



Patient Care Record Policy (Including submission of records)

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The East of England Ambulance Service NHS Trust has made every effort to ensure this policy does not have the effect of unlawful discrimination on the grounds of the protected characteristics of: age, disability, gender reassignment, race, religion/belief, gender, sexual orientation, marriage/civil partnership, pregnancy/maternity. The Trust will not tolerate unfair discrimination on the basis of spent criminal convictions, Trade Union membership or non-membership. In addition, the Trust will have due regard to advancing equality of opportunity between people from different groups and foster good relations between people from different groups. This policy applies to all individuals working at all levels and grades for the Trust, including senior managers, officers, directors, non-executive directors, employees (whether permanent, fixed-term or temporary), consultants, governors, contractors, trainees, seconded staff, homeworkers, casual workers and agency staff, volunteers, interns, agents, sponsors, or any other person associated with the Trust.

All Trust policies can be provided in alternative formats.

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1.0 Introduction

The East of England Ambulance Service NHS Trust (EEAST) recognises its legal and moral duty to ensure that appropriate patient care records are completed for all patients it assesses and treats.

Accurate health records are a tool of professional practice and a contemporaneous account of any care and/or treatment delivered. A patient care record (PCR) is an important medical-legal document which must be completed and submitted for every clinical patient contact.

This policy encompasses all PCRs and their associated documentation currently in use within the Trust. This includes all those completed, whether they are **electronic or paper**, by any clinician such as: Paramedics, Doctors, Nurses, Emergency Medical Technicians and Emergency Care Assistants (including Ambulance Support Workers), as well as those completed by persons acting on behalf of the Trust such as volunteers and contracted organisations (agency and private ambulance services). For the purposes of Community First Responders the term 'patient care record' applies to the 'Incident Report Form'.

Accurate and timely information is paramount and a PCR may be used for a variety of reasons:

- to provide accurate information which may be transferred to the next health or social care professional
- assesses compliance against quality reporting standards associated with patient records
- improvement in quality of care (through audit and training processes)
- to help defend against complaints or legal proceedings
- as evidence i.e. in criminal cases, HM Coroner etc.

Therefore, all clinicians have a responsibility to complete a PCR with accuracy and clarity to provide a true contemporaneous record of any assessment undertaken and care/treatment delivered.

All PCRs and associated documentation must be treated as confidential documents.

It is the expectation of the Trust that **all patient care records will be completed on the ePCR portal** when this is available to the member of staff to use. The completion of a **paper record should become the exception** rather than the norm. If a paper record is completed where ePCR is available a Datix report will be required to identify the reason e.g. a technological failure.

ePCR has been implemented for a number of reasons;

- Reduce lost patient records, improving our ability to analyse our clinical activity and improve our patient care standards.
- To provide clinicians with a comprehensive range of clinical materials and databases to support their decision making processes in delivering most appropriate care pathway to the patient.
- Improve legibility of patient records which will help to reduce potential transcription and handover errors and improve patient outcomes.
- Improve crew capture activity, to support future PU and enhance training and development standards.
- Enable staff to view their individual record through an online web viewer to support and evidence their personal development.

All staff (whether employed by the Trust, or acting on behalf of the Trust either as volunteers or a contracted service) who complete or handle patient records must follow this policy. Failure to adhere to the contents of this policy could result in formal actions being taken in line with the Trust's Disciplinary Policy.

2.0 Purpose

This policy outlines the Trust's requirements and processes for the creation, completion, submission, access and storage of all PCRs excluding archiving, retention and destruction processes, which are included within the Trust's Records Management Policy and Procedures. This policy has been produced taking into account relevant legislation, including:

- Health and Social Care Act
- Public Records Act 1958
- Data Protection Act 2018
- Access to Health Records Act 1990
- Access to Medical Reports Act 1988
- Freedom of Information Act 2000
- Common Law Duty of Confidentiality
- NHS Confidentiality Code of Practice 2003
- Records Management Code of Practice for Health and Social Care 2016
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Legal Obligations

To enable the Trust to meet its legal obligations in relation to confidentiality and access to records, it is imperative that staff, who for any reason handle patient records, including the creation of such records, follow the outlined processes contained within this policy. This will be monitored in line with the monitoring section contained within this document and the Trust's Records Management Policy and Procedures.

