


**SD-38**

## **POLICY AND PROCEDURE**

### **Records Management and Records Retention**

**Approved by:**



**Date Effective From:** 8th August. 2019

**Review Date:** August. 2022

# CARRIGLEA CAIRDE SERVICES

## Procedures Manual

**Title: RECORDS MANAGEMENT AND RECORDS RETENTION**

**1.0 Scope**

- 1.1 Management of all records created and received by personnel of Carriglea Cáirde Services. Retention and disposal of all of the Services records.

**2.0 Aims and Values**

- 2.1 To have systematic control, organisation, access to and protection of the Services information and records in relation to service users, staff and all aspects of the business of the Carriglea Cairde Services.
- 2.2 To ensure a high standard of record keeping and report writing through-out the Services.
- 2.3 To retain records for an appropriate length of time and to dispose of records in a safe manner ensuring the confidentiality of any personal or sensitive data contained in the records.

**3.0 Contents**

- 6.0 Introduction
- 7.0 Essentials of Records Management
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- 10.0 Classes of Records
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- Personnel/Human Resources Records*
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- Management & Other Records Relating to Service Provision*
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- 11.0 Records Destruction Policy
- 12.0 Archiving

**4.0 Referenced Documents**

- SD-25 Information Governance (Confidentiality, Data Protection and Freedom of Information)
- SD-33 Person Centred Planning
- HR-28 Trust in Care
- C4-23 Destruction of Records Log
- HIQA Guidance on Information Governance in Health & Social Care Services

**5.0 Responsibilities: Management and all staff**

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## 6.0 INTRODUCTION.

- 6.1 **Definition:** A record is defined under the Freedom of Information Act 2014 as:
- (a) *a book or other written or printed material in any form (including in any electronic device or in machine readable form),*
  - (b) *a map, plan or drawing,*
  - (c) *a disc, tape or other mechanical or electronic device in which data other than visual images are embodied so as to be capable, with or without the aid of some other mechanical or electronic equipment, of being reproduced from the disc, tape or other device,*
  - (d) *a film, disc, tape or other mechanical or electronic device in which visual images are embodied so as to be capable, with or without the aid of some other mechanical or electronic equipment, of being reproduced from the film, disc, tape or other device, and*
  - (e) *a copy or part of any thing which falls within paragraph (a), (b), (c) or (d), and a copy, in any form, of a record shall be deemed, for the purposes of this Act, to have been created at the same time as the record."*
- 6.2 Carriglea Cáirde Services is committed maintaining high standards with regard to records management and compliance with the terms of the General Data Protection Regulations. The Services records management policy takes account of HSE standards and recommended practices for healthcare records management.
- 6.3 Carriglea Cáirde Services will comply with the provisions of records management and retention periods set out in the Health Act, 2007 (Care & Support of Residents in Designated Centres for Persons with Disabilities) Regulations 2013 and keep records in accordance with relevant HIQA Guidance Documentation.
- 6.4 Carriglea Cáirde Services supports a culture of data quality and aims to have efficient systems and processes which ensure that quality data is available when and where it is needed.

## 7.0 ESSENTIALS OF RECORDS MANAGEMENT

- 7.1 Records Management is the systematic collection, classification, indexing, retention and disposal of records (paper or electronic). Procedures should ensure that:
- Complete and accurate records of the Service's activities and decisions are created as soon as possible after the event.
  - A copy is kept of all correspondence sent out on behalf of the service.
  - E-mail messages are not retained on the server once they are deleted from the PC. Therefore, any e-mail messages/attachments which may need to be referred to at a later date should be printed and filed.
  - A new record (whether created internally or received from elsewhere) is associated to its correct file.
  - Records should be organised in a manner that minimizes the potential for one person's information being confused with another.

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- Records should be dated and well organised for efficient retrieval. Records should be attached in the appropriate order in the file.
- Records should be stored appropriately to prevent damage, loss or theft.
- Personal records are just that - they should hold information on the named person only – staff member or service user.
- Records are kept confidential where appropriate and kept in accordance with the terms of the General Data Protection Regulations (GDPR). See policy on *Information Governance Confidentiality, Data Protection and Freedom of Information*.
- Periodic audits of service users' records take place as part of the *Person Centred Planning Audit Tool*.
- Periodic audits of compliance with the GDPR will take place

## 8.0 **RECORDING INFORMATION**

8.1 Information must be recorded according to best practice methodology. Effective filing and record systems are important to ensure the efficient retrieval of records. Any information recorded must meet the requirements of the General Data Protection Regulations (*see policy on Information Governance, Confidentiality, Data Protection and Freedom of Information*).

