



Mower's Ark CIC

50 Broadway, Kettering, Northamptonshire, NN15 6DD

Review Sheet		
Last Reviewed 10 Jul '19	Last Amended 10 Jul '19	Next Planned Review in 12 months, or sooner as required.
Business impact	<p>Minimal action required circulate information amongst relevant parties.</p>	
Reason for this review	Other	
Were changes made?	Yes	
Summary:	This policy has been reviewed and updated to ensure it remains current. The references and further reading have been updated as well as additional reference made to GDPR in the policy section, and a removal in the procedure relating to delegation and accountability.	
Relevant legislation:	<ul style="list-style-type: none"> Freedom of Information Act 2000 The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 Access to Health Records Act 1990 General Data Protection Regulation 2016 Data Protection Act 2018 	
Underpinning knowledge - What have we used to ensure that the policy is current:	<ul style="list-style-type: none"> Author: NHS Digital, (2017), <i>Codes of practice for handling information in health and care</i>. [Online] Available from: https://digital.nhs.uk/data-and-information/looking-after-information/data-security-and-information-governance/codes-of-practice-for-handling-information-in-health-and-care [Accessed: 7/10/2019 12:00:00 AM] Author: Skills for Care, (2015), <i>Code of Conduct for Healthcare Support Workers and Adult Social Care Workers in England</i>. [Online] Available from: http://www.skillsforhealth.org.uk/images/services/code-of-conduct/Code%20of%20Conduct%20Healthcare%20Support.pdf [Accessed: 7/10/2019 12:00:00 AM] Author: Royal College of Nursing, (2015), <i>First steps - Record Keeping for Health Care Assistants</i>. [Online] Available from: http://rcnhca.org.uk/top-page-001/record-keeping/ [Accessed: 7/10/2019 12:00:00 AM] 	
Suggested action:	<ul style="list-style-type: none"> Encourage sharing the policy through the use of the QCS App Use existing, planned methods for sharing information 	



Mower's Ark CIC
50 Broadway, Kettering, Northamptonshire, NN15 6DD

This page is deliberately left blank

**Mower's Ark CIC**

50 Broadway, Kettering, Northamptonshire, NN15 6DD

**1. Purpose**

1.1 To provide a framework for the expectations around record keeping and to ensure that Mower's Ark CIC complies with good practice and the legal requirements for record keeping.

1.2 To support Mower's Ark CIC in meeting the following Key Lines of Enquiry:

Key Question	Key Line of Enquiry (KLOE)
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?
WELL-LED	W3: How are the people who use the service, the public and staff engaged and involved?

1.3 To meet the legal requirements of the regulated activities that Mower's Ark CIC is registered to provide:

- | Freedom of Information Act 2000
- | The Health and Social Care Act 2008 (Regulated Activities) Regulations 2014
- | Access to Health Records Act 1990
- | General Data Protection Regulation 2016
- | Data Protection Act 2018

**2. Scope**

2.1 The following roles may be affected by this policy:

- | All staff

2.2 The following Supported Individuals may be affected by this policy:

- | Supported Individuals

2.3 The following stakeholders may be affected by this policy:

- | Family
- | Advocates
- | External health professionals
- | Local Authority
- | NHS

**3. Objectives**

3.1 To enable staff, in whatever capacity they have with regards to record keeping at Mower's Ark CIC, to work according to best practice principles and within the law.

3.2 To assist with defining accountability and establishing ways of working with record keeping and the use of documented communication systems at Mower's Ark CIC.

3.3 To support the ability to evaluate and review the way in which information is managed and recorded.

**Mower's Ark CIC**

50 Broadway, Kettering, Northamptonshire, NN15 6DD

**4. Policy**

4.1 Records will be generated and kept of all activities which may affect the quality of care and/or support given, the continuity of that care and/or support, and any business matters which affect the integrity of Mower's Ark CIC and the safety of Supported Individuals.

4.2 Systems will be in place for ease of access to records. However, where the requested information includes personal information, Mower's Ark CIC will follow the data protection principles that set out the main responsibilities for organisations under the General Data Protection Regulations (GDPR) and confidentiality principles. Staff should refer to the GDPR suite of policies and procedures for further information.

