

Appendix 1

Summary of Evidence

Reference	Evidence Document	Review Date	Owner
<u>Element 1: Senior Management Responsibility</u>			
E01-01	June 2013 Joint Management Team paper confirming senior manager with responsibility for records management	Complete	A McMahon
E01-02	December 2015 Corporate Management Team paper seeking approval to submit draft plan to the Keeper for information review and feedback	Complete	A McMahon
E01-03	Sample minutes of NHS Lothian Strategic Public Records Programme Management Group	Ongoing	A Cumming
<u>Element 2: Records Manager Responsibility</u>			
E02-01	Job Description Strategic Programme Manager Corporate Planning, Public Records and Managed Clinical Networks	Complete	A Cumming
<u>Element 3: Records Management Policy Statement</u>			
E03-01	Information Assurance Strategy	April 2016	A McCallum
E03-02	Information Governance Policy	July 2018	A McCallum
E03-03	Information Governance Road Shows 2015	Annual Update	T McKinley
E03-04	eHealth Security Policy	May 2016	M Egan
E03-05	Records Management Policy	November 2018	A McCallum
E03-06	Clinical Documentation Standards	September 2016	Doc Group
E03-07	Example Corporate Records Management – Royal Edinburgh and Associated Hospitals	October 2015	REAS Management Team
E03-08	Guidance Note on the Maintenance of Personal Files	Current	Director HR
E03-09	NHS Lothian Internal Audit Plan 2014--15	Most Recent Available	Various
E03-10	eHealth Safe Email Transmission (SOP)	Current	M Egan
E03-11	eHealth Newsletter Records Scanning	Current	M Egan
E03-12	Screenshot Health Records Policies and Procedures	Current	Various
E03-13	eCasenotes screenshot	April 2016	M Masterton
E03-14	eCasenotes screenshot	April 2016	M Masterton
<u>Element 4: Business Classification</u>			
E04-01	New Registrations	November 2018	M Masterton
E04-02	Access to CHI 24	November 2018	M Masterton
E04-03	Merging UHPI on TRAK	November 2018	M Masterton
E04-04	Making Up Duplicate Records	November 2018	M Masterton
E04-05	Managing Large Volumes	November 2018	M Masterton
E04-06	Managing Library – Filing of Casenotes	November 2018	M Masterton
E04-07	Board Committee Servicing Protocol	Current	Dept Leads
E04-08	LHSA Cataloguing Procedure	Current	LHSA
E04-09	Operating Procedure for the Finance Shared Drive	Current	Finance Dept

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<u>Element 5: Retention Schedules</u>			
E05-01	Health Records Retention and Destruction Policy	Current	eHealth
E05-02	Board Committee Servicing Protocol	Current	Secretariat
E05-03	Waste Disposal Audit Template	Current	Facilities
E05-04	Agreement Confidential Waste Uplift and Destruction	Current	Facilities
E05-05	Audit Report – Uplift of Confidential Material	Current	Facilities
E05-06	Records Archive Invoice	Current	Corporate
E05-07	Screenshot Retention and Disposal Guidelines	Current	Corporate
<u>Element 6: Destruction Arrangements</u>			
E06-01	Retention and Destruction of Records	November 2018	M Masterton
E06-02	Health Records Policy – Confidential Waste	November 2018	M Masterton
E06-03	Records Destruction Summary	Current	Corporate
E06-04	Staff Guidance on Confidential Waste	Intranet Screen Shot	Corporate
E06-05	Destruction of Scanned Records	Current	
E06-06	LHSA De-accessioning – Disposal	Current	LHSA
E06-07	eHealth Secure Storage, Disposal and Destruction of Electronic Equipment and Medial Policy	Current	eHealth
E06-08	Example Destruction Certificate	Current	Facilities
<u>Element 7: Archiving and Transfer Arrangements</u>			
E07-01	Safe Transfer of Records Policy	April 2016	A McCallum
E07-02	Health Records Policy – Casenote Tracking	November 2018	M Masterton
E07-03	Example of LHSA Classification	Current	LHSA
E07-04	LHSA Accession Guidelines for Staff	Current	LHSA
E07-05	LHSA Accession Form	Current	LHSA
E07-06	LHSA Collection Development Policy	Current	LHSA
E07-07	LHSA Collection Information Policy	Current	LHSA
E07-08	LHSA Collections Management Policy	Current	LHSA
E07-09	LHSA Deceased Individuals	Current	LHSA
E07-10	LHSA Living Individuals	Current	LHSA
E07-11	LHSA Leaflet	Current	LHSA
<u>Element 8: Information Security</u>			
E08-01	eHealth Security Policy	May 2016	M Egan
E08-02	Secure Storage, Disposal and Destruction of Electronic Equipment and Media Policy	January 2016	A McCallum
E08-03	Safe Email Transmission	November 2015	T McKinley
E08-04	Systems Access and Password Management	Current	A McCallum
E08-05	Policy on Confidentiality of Personal Health Information	March 2015	Clinical Policy Group
E08-06	Patient Confidentiality Letter to All Staff	Intranet Screenshot	T McKinley
E08-07	LHSA Lothian Disclosure Guidance	Current	LHSA
E08-08	Screenshot Information Governance Supporting Policies	Current	T McKinley
E08-09	Information Governance FAQs	Current	T McKinley

