#">Records Management and the NHS Code of Practice (Foundation)</a></p> <p>05A(ii) <a href="#">Corporate Records Management (Practitioner)</a></p> <p>05A(iii) <a href="#">Health Records Management (Foundation)</a></p> <p>05A(iv) <a href="#">Health Records Management (Practitioner)</a></p>