
Record Keeping

Date: March 2017
Review date: April 2018

If you would like to comment on this Standard [click here](#)

Regulatory requirements

Fundamental Standard

Regulation 17 – Good Governance 17(2)(c) 17(2)(a)

Health and Social Care Act 2008 (Regulated Activities) Regulations 2014

Action CQC may take:

CQC may take regulatory action other than prosecution.

(However, CQC may prosecute without a Warning Notice if they request a report on how you and Hft assess, monitor and mitigate risk and it is not sent to them within 28 days).

Appendices

There are no appendices for this Standard.

Learning and development

Induction: Read this Standard

SPARS – e-learning

Professional Record Keeping Workshop

Good Recording Practice – e-learning

Record Keeping

Why have this Standard?

People you support should have the support they want, and you should provide it in a way that keeps them safe and respects their rights and protects their dignity.

You are responsible for what you do when you are working and for recording this. If anyone asks you to give reasons for your actions, your recording will show what you decided and what you did. It is therefore very important that you follow excellent practices when recording and handling personal records.

This Standard tells you

- how you should record
- what you must do when recording to **empower*** the people you support
- helps you to **manage risk*** through good recording procedures
- about the records you **MUST** keep
- how long you should keep records

Introduction

You are **accountable*** for the records you produce – this means that you are responsible for what you record, and will have to explain what you have recorded if anyone asks you questions about them. The recordings you make show how you have supported people. This will include recording how people you support make their own decisions, make decisions with support and how you and others have assessed capacity and made best interests decisions. The language you use in records must always show that you respect the person.

How you should record

To keep records safe but easy to access Hft have an electronic recording system called SPARS. SPARS allows line managers to monitor if a person you support is getting the support they need.

[Link to: Assessment, Support Planning and Recording Standard](#)

You may use other forms of recording. You may keep records on paper for some people's support arrangements if the Regional Manager has agreed to a paper recording system.

You may provide accessible Support Plans for people you support.

Hft is registered under the **Data Protection Act (1998)** which is a code of practice for managing personal information set out by the Department of Health.

[Link to: Data Protection](#)

Your responsibilities are described in the Confidentiality Operational Standard

[Link to: Confidentiality Standard](#)

Empowering the people you support

It is important that a person you support understands and is confident that their records are correct, and held safely and remain **confidential***.

It is **your job** to tell the people you support about the records you need to keep for their personal **wellbeing***, health and safety. You should also make sure they know that you (and/or) others regularly update these records, and that they are kept securely.

You must have the consent of the person you support to keep information about them wherever possible. If the person does not have capacity to make this decision your manager will involve other relevant people who will make this decision on their behalf.

A person you support should also know that they can ask to see their personal records.

You **MUST** check with your line manager when anyone requests any information.

To empower the people you support you must:

- make sure that a person you support knows what is in their Support Plan and has been as involved as possible in what is included. They should be offered a copy of their Support Plan in an accessible format
- show or tell a person you support where their records are kept i.e. SPARS/personal files
- show or tell a person you support how you keep their records safe and how you protect their confidentiality
- tell a person how long you will keep records

See Record retention table, below (p8/9)

Managing risk through effective recording

You must keep an **accurate** record of how you are supporting a person.

You must:

- make sure that information is up-to-date at all times
- make sure that the records about the support you or others provide are up to date. You must provide enough detail about how you support the person and sign and date your record
- make sure that there are no gaps in records of when you or other staff have provided support. Records should show what has happened for the person i.e. who supported them, the choices they were offered and what the person chose to do during any period they have support. For example for people who have 24 hours support there should be a record of the 24 hours period. This is what is meant by keeping a **contemporaneous*** record.

- make sure that records you make are clear and correct – the words you use should show respect, and maintain the dignity of the person you support

[Link to: Appendix 2 Good Recording](#)

- make sure that information about the people you support is safely stored. You must also transfer this information in a safe way both within Hft and with other people and organisations
- if you use SPARS make sure that you keep your login details and password private so that other people cannot get information they should not see. **Do not** allow other people to make entries under your personal log-on details. You could be held responsible for the entries they make
- make sure that you keep any other information safe and that only the people who should see this information actually do

Required records

As a minimum, the following information should be held. If the requirement is different from this list, you must record the reasons for it e.g. no Financial Records as not providing this support.

Personal details
Name
Preferred name e.g. someone called David may prefer to be called Dave
Address
Date of Birth
Telephone number
Details of Next of Kin and/or other representatives
Details of GP
Details of support provider i.e. Hft
Details of care manager/social worker/Individual or Personal Budget Holder
Date of start (and end) of support
Original and latest assessment of support needs
Person-centred plan

Support Plan/goal plans/outcomes
Medical information (including medication), Health Action Plan and Hospital Passport
Any specific needs/dietary requirements
Financial records
Health and safety records i.e. accident reporting
Risk assessment(s) *
Any other information which helps in making sure that the support provided is consistent
Any changes to support need
How the person is involved in the planning and review of their support

You will know about all other recording you have to do. Some examples are incident reports, Risk Assessments, Safeguarding Adults Log, Complaints & Compliments, MAR sheets

Retention guidelines

'Retention of records' means keeping hold of them.

You **must not** destroy any records without the agreement of your manager.

The records of the people you support and have supported are kept indefinitely – i.e. they could be kept for good.

There are different timescales for other/specific records– please check with your manager if they are not included in the table below.

Record retention table

Record	Retention time
Risk assessments and anything to do with Health and Safety (including accident and injury records)	Indefinitely – these are normally kept on the web-based health and safety management system called ‘AssessNet’ – paper copies may also exist at services
Any Hft policies and procedures and any local operating standards	Indefinitely
Any records of purchases but not including medical devices and medical equipment e.g. new television, camera etc	7 years
Any incidents, events or occurrences that require notification to the Care Quality Commission	Indefinitely
Records relating to use of restraint or the deprivation of liberty	Indefinitely
Documents relating to maintenance of the premises i.e. new windows, new boiler etc	3 years
Documents relating to the maintenance of equipment i.e. electrical testing known as PAT testing	3 years

Hft Operational Standards: Record Keeping

Fire safety records	3 years
Water safety records	3 years
Service records for boiler, fire extinguishers etc	3 years
Vehicle records	3 years
Medical records	Indefinitely
Complaints/compliments	Indefinitely
Money or valuables deposited for safe-keeping	7 years
Staff employment records	40 years
Duty rotas	4 years after the year which they relate to
Purchasing of medical devices and medical equipment	11 years
Final annual accounts	30 years
Insurance claim documents	Indefinitely