

# GUIDANCE ON RECORDS TO BE KEPT BY REGISTERED INDEPENDENT HEALTHCARE SERVICES

## INTRODUCTION

Healthcare Improvement Scotland (HIS) requires those services registered with it to keep a list of records that reflect the requirements of the following statutory instruments:

- National Health (Scotland) Act 1978 as amended by The Public Services Reform (Scotland) Act 2010,
- The Healthcare Improvement Scotland (Requirements as to Independent Health Care Services) Regulations 2011, and
- The Healthcare Improvement Scotland (Applications and Registration) Regulations 2011.

All records must be available to HIS when requested and located within the registered service, unless agreed in writing with HIS.

Where it is not practicable to keep records within the registered service; for example if recruitment and personnel records are kept in a centralised location, agreement should be sought with HIS to determine where and how these records can be accessed.

This list of records is subject to change following review by HIS. In such circumstances providers will be issued with an amended list of records.

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<b>Records</b>	<b>Services Covered</b>
<b>Records about service users</b>	
The service users full name, address and date of birth	All Services
The full name, address, telephone number and email address of the service users next of kin or any person authorised to act or consent on the service user's behalf.  Where necessary this information should include their relationship to the service user and whether they have power of attorney (welfare and/or financial guardianship).	All Services
The name and address of the service user's General Practitioner.	All Services
The date on which the service provided to the service user commenced.	All Services
A record of consent to treatment	All Services
A record of the informed consent of all individuals sharing a bedroom.	Hospitals, Hospices
The date on which the provision of service to the service user ended.	All Services
The date, time and cause of death and the name of the certifying doctor of any service user who has died whilst in the care of the service (or who subsequently dies in hospital following admission to the service).	All Services

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<p>A record of all money and valuables deposited by the service user for safekeeping or received on the service user's behalf.</p> <p>The record must include:</p> <ul style="list-style-type: none"> <li>• The date on which the money or valuables were received or deposited.</li> <li>• The date on which any money or valuables were returned to the service user.</li> <li>• The date on which any money was spent on behalf of the service user, the amount of money spent and the purpose for which the money was spent.</li> <li>• The name and signature of the person authorising the expenditure and witnessing the receipt and return of money or valuables.</li> </ul>	All Services
<p>A record of any occasion where restraint or control was applied to a service user.</p> <p>The record must include:</p> <ul style="list-style-type: none"> <li>• Details of the form of restraint or control used, for example physical or chemical.</li> <li>• The reasons for such restraint or control,</li> <li>• The name of the person authorising the use of restraint or control.</li> </ul>	All Services
<p>Record of any incident which is detrimental to the health and welfare of a service user. This should include, but is not restricted to:</p> <ul style="list-style-type: none"> <li>• Absconding from the service</li> <li>• An incident resulting in injury</li> </ul>	All Services

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<ul style="list-style-type: none"> <li>• An incident required to be reported to HSE under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013</li> <li>• An Adult or Child Protection incident</li> </ul> <p>Records should include details of all actions taken as a consequence of analysing such incidents and the outcome.</p> <p>See IHC Notification Guidance for further details.</p>		
Records of meetings between a service user / relative and the service provider.	All Services	
<b>Staff records</b>		
<p>A record of each person employed in the provision of the service.</p> <p>This must include:</p> <ul style="list-style-type: none"> <li>• Full name, address, date of birth,</li> <li>• Qualifications, training and experience,</li> <li>• Role and responsibility in the service,</li> <li>• Reference checks,</li> <li>• PIN number identifying registration with a relevant professional body,</li> <li>• Details of the date, type and number of Disclosure Scotland Check and / or PVG details</li> <li>• Details of professional indemnity insurance</li> <li>• Date of commencement of employment, and</li> </ul>	All Services	
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• Date of termination of employment (where applicable).	
Record of any disciplinary action and outcomes taken against any member of staff. This must include details of any referral to GMC / NMC / GDC.	All Services
Training needs analysis for each member of staff and details of delivery of training.	All Services
A record of all staff meetings, including dates, agenda and decisions made.	All Services
A record of individual and group supervision sessions of staff employed in the service.	All Services
<b>Environment</b>	
Records of maintenance of equipment and premises (including vehicles).	All Services
A record of actions taken as a consequence of alerts from the Medicines and Healthcare Products Regulatory Agency ( MHRA)	All Services
Copy of Lease Agreement (for rented premises)	All Services
<b>Complaints</b>	
A record of any complaint made by a service user, representative, relative or other person.	All Services
Records must include:	

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<ul style="list-style-type: none"> <li>• Details of the complaint,</li> <li>• Details of any investigations undertaken,</li> <li>• Outcome of investigation and how information relayed to complainant.</li> </ul>		
<b>Medication</b>		
All records of medicines must be accurate, up to date and include all medicines including natural remedies and those supplied by service users.	All Services	
A record of any incident where a service user is administered medication belonging to another service user.	All Services	
A record of any occasion where a service user's prescribed medication has not been available to them.	All Services	
<b>Finance</b>		
<p>All '<b>Authorised Establishments</b>' must keep records that verify that:</p> <ul style="list-style-type: none"> <li>• The funds of the service and the service user are separate</li> <li>• The funds of service users are distinguishable from each other</li> <li>• Transactions, balance and interest on each account is clear at all times</li> </ul>	Authorised Establishments	
All Adults with Incapacity (AWI) Certificates.	All Services	
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All records that demonstrate compliance with the <i>Adults with Incapacity (Scotland) Act 2000 sections 39 and 41</i> - and associated codes of practice (for managers of ' <b>Authorised Establishments</b> ').	
<b>Staffing levels and deployment</b>	
Copies of daily staff duty rotas, including details of bank and agency staff usage and skill mix per department/ward.	All Services
<b>Other</b>	
Copies of the following insurance policies: <ul style="list-style-type: none"> <li>• Professional indemnity</li> <li>• Public liability</li> <li>• Employers (if relevant)</li> </ul>	All Services
Annual Duty of Candour reports	All Services

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