# RECORDS MANAGEMENT AND RECORD KEEPING POLICY

**PRN-109:** Records Management and Record Keeping Policy
**Company Name: AI Auto-Tech Ltd**
**Trading/Business Name: Trusted Companionship**
**Company Registration Number: 15556946**
**SIC Code: 88100 – Social Work Activities Without Accommodation for the Elderly and Disabled**
**Email: info@trustedcompanionship.com**
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### 1. Purpose

The purpose of this policy is to ensure that the organisation creates, maintains, stores, accesses, retains, and disposes of records in a consistent, secure, accurate, and lawful manner.

The organisation recognises that effective record keeping is essential for:

- Safe and effective service delivery
- Safeguarding adults
- Accountability and transparency
- Regulatory compliance
- Risk management
- Business continuity
- Organisational learning
- Protection of service users, employees, and volunteers

Accurate records contribute to person-centred support and demonstrate the quality and integrity of services provided.

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### 2. Scope

This policy applies to:

- Employees

- Volunteers
- Directors
- Trustees
- Managers
- Contractors where applicable

The policy applies to all records held by the organisation, including:

- Service user records
- Volunteer records
- Employee records
- Safeguarding records
- Incident reports
- Financial records
- Training records
- Policies and procedures
- Governance records
- Electronic and paper-based records

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**3. Policy Statement**

The organisation is committed to ensuring that records are:

- Accurate
- Complete
- Clear
- Secure
- Accessible to authorised persons
- Kept up to date
- Retained appropriately
- Disposed of securely

Records must support effective decision-making, accountability, and service quality.

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**4. Legal Framework**

This policy is guided by:

- Data Protection Act 2018
- UK GDPR
- Care Act 2014
- Health and Safety at Work etc. Act 1974
- Human Rights Act 1998
- Equality Act 2010
- Common Law Duty of Confidentiality

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**5. Objectives**

The objectives of this policy are to:

- Promote good record keeping practices.
- Ensure information is reliable and accessible.
- Protect confidential information.
- Meet legal and regulatory requirements.
- Support safeguarding responsibilities.
- Enable effective service delivery.
- Support business continuity arrangements.

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**6. Definition of a Record**

A record is any information created, received, held, or maintained by the organisation as evidence of its activities.

Records may include:

- Written documentation
- Electronic files
- Emails

- Text messages
- Reports
- Risk assessments
- Safeguarding records
- Meeting minutes
- Photographs
- Financial documents
- Training records

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**7. Principles of Good Record Keeping**

All records should be:

**Accurate**

Information must be factual and correct.

**Clear**

Records should be understandable and easy to follow.

**Timely**

Records should be completed as soon as possible after events occur.

**Relevant**

Only necessary information should be recorded.

**Objective**

Records should distinguish facts from opinions.

**Secure**

Information must be protected from unauthorised access.

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**8. Responsibilities**

**Directors**

Responsible for:

- Governance oversight.

- Ensuring compliance with legal requirements.
- Supporting effective record management systems.

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**Managers**

Responsible for:

- Monitoring record keeping standards.
- Ensuring records are maintained appropriately.
- Supporting training and compliance.
- Undertaking audits where required.

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**Employees and Volunteers**

Responsible for:

- Creating accurate records.
- Following organisational procedures.
- Maintaining confidentiality.
- Storing records securely.
- Reporting concerns relating to records.

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**9. Service User Records**

The organisation will maintain records relevant to service delivery.

Records may include:

- Personal details
- Emergency contacts
- Consent records
- Support plans
- Risk assessments
- Safeguarding concerns
- Contact notes

- Significant events

Records should reflect the support provided and any actions taken.

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**10. Recording Standards**

Records must:

- Be written clearly.
- Be factual.
- Be professional.
- Be respectful.
- Avoid discriminatory language.
- Be signed or attributable to the person creating the record where appropriate.

Employees and volunteers should avoid:

- Personal opinions
- Speculation
- Assumptions
- Inappropriate comments

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**11. Electronic Records**

Electronic records may include:

- Databases
- Digital files
- Emails
- Electronic forms
- Secure cloud-based systems

Electronic records must be:

- Password protected.
- Securely stored.
- Accessible only to authorised individuals.

- Backed up where appropriate.

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**12. Paper Records**

Paper records must be:

- Stored securely.
- Protected from damage.
- Protected from unauthorised access.
- Retained in accordance with organisational procedures.