8.2 Service user records should be recorded and filed in line with the filing system set out in the *Person Centred Planning Policy*.

### 8.3 What should be recorded?

The type of records kept will vary depending on the service area and the list below is not exhaustive but is a general guideline in relation to service user records:

- Records should demonstrate an accurate chronology of significant events, consultations, assessments observations and outcomes.
- Evidence of exchange of information between staff and service user or their families
- Reasons for decisions made regarding support/care/interventions
- Decisions not to take immediate action, but to review the situation later
- Instructions from healthcare professionals given verbally
- Details of visitors to a service user
- Activities/outings availed of by a service user

### 8.4 How to record:

- Ensure that the full name of the service user is on all pages of the record – each continuation sheet should also have the name of the service user.
- Give full name and title to all personnel mentioned in the record
- Record factual information and record in consecutive order as events happen.
- Use short, clear and concise sentences.
- Record time and date of all entries (use 24 hour clock for time). The time of requesting assistance from medical/emergency services should always be recorded.
- Write clearly and legibly – use print form if necessary.
- Use black ink (including diary entries). Never use pencil.
- Do not leave blank spaces or skip lines.
- Do not use jargon, witticisms, derogatory remarks or exaggerate facts

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- Distinguish between fact and opinion. Record opinions with a statement such as “In my opinion.....”
- When quoting a person’s exact words put the words in quotation marks e.g. “my leg hurts”
- Sign each entry and state position. A data-base of signatories will be kept in relevant departments.
- Entries in service users’ notes should normally appear in chronological order.
- Generally, staff should not record an intervention on behalf of another person and staff should never alter an entry made by somebody else.

#### 8.5 Mistaken entries

- Entries made in error should be bracketed and have a single line drawn through them so that the original entry is still legible. Errors should be signed and dated.
- Never use tipp-ex/erasers.
- Do not obliterate entries.
- Do not ‘squeeze’ a late entry into existing notes or write in the margins
- In general, entries should not be re-written. If it is necessary to re-write (e.g. if paper gets wet or torn) the originals should not be discarded.

#### 8.6 Abbreviations

- Abbreviations must be kept to a minimum and if used should be in a standard form that is readily understood.
- Abbreviations should not be used in formal reports.

#### 8.7 Retrospective Notes

- Notes should be written at the time the support/intervention takes place, or immediately afterwards
- Notes made retrospectively should have the date and time the note was recorded and the date and time the entry referred to.
- Entries should never be made ahead of time – i.e. in anticipation of what is expected to happen.

### 9.0 RECORDS RETENTION PERIODS

9.1 Records should be retained for as long as it is relevant to deliver services. The Data Protection Officer should be consulted with regard to amendments to records retention periods and retention periods for new categories of records.

#### 9.2 **Retention of Records takes account the following Legislation and Guidelines:**

- Health Act, 2007 – Regulations 2013
- The Terms of The Employment (Information) Act 1994
- Organisation of Working Time Act 1997 and 2011
- The Parental Leave Acts 1998-2006
- Safety, Health & Welfare at Work (General Application) Regulations, 1994 and 2007
- Workers Protection (Regular part-time employees) Act 1991.
- HSE National Financial Regulation – Retention of Financial Records NFR-08

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- Companies Acts
- Revenue Commissioners Guidelines

**9.3 Records retention periods take account of the following principles:**

- Avoid trying to accommodate every conceivable need
- Retain information if it is likely to be needed in the future and if the consequences of not having it would be substantial
- In as far as possible, dispose of records immediately after their retention period has expired
- Take account of optimum use of space and the cost of records retention.