4.3 Mower's Ark CIC will comply with record retention requirements and should refer to the Archiving, Disposal and Storing of Records Policy and Procedure in place at Mower's Ark CIC.

4.4 All staff who make entries in records are responsible for the quality and content as well as adherence to this policy.

4.5 All staff who supervise others during induction or training are responsible for the content and quality of the notes written whilst under their supervision. Staff will ensure that they fully understand and follow their code of conduct in relation to record keeping.

4.6 All staff must ensure that they comply with this policy and must report any related incidents involving breaches of confidentiality (including data loss) using the risk management procedures at Mower's Ark CIC.



Mower's Ark CIC
50 Broadway, Kettering, Northamptonshire, NN15 6DD



5. Procedure

5.1 The staff at Mower's Ark CIC should be aware that the procedure outlined below applies to the following types of record keeping:

- | Supported Individual clinical records
- | Staff communications
- | Memos
- | Diary and handover systems between staff
- | Minutes
- | Audits and report writing
- | Supervisions or appraisals
- | Letters, e-mail or fax communication

5.2 Acknowledging the Importance of Record Keeping

All staff must be aware of the following principles when completing any records at Mower's Ark CIC:

- | They provide a permanent legal record
- | They may be used for audit and investigative purposes
- | Records should be reviewed to aid planning and continuity of Supported Individual Care and the running of Mower's Ark CIC
- | Times and dates should always be checked to confirm how up-to-date the records are
- | Significant events and actions documented are:
 - | Evident
 - | Easily located
 - | Legible
 - | Easily understood
 - | Relevant and truthful
 - | Signed by the entrant

5.3 Guidelines for Effective Record Keeping

- | Entries made should be as objective as possible and this means writing in a way that is exactly as the person has described. This ensures that entries are precise and accurate
- | If it is felt that assumptions are being made about people, this should be avoided and advice sought from the senior member of staff on duty
- | Observation, as well as talking and listening effectively, will enable staff to identify a Supported Individual's needs
- | Never leave documentation until the end of the working day. Records should be completed as soon after the event as possible to avoid forgetting valuable information
- | Records must not be made until after the event
- | Events may happen which will need to be reported immediately to a senior member of staff, such as accidents, incidents, serious hazards and complaints. If there is no immediate way of recording such matters, you should still make your own records
- | Supported Individuals must be made aware of any information kept about them and play an active part in their own Care Planning and communications. Records should evidence their awareness and involvement

5.4 Computer Held Records

- | Personal information held on computers must be password protected to avoid the risk of breaching confidentiality
- | There should be access controls in place to restrict users of the system to specific functions as defined by the system manager
- | Screens should not be left unattended when the system is active



Mower's Ark CIC
50 Broadway, Kettering, Northamptonshire, NN15 6DD

- | Steps must be taken to make regular backups of computer held records
- | Backups should be stored in a secure place, if possible, in a separate location

5.5 Standards for Healthcare Record Keeping

Standards required in record keeping may vary from profession to profession. Some standards apply to all healthcare professionals. These standards are:

- | Entries must clearly identify the author and include a printed name and signature
- | Entries must be legible
- | The time and date that the entry is made should be included
- | Each page must clearly identify the Supported Individual by recording their name and location
- | Mistakes should be crossed through with a single line, signed, dated and timed. Correction fluid must not be used. Any sheets containing errors must not be removed from the records
- | Documentation should be recorded and stored, and should be accessible in chronological order
- | Abbreviations should be avoided and, if used, should only be those in widespread use within the profession
- | Entries should be made in black ink

5.6 Guidelines for Dealing with Messages

- | Write down messages clearly and legibly
- | Listen carefully and check for accuracy with the person transmitting the message
- | Work out a scale of urgency for transmitting messages
- | If a message is left with someone else to pass on, be sure that the person it is intended for actually gets it

When writing down messages, include the following:

- | Name of the person sending the message
- | Name of the person who is to receive the message, date and time the message has been received and given, clear details of the communicated message and an indication of the urgency
- | Whether it was a verbal message or telephone message

5.7 Training and Education

All staff will be made aware of their responsibilities for record keeping and record management through the sharing and accessibility of this policy. Mower's Ark CIC will identify and support the training needs of all staff who may have specific requirements in relation to Supported Individual records, such as person-centred Care Planning.