Secure storage arrangements should be used wherever appropriate.

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**13. Confidentiality**

Records often contain sensitive and confidential information.

Employees and volunteers must:

- Maintain confidentiality.
- Access information only when authorised.
- Prevent unauthorised disclosure.
- Follow the Confidentiality Policy.

Confidential information must not be discussed or shared inappropriately.

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**14. Data Protection and Security**

The organisation will take appropriate measures to protect information from:

- Loss
- Theft
- Damage
- Unauthorised access
- Unauthorised disclosure
- Misuse

Security measures may include:

- Password protection
- Encryption
- Locked storage
- Access controls
- Secure disposal procedures

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**15. Access to Records**

Access to records will be restricted to individuals with a legitimate need to know.

Access may be granted to:

- Relevant employees
- Relevant volunteers
- Managers
- Regulatory or legal bodies where required

Unauthorised access is prohibited.

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**16. Record Amendments**

Where amendments are required:

- Original information should remain identifiable.
- Changes should be dated.
- Reasons for amendment should be clear.
- Records should not be falsified or altered improperly.

The integrity of records must always be maintained.

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**17. Retention of Records**

Records will be retained for appropriate periods based on:

- Legal requirements.
- Organisational needs.
- Safeguarding considerations.

- Regulatory guidance.

A retention schedule will be maintained where appropriate.

Records should not be retained longer than necessary.

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**18. Secure Disposal of Records**

When records reach the end of their retention period, they must be disposed of securely.

Examples include:

**Paper Records**

- Confidential shredding
- Secure destruction

**Electronic Records**

- Permanent deletion
- Secure destruction of storage devices where appropriate

Disposal must prevent reconstruction or unauthorised access.

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**19. Record Keeping and Safeguarding**

Accurate record keeping is essential for safeguarding.

Safeguarding records should:

- Be factual and timely.
- Clearly document concerns.
- Record actions taken.
- Record referrals made.
- Be stored securely.

Poor record keeping can place individuals at risk and impair safeguarding investigations.

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**20. Record Keeping and Incident Reporting**

Records relating to incidents should include:

- Date and time
- Individuals involved
- Description of events
- Actions taken
- Follow-up arrangements

Incident records should support investigation, learning, and accountability.

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**21. Auditing and Quality Assurance**

The organisation may undertake periodic audits to review:

- Accuracy of records
- Completeness of documentation
- Compliance with policies
- Information security arrangements
- Retention and disposal practices

Audit findings will be used to improve record management practices.

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**22. Training**

Employees and volunteers will receive training appropriate to their role regarding:

- Record keeping standards
- Data protection
- Confidentiality
- Information security
- Safeguarding documentation
- Incident recording

Training needs will be reviewed regularly.

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**23. Record Keeping Errors**

Where record keeping errors are identified:

- Corrections should be made promptly.
- Risks should be assessed.
- Appropriate management oversight should be provided.
- Learning opportunities should be identified.

Serious concerns may require investigation under relevant organisational procedures.

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**24. Case Study**

**Scenario: Recording a Safeguarding Concern**

A volunteer becomes concerned that a service user may be experiencing financial exploitation.

**Action Taken**

The volunteer:

- Records the concern immediately.
- Documents observed facts only.
- Avoids assumptions.
- Reports the concern to the Designated Safeguarding Lead.

**Outcome**

A safeguarding referral is made based upon clear and accurate documentation.

**Learning Point**

Timely and factual records support effective safeguarding and decision-making.

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**25. Monitoring and Quality Assurance**

The organisation will monitor:

- Record keeping standards
- Data breaches
- Safeguarding documentation
- Incident reports
- Audit findings

- Staff training compliance

Monitoring results will be used to improve record management systems and practices.

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**26. Responsibilities Summary**

| Role | Key Responsibilities |
|---|---|
| Directors | Governance oversight and compliance |
| Managers | Monitoring, audits and staff support |
| Employees | Accurate and timely record keeping |
| Volunteers | Following record keeping procedures |

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**27. Review Arrangements**

This policy will be reviewed:

- Annually
- Following significant incidents
- Following data breaches
- Following safeguarding reviews
- Following legislative or regulatory changes

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**Related Policies**

- Data Protection and GDPR Policy
- Confidentiality Policy
- Adult Safeguarding Policy
- Incident Reporting Policy
- Business Continuity and Emergency Planning Policy
- Risk Assessment Policy
- Volunteer Management Policy
- Health and Safety Policy