**9.4 If under investigation or if litigation is likely, retain records in original form indefinitely - otherwise retain records in their original form for the minimum periods set out in this policy.**

**10.0 CLASSES OF RECORDS:**

Carriglea Cáirde Services records can be classified under five broad headings, and the retention periods for each type are detailed below:

1. Individual Service User Records
2. Personnel/Human Resource Records
3. Financial Records
4. Management Records Other Records relating to Service Provision
5. Board of Directors Records

**10.1 SERVICE USER RECORDS**

	<b>RECORDS</b>	<b>RECOMMENDED RETENTION PERIOD</b>
1	<i>Service user training records</i>	Retain all records which may be required for accreditation or audit purposes for at least 3 years and longer if relevant accreditation has not been obtained. Training Certificates obtained to be retained until death. Otherwise retain for as long as deemed necessary to monitor the person's progress.
2	<b>Personal details</b> - name, address, date of birth, gender, date of admission, date of transfer /discharge/death. Birth certificate / death certificate	Retain indefinitely
3	Photographs (used for ID purposes) Name, address and contact details of person's next of	Retain for at least 8 years after death

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	kin/representative Detail provided on application for services Residential Agreement Medical & nursing records Social work records Assessments and recording charts Referrals to medical or para-medical professionals Person Centred Plans/Daily Reports Medication records, including medication errors Records of care and supports provided Records of any restrictive procedures Records of any abuse or harm suffered Correspondence with the service user and his/her family members Accident/incident report forms Records of Residents finances Private Property Registers	
4	Service users who are no longer availing of services / discharged	Retain all records in central records room for at least 20 years after the last contact with the person, except training records which may be destroyed after 3 years. Personal details to be kept indefinitely
5	Applicants for Services who are not admitted or maintained on the waiting list.	Retain name, address, date of birth & reason for non-admission indefinitely. Destroy any other information provided after 5 years.
6	Dates on which residents were hospitalised or not residing at the Service	Retain for at least 7 years.
7	Service user activation/day service daily participation level records	Retain for 7 years
8	Records of payments/allowances paid to service users by day services	Retain for 7 years
9	Respite service users records of personal cash transactions & receipts	Retain for 2 years

Note: *Medical records include G.P., Consultant, Psychological, Speech & Language Therapy, Occupational Therapy, Chiropody, Physiotherapy, Counselling, Dietetics and all other therapies and treatments which service users may have received.*

On the death or discharge of a service user, all files pertaining to that person should be sent to the relevant Senior Manager for filing in the records room.

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## 10.2 PERSONNEL/HUMAN RESOURCE RECORDS

Retention periods for employee records must take account of the requirements of the NHASS and information required in the calculation of all pension scheme entitlements.

