

TITLE

RECORDS MANAGEMENTSCOPE

Provincial

DOCUMENT

1133

APPROVAL AUTHORITY

Corporate Services Executive Committee

INITIAL EFFECTIVE DATE

November 26, 2010

SPONSOR

Health Information Management

REVISION EFFECTIVE DATE

October 16, 2019

PARENT DOCUMENT TITLE, TYPE AND NUMBER

Not applicable

SCHEDULED REVIEW DATE

October 16, 2022

NOTE: The first appearance of terms in bold in the body of this document (except titles) are defined terms – please refer to the Definitions section.

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OBJECTIVES

- To outline organizational accountability for the management of **records** within Alberta Health Services (AHS).
- To ensure adequate records management policies, procedures and standards are developed, implemented, and adopted to support the management of records throughout the **information lifecycle** in accordance with applicable legislation, regulations, and AHS policy.

PRINCIPLES

Records under the custody or control of AHS are managed as part of the usual and ordinary course of business at AHS. Records may exist in multiple formats (such as paper and electronic formats) and must be managed throughout their lifecycle in accordance with applicable legislation, regulations, and AHS policy.

Records are valuable enterprise resources and assets created to meet operational (clinical and corporate), legislative, financial, and historical requirements.

AHS is accountable for protecting the privacy, security, accuracy, reliability, and integrity of records.

AHS is committed to the development of policy, practice, and standards that support AHS' organizational accountability, transparency, efficiency, and economy relating to records management.

APPLICABILITY

Compliance with this document is required by all Alberta Health Services employees, members of the medical and midwifery staffs, Students, Volunteers, and other persons acting on behalf of Alberta Health Services (including contracted service providers as necessary).

ELEMENTS

1. Organizational Accountability

- 1.1 All individuals creating or collecting records managed by AHS are responsible for ensuring records are created, managed, collected, used, preserved, and destroyed in accordance with this Policy and all associated AHS records management policies, procedures, and standards, including the InfoCare behaviours in the *Privacy Protection and Information Access Policy*.
- 1.2 AHS business owners are accountable to ensure records management practices in their department/unit/program comply with this Policy and all associated AHS records management policies, procedures, and standards.
- 1.3 The Information Technology (IT) service owner is accountable for partnering with Records and Information Management to support the application of lifecycle management practices within information storage environments to facilitate compliance with this Policy and all associated AHS records management policies, procedures, and standards.
- 1.4 Records and Information Management shall support the authenticity, integrity, reliability, and usability of records managed by AHS throughout their information lifecycle by ensuring:
 - a) the development of policies, procedures, and standards that are in compliance with legislative and regulatory requirements, including but not limited, to the:
 - (i) *Records Retention Schedule*;
 - (ii) *Transitory Records Procedure*;
 - (iii) *Official Records Destruction Procedure*;
 - (iv) *Legal Hold Procedure*;
 - (v) *Electronic Records Conversion and Migration Recordkeeping Procedure*; and
 - (vi) any other policy, procedure, or standard created pursuant to this Policy to meet the stated objectives of this Policy;

- b) audit practices exist, where appropriate, to ensure compliance with this Policy and all associated AHS records management policies, procedures, and standards; and
- c) an AHS Archives program to ensure the long term preservation and accessibility of AHS permanent and vital records.

DEFINITIONS

Information lifecycle means the series of stages that a record follows during its lifespan from when it is created/collected through to its classification/organization, use, maintenance, preservation and destruction.

Record means documents, data or information of any kind, in any medium (e.g., paper, digital, and audio-visual media), and in any format (e.g., documents, spread sheets, databases, emails, blogs, wikis, and website pages) created, received, recorded, and maintained by Alberta Health Services as part of its services or business. This definition includes health records, but does not include computer software or any mechanisms that produce records.

REFERENCES

- Alberta Health Services Governance Documents:
 - *Electronic Records Conversion & Migration Recordkeeping Procedure* (#1133-05)
 - *Legal Hold Procedure* (#1133-04)
 - *Official Records Destruction Procedure* (#1133-02)
 - *Privacy Protection and Information Access Policy* (#1177)
 - *Records Retention Schedule* (#1133-01)
 - *Transitory Records Procedure* (#1133-03)
- Alberta Health Services Forms:
 - *Legal Hold Notice Form* (#1934)
 - *Records Destruction Authorization Form* (#08939)
 - *No Blood Transfusions or Blood Products Form* (#18009)
- Alberta Health Services Resources:
 - Access & Disclosure (Health Information Management): disclosure@ahs.ca
 - Information and Privacy: privacy@ahs.ca
 - Records & Information Management (RIM): RIM@ahs.ca
 - Whistleblower Line (Confidential): 1-800-661-9675
- Non-Alberta Health Services Documents:
 - *Freedom of Information and Protection of Privacy Act* (Alberta)
 - *Health Information Act* (Alberta)
 - Information and documentation – Electronic records conversion and migration process [ISO 13008:2012(E)] (International Organization for Standardization)

VERSION HISTORY

Date	Action Taken
October 16, 2019	Revised
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Cranston Ridge Medical Clinic (CRMC)

Policy Title: Records Management

Effective Date: 15 October 2019

Review Date: 14 October 2029

Approved By: Medical Director

Applies To: All CRMC Staff, Contractors, Physicians, Nurses, Students, and Volunteers

1. Purpose

This policy outlines CRMC's accountability for managing all health and administrative records. The goal is to ensure that records are created, stored, accessed, used, retained, and destroyed according to legal, regulatory, clinical, and operational standards.

The policy applies to both physical and electronic records, ensuring their integrity, accuracy, and security throughout their lifecycle.

2. Scope

This policy applies to all CRMC staff, including physicians, nurses, allied health professionals, administrative staff, contractors, and students handling records.

It includes all records generated or received in the course of providing care, administration, or research.

3. Policy Statement

Records are valuable organizational assets. CRMC will implement and maintain a records management system that supports compliance with the Alberta Health Information Act and other applicable legislation.

The clinic is responsible for the integrity, confidentiality, and availability of all its records.

4. Principles

- Records must be managed from creation to final disposition.
- Both electronic and paper records are to be classified, retained, and disposed of using secure procedures.
- Personal health information must be safeguarded at all times in compliance with HIA and FOIP.

5. Roles and Responsibilities

- Medical Director: Accountable for oversight of clinic-wide recordkeeping systems.
- Clinical Manager: Implements records procedures, trains staff, and ensures audit readiness.
- IT Support: Ensures secure digital infrastructure and backup systems.
- All Staff: Maintain and manage records according to CRMC policy.

6. Compliance and Audit

CRMC may audit recordkeeping practices to ensure compliance. Non-compliance may result in disciplinary measures.

Staff are expected to report breaches of information security immediately.

7. References

- Health Information Act (Alberta)
- Freedom of Information and Protection of Privacy Act (FOIP)
- CRNA and CPSA Documentation Standards