



TITLE

**RECORDS MANAGEMENT**

SCOPE

Provincial

DOCUMENT #

1133

APPROVAL AUTHORITY

Corporate Services Executive Committee

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November 26, 2010

SPONSOR

Health Information Management

REVISION EFFECTIVE DATE

October 16, 2019

PARENT DOCUMENT TITLE, TYPE AND NUMBER

Not applicable

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October 16, 2022

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**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.

If you have any questions or comments regarding the information in this document, please contact the Policy & Forms Department at [policy@ahs.ca](mailto:policy@ahs.ca). The Policy & Forms website is the official source of current approved policies, procedures, directives, standards, protocols and guidelines.

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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](mailto:disclosure@ahs.ca)
  - Information and Privacy: [privacy@ahs.ca](mailto:privacy@ahs.ca)
  - Records & Information Management (RIM): [RIM@ahs.ca](mailto: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
<a href="#">Click here to enter a date</a>	Optional: Choose an item