	RECORDS	RECOMMENDED RETENTION PERIOD
1	<i>Unsolicited Applications for Jobs</i>	Retain for at least 6 months
2	<b>Competition Files:</b> <ul style="list-style-type: none"> <li>▪ Vacancy advertisement</li> <li>▪ Job Description</li> <li>▪ Short listing and Selection Criteria</li> </ul> CV of all candidates who specifically apply for the advertised job, are called for interview, candidates not qualified or short listed, candidates short listed, but not successful at interview or are successful, but do not accept offer. Interview Board Marking Sheet and Interviewers' notes relating to all candidate Interview Board recommendations	Retain for at least 2 years
3	<b>Staff Personnel Files;</b> Name, address, date of birth, PPS number, marital status, Date of commencement and cessation of employment	Retain indefinitely
4	<ul style="list-style-type: none"> <li>▪ Evidence of Identity</li> <li>▪ Job title and job description</li> <li>▪ Photograph</li> <li>▪ Employment history &amp; experience</li> <li>▪ telephone number,</li> <li>▪ Application /Curriculum Vitae</li> <li>▪ References</li> <li>▪ Garda vetting</li> <li>▪ Relevant details of registration with professional bodies</li> <li>▪ Offer/acceptance letter</li> <li>▪ Recruitment medical</li> <li>▪ Induction checklist</li> <li>▪ Previous service history</li> <li>▪ Data regarding medical referrals to company doctor</li> <li>▪ Contract and terms &amp; conditions of employment</li> <li>▪ Probation record</li> <li>▪ Performance appraisals</li> <li>▪ Resignation/retirement letter</li> </ul>	Retain for at least 7 years after employment ceases (as per Schedule 2 of the Health Act, 2007 (Regulations 2013))
5	Annual Leave Request Records	Retain for 2 years
6	<b>Staff Payroll Files:</b> <ul style="list-style-type: none"> <li>▪ Record of the number of hours worked each</li> </ul>	Retain for at least 7 years after employment ceases
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	<ul style="list-style-type: none"> <li>▪ week</li> <li>▪ Sick certificates</li> <li>▪ Birth/marriage Certificate</li> <li>▪ Bank account details</li> <li>▪ Notification of change of bank or personal details</li> <li>▪ Back-pay calculations</li> </ul>	
7	Authorisation to deduct from pay	Retain until 6 years after employee ceases to be paid (per NFR-08)
8	Time sheets	Retain until 6 years after employee ceases to be paid (per NFR-08)
9	Biometric data used for TMS clock-in system	Retain until the employee leaves employment/retires
10	Disciplinary records and letters	Retain as per the Services disciplinary policy (HR-12).
11	<i>Training Records</i> <ul style="list-style-type: none"> <li>▪ Formal qualifications – details of sponsored training courses, costs, etc.</li> <li>▪ Employee acknowledgement of training received</li> <li>▪ Certificates issued to in-service training participants</li> <li>▪ Applications for courses and sponsorship, notifications &amp; qualification attained</li> </ul>	Retain records of qualification and certificates of training until at least 7 year after employment ceases. When certification expires and more up to date certification is on file, out of date certificates may be destroyed. Keep applications and other correspondence regarding training for at least 5 years or longer if deemed necessary
12	Annual Programme of Courses and Training Training sign-in lists	Retain indefinitely
13	Drivers Licence details	Retain for duration of employment if driving is part of duties.
14	Student Work Placement Records	Retain indefinitely
15	Vaccination records: Hepatitis B/Flu/Tetanus	Retain indefinitely
16	Staff Complement Files /Employment Controls	Retain indefinitely
17	Volunteer Records	Retain indefinitely
18	<i>NHASS/SPS</i> <ul style="list-style-type: none"> <li>• All correspondence regarding Health Service pension schemes</li> <li>• All books/records relating to member pension details</li> </ul>	Retain indefinitely
19	<i>Pensioner Files –</i> <ul style="list-style-type: none"> <li>▪ Pension Estimates</li> <li>▪ Pension Benefit Statements, pension calculations, pension payment</li> </ul>	7 years after pensioners death
20	<i>Leave Records:</i> <ul style="list-style-type: none"> <li>▪ Annual leave</li> <li>▪ Sick leave record including sick certificates</li> <li>▪ Career break applications &amp; correspondence</li> <li>▪ Special leave</li> <li>▪ Jury service leave</li> </ul>	As these records may be required for calculation of superannuation benefit, they will be kept for all employees, past and present. Records will be kept for 3 years after death of employee /pensioner and after spouse/children
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	<ul style="list-style-type: none"> <li>Compassionate leave record</li> <li>Maternity Leave/Adoptive Leave</li> <li>Parental Leave</li> <li>Force Majeure Leave</li> </ul> <p>Application forms and correspondence in relation to the above leave</p>	<p>are no longer eligible for dependent's pension.</p> <p>The <i>Parental Leave Acts 1998-2006</i>, provide for an 8 year retention period of records showing the dates and times an employee availed of parental or force majeure leave.</p>
21	Staff duty rosters	At least 7 years
22	Accident/incident forms	Retain for at least 7 years after employment ceases
23	Travel & Subsistence claims & payments	As per accounts retention – 8 years
24	Allegations & Complaints	Documentation relating to allegations investigated under Trust in Care (HR-28) is kept indefinitely. All records in relation to allegations involving criminal activity are retained indefinitely.
25	Copiers of references provided by managers	Retain for 2 months
26	<p><i>Irish Life Pension Scheme Records:</i></p> <ul style="list-style-type: none"> <li>Register of members</li> <li>Records of Trustee meetings</li> <li>All correspondence relating to the Scheme</li> <li>All details of AVC's</li> <li>All details of Income Protection Scheme</li> </ul> <p>Members contributions and service days</p>	Retain indefinitely
27	Letter of Wishes re Irish Life pension members	Kept in sealed envelope in the safe until death of employee

### 10.3 FINANCIAL RECORDS

	RECORD	RECOMMENDED RETENTION PERIOD
1	Creditor Invoices/credit notes/quotations Delivery Dockets Petty cash vouchers	Retain hard copy for at least 7 years.
2	Petty Cash books/spreadsheets	Retain for 7 years
3	Creditor Statements	Retain for at least 2 years.
4	VAT Records Tax Clearance Certs Depreciation schedules Budgetary reports	Retain for at least 7 years
5	Unit (service users) Petty Cash sheets and vouchers	Retain for 7 years
6	Till Rolls - Restaurant	Retain for 7 years
	<p><i>Accounts Receivable:</i></p> <ul style="list-style-type: none"> <li>Income Ledger/Listings</li> <li>Control Accounts</li> <li>Receipt books</li> </ul>	Retain for 7 years
7	Purchase order books Stores requisition books	Retain for 2 years
8	<i>Bank Records:</i>	Retain for 7 years