All staff will receive an induction into record keeping requirements, the security of records, the confidentiality principles and data protection on commencement at Mower's Ark CIC and via individual support on an as-and-when needed basis.

5.8 Data Protection

Records kept within Mower's Ark CIC must be reviewed, retained and destroyed in accordance with recommended retention and disposal schedules. Staff should refer to the Archiving, Disposal and Storing of Records Policy and Procedure at Mower's Ark CIC for further information.

The collection of any information that is recorded will follow the principles set out in the General Data Protection Regulations, underpinned by the overarching need to gain consent from the Supported Individual and through open and transparent discussions about how personal information is used within Mower's Ark CIC. Staff should refer to the following policies for further information:

- | Consent to Examination or Treatment Policy and Procedure
- | Mental Capacity Act (MCA) 2005 Policy and Procedure
- | Confidentiality Policy and Procedure
- | Access to Information Policy and Procedure
- | GDPR suite of policies and procedures

Staff should also access further guidance provided from the ICO relating directly to the [management of healthcare data](#).



6. Definitions

6.1 Records

- Records are defined as 'recorded information, in any form, created or received and maintained by an organisation in the transaction of its business or conduct of affairs and kept as evidence of such activity'

6.2 Health Record

- A 'health record' means any record which consists of information relating to the physical or mental health or condition of an individual and has been made by or on behalf of a health professional in connection with the care of that individual

6.3 Handover

- This is the transfer of responsibility and accountability for some or all aspects of care to another person on a temporary or permanent basis

6.4 GDPR

- The General Data Protection Regulation 2016/679 is a regulation in EU law on data protection and privacy for all individuals within the European Union and the European Economic Area. It was implemented on 25th May 2018



Key Facts - Professionals

Professionals providing this service should be aware of the following:

- Information is of greatest value when it is accurate, up-to-date and accessible when needed
- A good standard of record keeping is the mark of a skilled and safe member of staff
- Mower's Ark CIC is dependent on its records to operate efficiently and account for its actions
- Records form a permanent record of individual considerations and the reasons for decisions. Records help staff to communicate with colleagues and with themselves
- Record keeping is vital to evidence all aspects at Mower's Ark CIC. Staff must be able to prioritise record keeping in their daily role. For effective auditing, 'if it's not written down, it's not done'
- Good record keeping is the product of good teamwork and an important tool in promoting a high-quality service



Key Facts - People affected by the service

People affected by this service should be aware of the following:

- Care Plans and health records will contain information about you and the support you need. This is important so that every member of staff involved with your care has access to what matters most to you
- There are strict laws and regulations to ensure that your health records are kept confidential and can only be accessed by people directly involved in your care
- You are encouraged to be fully involved in every aspect of your care and how this is delivered. Your health records will be used to record this information
- It is your right to review your records on request. If you wish, you can also request for someone else to view them. Staff will be able to advise you on request



Further Reading

As well as the information in the 'underpinning knowledge' section of the review sheet we recommend that you add to your understanding in this policy area by considering the following materials:

The Health Foundation Inspiring Improvement has produced a user guide to person-centred care, including further links and resources:

<http://www.health.org.uk/sites/health/files/PersonCentredCareMadeSimple.pdf>

**Mower's Ark CIC**

50 Broadway, Kettering, Northamptonshire, NN15 6DD

**Outstanding Practice**

To be 'outstanding' in this policy area you could provide evidence that:

- | Supported Individuals are fully involved in the production, assessment and evaluation of their care records
- | Themed audits take place to ensure compliance with this policy
- | Systems and processes are in place, which are efficient and regularly reviewed with regard to communication to staff and Supported Individuals
- | Where issues have arisen with regard to communication and record keeping, there is a 'no blame' culture in Mower's Ark CIC, but an opportunity taken to reflect on practice, review and implement changes for better outcomes
- | Feedback from sources such as external visiting professionals, Supported Individuals, staff and families is positive in relation to communication systems and record keeping
- | The wide understanding of the policy is enabled by proactive use of the QCS App