Reference	Evidence Document	Review Date	Owner
<u>Element 9: Data Protection</u>			
E09-01	NHS Lothian Data Protection Policy	July 2018	A McCallum
E09-02	Information Governance Policy	July 2018 – awaiting endorsed policy	A McCallum
E09-03	Confidentiality Policy	March 2015	Clinical Policy Group
E09-04	2015 Information Governance Roadshow Presentation	2016	T McKinley
E09-05	NHS Lothian Learnpro Information Governance	Current	T McKinley
E09-06	Access to Health Records	Current	eHealth
E09-07	Health Records Access Form	Current	eHealth
E09-08	LHSA Anonymising Qualitative Material	Current	LHSA
E09-09	LHSA Student Guidance Patient Data	Current	LHSA
E09-10	Caldicott Guardian Intranet Page	Current	D Foley
<u>Element 10: Business Continuity and Vital Records</u>			
E10-01	NHS Lothian Resilience Assurance Protocol	January 2016	A Elliot
E10-02	Resilience Governance Arrangements	Current	A Elliot
E10-03	Resilience Plan Checklist	Current	A Elliot
E10-04	Resilience Assurance Proforma	Current July 2015	A Elliot
E10-05	Business Continuity Plan eHealth	Current	eHealth
<u>Element 11: Audit Trail</u>			
E11-01	Health Records Policy – Casenote Tracking	November 2018	M Masterton
E11-02	Team Brief – Fair Warning – Automated Audit of Systems Access	2014 Team Brief – All Staff	T McKinley
E11-03	eHealth Technical Services Policy	Current	eHealth
E11-04	eHealth Security Policy	Current	eHealth
E11-05	Patient Confidentiality Letter to All Staff		
E11-06	Job Description – Data Quality Manager	Draft To Be Approved	LAS
E11-07	Job Description – Waiting Times Governance	Draft To Be Approved	LAS
E11-08	Waiting Times Governance Framework	Current	LAS
<u>Element 12: Competency Framework for Records Management Staff</u>			
E12-01	NHS Education for Scotland Information Governance Competency Framework	Current	NES
E12-02	NHS Lothian Health Records Administrative Training Course	Current	M Masterton
E12-03	Board Committee Servicing Protocol	Current	Secretariat
E12-04	Minutes NHS Scotland Records Management Forum	Current	A Cumming
E12-05	Information Governance Learnpro Mandatory Training	Current	T McKinley
E12-06	Information Governance Learnpro Mandatory Training – Records Management	Current	T McKinley

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<u>Element 13 – Assessment and Review</u>			
E13-01	Terms of Reference Healthcare Governance Committee	Current	Secretariat
<u>Element 14: Shared Information</u>			
E14-01	Multi Agency Public Protection Arrangements – Information Sharing for General Practitioners Across Lothian	Current	Public Protection Action Group
E14-02	NHS Lothian Adult Support and Protection Procedures	October 2016	Public Protection Action Group
E14-03	Child Protection Procedures Information Sharing	Current	S Egan
E14-04	Practical Guide to Sharing Information with Families and Carers of Patients	Current	Public Protection Group
E14-05	Information Sharing Guidelines for GPs	Current	Public Protection Action Group
E14-06	Information Sharing with Other NHS Boards	Current	Portal Consortia
E14-07	Clinical Portal Reference Guide	Current	Portal Consortia
E14-08	South and East Clinical Portal Consortia Assurance Group	Current	Portal Consortia