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	<ul style="list-style-type: none"> <li>▪ Cheque Stubs</li> <li>▪ Cancelled cheques</li> <li>▪ Bank Reconciliation records</li> <li>▪ Bank Deposit Book stubs</li> <li>▪ Credit Card Records</li> <li>▪ Bank Statements</li> </ul>	
9	<i>Client bank accounts</i> <i>Client ledger</i>	Retain indefinitely
10	<i>Payroll:</i> <ul style="list-style-type: none"> <li>▪ Pay scales</li> <li>▪ Increment details</li> </ul>	Retain indefinitely
11	Register of assets mortgages and liens Correspondence re additional staff numbers	Retain indefinitely
12	Monthly Expenditure and Income Reports	Retain for at least 3 years
13	Rental / Lease Agreements	Retain for 7 years after end of lease
14	Capital Projects: All documentation	Retain Indefinitely
15	<i>Fixed Assets:</i> <ul style="list-style-type: none"> <li>▪ Records of Sale and Purchase of property</li> <li>▪ Assets Register</li> </ul>	Retain indefinitely
16	Title Documents and Deeds of Properties	Retained until property is disposed of
17	<i>Insurance Files:</i> <ul style="list-style-type: none"> <li>▪ Insurance Policies</li> <li>▪ Claims Records</li> <li>▪ All Insurance related correspondence</li> </ul>	Retain policy documents until superseded. Retain other documentation indefinitely
18	Annual Audited Accounts Audit Reports & Management Letters	Retain indefinitely
19	Financial Regulations, Policies & Accounting Standards, Accounting Legislation,	Retain until superseded or audit signed off, whichever is later
20	Government Department and HSE Circulars & Correspondence	Retain indefinitely
21	Cycle to Work Scheme	Retain for 6 years after repayment

#### 10.4 MANAGEMENT & OTHER RECORDS RELATING TO SERVICE PROVISION

	RECORD	RECOMMENDED RETENTION PERIOD
1	Safety Statement  General risk assessments	Retained in all areas until updated and one copy of all outdated documents retained indefinitely by the Health & Safety Co-Coordinator.
2	Policy documents	Retained in all areas until updated and one copy of all

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		outdated documents retained indefinitely by the author
3	Correspondence with Health & Safety Authority Annual Reports of accidents/incidents	Retain indefinitely
4	Monthly accident/incident reports	Retain for 4 years
5	Records of Fire Drills	Health & Safety Co-ordinator Retain original indefinitely Copies in houses retained for for 4 years
6	Records of maintenance of Firefighting equipment, emergency lighting and fire alarms. Hoist sling inspection checklist Weekly Fire Fighting Equipment Checklists	Retain for 4 years
7	Cleaning schedule checklists Dryer checklists Temperature recording checklists Defibrillator Daily Checklists Defibrillator Monthly checklists Chlorine levels checklists Electrical Equipment Checklists Oil gauge checklists Emergency pack checklists Sharps Box checklist/records	Retain for 2 years
8	HACCP Records	Retain for 2 years
9	House/unit Diaries Manager/Staff Diaries	Retain for 10 years
10	Freedom of Information Requests	Retain indefinitely
11	Quality audit reports Medication audit reports Cleaning audit reports	Retain for 7 years
12	Annual Report of Quality Committee Annual Report of Health & Safety committee	Retain original indefinitely
13	Minutes of Quality Committee meetings Minutes of Health & Safety Committee meetings Minutes of Restrictive Procedures Committee Meetings Minutes of staff team meetings	Retain original indefinitely Retain copies issued to individual service areas for one year
14	Minutes of Admissions Committee meetings Minutes of meetings with the HSE	Retain original indefinitely
15	Housing Agency Records and Returns	Retain indefinitely
16	<i>Reports from Regulatory Authorities e.g.</i> <ul style="list-style-type: none"> <li>• HIQA,</li> <li>• Environmental Health Officer,</li> <li>• Fire Officer.</li> <li>• Charities Regulator</li> <li>• Health &amp; Safety Authority</li> <li>• Road Safety Authority</li> </ul>	Retain indefinitely
17	Satisfaction surveys	Retain for 3 years

