

# RECORD KEEPING

<b>VERSION No</b>	5
<b>REVIEWED BY</b>	Registered Manager (MP)
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## Policy Statement

*This organisation believes that all records required for the protection of residents, and for the effective and efficient running of the organisation, should be maintained accurately and be up to date; that residents should have access to their records and information about them; and that all individual records and organisation records should be kept in a confidential and secure fashion.*




## The Policy

*This policy is intended to set out the values, principles and methods underpinning this organisation's approach to record keeping, data protection and access to records.*

## CONTEMPORANEOUS NOTES

-  Investigations into cases of alleged or actual abuse or neglect may in some cases lead to criminal and civil proceedings of one kind or another. For example, investigators may be called as witnesses for the police in criminal proceedings or on behalf of regulatory bodies in connection with criminal and civil proceedings against registered providers.
-  Notes taken in the course of investigations for one purpose may be important in the context of giving evidence in legal proceedings. Notes taken at the time of meetings with individuals, telephone calls, visits to premises and so on are referred to as 'contemporaneous' notes.
-  The value of contemporaneous notes is greatly enhanced evidentially if they are taken in a certain way. For them to be admissible in evidence in criminal proceedings they would have to conform to Rules of Evidence and statutory Codes of Practice set out in the Police and Criminal Evidence Act 1984.
-  Notebooks should be regarded as an official document. The notes recorded in them should be:-
  -  ***Factual: write nothing you would be unhappy to read out in court;***
  -  ***Made in ink at the time of an event or as soon after as is reasonable and practical;***
  -  ***Dated;***
  -  ***Original and not copied from elsewhere.***
-  As memory is fallible, such notes may be the only place from where evidence can be recalled and substantiated, so the following points should be observed:
  -  No erasures;
  -  No leaves to be torn out;
  -  No blank spaces to be left;
  -  No overwriting;
  -  No writing between lines;
  -  No separate pieces of paper;
  -  Amendments to be initialled;
  -  Notebooks to be retained.
-  *This guidance does not constitute full adherence to the law and statutory Codes of Practice for the keeping of contemporaneous notes but will assist if staff are called to give evidence in legal proceedings.*

## Record-keeping

-  With the residents' consent, records should include:
  -  Assistance with medication including time and dosage
  -  Financial transactions undertaken on behalf of the resident

- ✓ Details of any changes in the resident's or carer's circumstances, health, physical condition or care needs
  - ✓ Any accident, however minor, to the resident and/or care or support worker
  - ✓ Any other untoward incidents
  - ✓ Any other information that would assist the next health or social care worker to ensure consistency in the provision of care.
- ☞ All records required for the protection of residents and for the effective and efficient running of the organisation should be maintained in an up-to-date and accurate fashion by all staff.
  - ☞ Residents have access to their records and information about them held by the organisation; they are also given opportunities to help maintain their personal records at initial assessment, reviews and other occasions.
  - ☞ Individual records and organisation records are kept in a secure fashion; are up to date and in good order; and are constructed, maintained and used in accordance with the *Data Protection* and other statutory requirements.
  - ☞ Ensure that all files or written information of a confidential nature are stored in a secure manner in a locked filing cabinet and are only accessed by staff who have a need and a right to access them
  - ☞ Ensure that all files or written information of a confidential nature are not left in a place where they can be read by unauthorised staff or others
  - ☞ Check regularly on the accuracy of data being entered into computers
  - ☞ Always use the passwords provided to access the computer system and not abuse them by passing them on to people who should not have them
  - ☞ Use computer screen blanking to ensure that personal data is not left on screen when not in use.
  - ☞ All essential records and data relating to residents
  - ☞ All essential records and personnel data
  - ☞ Interview/recruitment records (records of interviews of applicants for posts who are subsequently employed for three years, and six months for applicants for posts who are not subsequently employed)
  - ☞ All paperwork and computer records relating to complaints
  - ☞ All paperwork and computer records relating to accounts and financial transactions.

### Access to Records

The organisation believes that access to information, and security and privacy of data, is an absolute right of every resident; furthermore, it believes that residents are entitled to see a copy of all personal information held about them, and to correct any error or omission therein. Any data should be clearly labelled and include the post holders who have the right to access the information.

### Storage and Disposal of Records

*Regulation 20 of The Health and Social Care Act 2008 (Regulated Activities) (Regulations 2010) laid down the requirements for record keeping and storage. These requirements are still in place. Wherever they are relevant to the service, the following records are kept and for the periods of time stated:*

<b>RECORD SPECIFICATION</b>	<b>PERIOD OF TIME FOR KEEPING THE RECORD</b> <i>(following date of last entry)</i>
Risk assessments; retain the last risk assessment	<i>until a new one replaces it</i>
Purchasing excluding medical devices and medical equipment	<i>18 months</i>
General operating policies and procedures: retain the current version and previous version	<i>three years</i>
Any incidents, events or occurrences that require notification to the Care Quality Commission	<i>three years</i>
Use of restraint or the deprivation of liberty	<i>three years</i>

Detention	<i>three years</i>
Maintenance of the premises	<i>three years</i>
Maintenance of equipment	<i>three years</i>
Electrical testing	<i>three years</i>
Fire safety	<i>three years</i>
Water safety	<i>three years</i>
Medical gas safety, storage and transport	<i>three years</i>
Money or valuables deposited for safe keeping	<i>three years</i>
Staff employment	<i>three years</i>
Duty rosters	<i>four years after the year to which they relate</i>
Purchasing of medical devices and medical equipment	<i>11 years</i>
Final annual accounts	<i>30 years</i>
Social care records for adults (i.e. care plans), are kept and disposed of in accordance with the Data Protection	<i>three years</i>

### Archiving records and documents.

Archived paper records are kept securely in locked metal cabinets. Electronic documents are archived and information is backed up.

### Destruction of Confidential Records

It is the responsibility of all staff to ensure information they are handling is destroyed effectively, securely and in accordance with this policy and procedure. All manual records that have reached their destruction date should be destroyed using one of the following methods:

- ✘ **Internal Shredding: Cross Cut Shredder:** Paper records are destroyed using a shredding device designed to cross cut material to ensure shredding cannot be reconstructed. Staff shredding their own records are responsible for ensuring records are destroyed adequately and in such a way that protects the security of the information contained within them.
- ✘ **Use of External Confidential Waste Disposal Company:** The confidential waste disposal company will supply waste disposal containers or bags which are stored until the required amount of waste meets the criteria agreed by the waste disposal company.
- ✘ **IT Equipment / Electronic Media:** All queries with regard to the destruction of IT equipment and electronic media must be referred to the IT Department or the organisations IT Consultants

### Training Statement

All new staff should be encouraged to read the policies on data protection, record keeping and confidentiality as part of their induction process. Training in the correct method for entering information in residents' records will be given to all care staff. The nominated data user/data controller for the organisation will be trained appropriately in the requirements of the *Data Protection*.

*Related Policies*  
*Access to Records and Files*  
*Adult Safeguarding*  
*Confidentiality*  
*Data Protection*  
*Cyber Security*  
*Residents Records*