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	Reports on satisfaction surveys	Retain indefinitely
18	Notes of service user house meetings	Retain original indefinitely
19	Minutes of Advocacy meetings	Retain original indefinitely Copies distributed to local areas can be destroyed after 2 years
20	Strategic Plans	Retain original indefinitely retain copies until superceded
21	Reports and evidence of Investigations	Retain indefinitely
22	Manuals for the operation of equipment	Retain until the equipment is no longer used/disposed of.
23	Canteen Dinner sheets and cash sheets	Retain for 2 years
24	Vehicle Booking Sheets	Retain for 6 months
25	Visitors Books	Retain for 3 years after last entry (store all completed visitors books in one area of the archive room until retention period has expired).
26	Complaints logs	Retain for 4 years after last entry ( <i>as per Health Act</i> ). Store in one areas of the archive room until retention period has expired.
27	Brochures / guides produced by the Services	Retain one copy indefinitely and other copies until superceded
28	Maintenance Request Record books in houses	Retain for 4 years after last entry
29	Memorandums issued for information purposes	Retain original in issuing department for 7 years. Copies issued to other areas to be retained while information is still relevant.

## 10.5 BOARD OF DIRECTORS RECORDS

	RECORD	RECOMMENDED RETENTION PERIOD
1	Agendas and minutes of board meetings and meetings of sub-committees of the board	Retain indefinitely
2	Legal Documentation in relation to the Company	Retain indefinitely
3	Policy Documents relating solely to Board Members	Retain indefinitely

**Carriglea Cáirde Services will make every effort to dispose of records after the recommended retention period. However, the company reserves the right to retain any record for periods in excess of the recommended retention period.**

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## **11.0 RECORDS DESTRUCTION POLICY**

- 11.0 Staff must always refer to the agreed retention period of a document before destroying/deleting it.
- 11.2 If staff are unsure about the retention period of any record they should consult with the relevant senior manager.
- 11.3 It is the individual responsibility of all staff to ensure that information they are authorised to destroy is destroyed effectively and securely.
- 11.4 In relation to personal records i.e. service users and staff records, a record of items destroyed from file should be maintained in the file on a **Destruction of Records Log**. This record should include:
- Person's name
  - Date of birth
  - List of documents destroyed
  - Date of destruction of items from file & the manner in which they were destroyed
  - Signature of approval for destruction from an appropriate officer
- 11.5 Confidentiality must be insured at all times and therefore any personal or confidential record should only be destroyed by shredding or incineration.
- 11.6 Security of files must be maintained while in transit or awaiting destruction.
- 11.7 Where a contractor is hired to carry out any of the aforementioned processes they are required to sign a confidentiality undertaking and to produce written certification of proof of destruction.
- 11.8 Paper-recycling: Non-confidential paper, brochures/magazines should be placed in bags for re-cycling. However, any records showing the name and any other personal details of a staff member or a service user e.g. medication packaging/empty blister-packs must not be discarded in recycling bags/bins or in general waste.
- 11.9 **Destruction of Electronic Records:**
- When a digital file is deleted on a computer, it must also be deleted from the 'recycle bin' on the computer.
  - Confidential or personal information stored on CD's or any other portable storage devices must be given to a Senior Manager for confidential shredding.
- 11.10 Before disposing of any electronic equipment, staff must always consult with a Senior Manager to ensure that records are fully deleted from the equipment. Such equipment includes, computers, lap-tops, tablets, mobile phones, printers, photocopiers, scanners, external hard-drives and memory keys.

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- 11.11 Any member of staff who considers that there may have been an irregularity in the records management or destruction process must inform their line manager immediately and the Data Protection Officers must be informed.

## **12.0 ARCHIVING**

- 12.1 All senior managers are responsible for archiving relevant documents relating to their own area of responsibility.
- 12.2 Archive rooms are located at Carriglea campus.
- 12.3 Service user documents should be archived in boxes relating solely to individual service users, whenever feasible. The name of the service user should be clearly marked on each box.
- 12.4 Archive rooms must be kept locked at all times and access is restricted. Only those who have authority to enter the rooms should have access to the archived material.
- 12.5 Effective filing and record systems are important to ensuring the efficient retrieval of records.
- 12.6 When an authorised person removes a record from the archive rooms, a note must be left in the place it was removed from, stating the date of removal and the name of the person who removed the record.

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