This policy sets out the Trust's arrangements for the management of patient care records in all formats and uses, including:

- The need to document the assessment or treatment of a patient across all areas of Trust activity
- Basic requirements for record-keeping standards, which must be followed by all staff
- The description of the minimum set of data which needs to be completed – the minimum data set can be found Appendix 1
- The expectations of the Trust in regard to monitoring of PCRs
- The definition of responsibilities for all aspects of the patient record
- The process of reviewing, monitoring and tracking of Trust patient care records

All PCRs and related clinical documents must be stored as per the Trust Records Management Policy and Procedures – these documents also include the data storage requirements for ePCRs.

The Trust has a number of forms in place for patient care records, both paper and electronic, these include:

- i. **Emergency Services:** Including 999 patients, Health Care Professional assessed calls and transfers. This includes the use of Scheduled Transport and non Trust

resources when working on behalf of the Emergency Service. There is a mandated expectation that the electronic patient care record must be used where it is available.

- ii. **Emergency Clinical Advice & Triage): ECAT clinicians assess patients over the telephone rather than sending a clinician to the patient, or when following up a patient after a visit by a Trust clinician.**

The prime PCR for EOC is the record produced within Priority Solutions Integrated Access Management (PSIAM). This system requires no paper support as the assessment system is completely reliant upon an electronic system. Where clinical co-ordinators or Extended Triage Clinicians undertake an assessment the patient record becomes the CAD.

Where clinical assessment is undertaken business continuity arrangements must be in place to manage a technological failure.

- iii. **Community First Responders:** Incident Report Form completed when assessing and/or treating patients on behalf of the Trust, for the purposes of this policy the term 'PCR' encompasses this form.

A PCR must be completed in a clear and legible way using the relevant Trust approved minimum data set as defined in Appendix 1 for any patient assessed and or treated

For incidents where a patient has left the scene prior to the arrival of a resource, a PCR is not required however, it is important that all information relating to the incident is reported to the relevant control centre to ensure that this is documented on the control system

All PCRs and their related clinical documents such as checklists and consent forms etc, must be submitted and stored in line with the Trust's Records Management Policy and Procedures.

All PCRs and their related clinical documents must only be released externally from the Trust by the Patient Experience and Release of Information teams in line with the Trust's Release of Information Policy. This does not relate to the handover of PCR during transfer of care.

All PCRs and any related clinical documents required for internal use e.g. for use in investigation complaints, claims, incidents etc must be requested from the Patient Services/Release of Information teams or Clinical Records Manager.

PCRs with patient identifiable data visible must not be copied or printed under any circumstances unless with the express permission of the Trust's Caldicott Guardian or nominated staff acting on their behalf.

Shift Log Summaries and paper PCRs and any other paperwork completed by staff, (including volunteers and non-Trust resources) must be submitted to the relevant locality office within 14 days of the incident. Where a Corpuls monitor is used, the incident number must be recorded on the device and an ECG print out handed to the receiving hospital or given to the patient if they are not conveyed. A copy must not be retained with the Trust's copy of the PCR.

Electronic records must be completed and submitted securely and timely.

All clinical records (including patient records, ECGs, ROLE forms, thrombolysis forms etc) must be treated in accordance with the current data protection legislation, Caldicott Principles and the NHS Code of Confidentiality.

This policy pertains to all staff, not just clinicians, who have access to clinical records for any reason, i.e. audit, complaints, transportation, storage etc.

Limitations of the policy

This policy excludes:

- Staff health records
- The management of patient personal information which does not form a Patient Care Record, for example job lists and planning by Scheduled Transport

3.0 Duties

3.1 Trust Board

The Trust Board is responsible for ensuring appropriate policies, procedures and resources are in place to provide adequate governance arrangements in relation to Patient Care Records (PCR).

3.2 Chief Executive

The Chief Executive is ultimately responsible for the quality of PCRs and the security and management of such documents, this responsibility is delegated jointly to the Medical Director in their role as Caldicott Guardian and the Director of Nursing.

3.3 Caldicott Guardian

The nominated Caldicott Guardian for the East of England Ambulance Service NHS Trust is the Medical Director. They are supported by additional guardians who are responsible for protecting the confidentiality of patient and service-user information and enabling appropriate information-sharing ensuring that the Trust adheres to the seven Caldicott Principles:

3.4 Director of Clinical Quality and Improvement

The Director of Clinical Quality and Improvement is responsible for ensuring appropriate systems for;

- the design and content of PCRs,
- the use of PCRs,
- the quality monitoring of data recorded on them, and
- the secure archiving, retention and destruction of such documents.

3.5 Quality Governance Committee

The Quality Governance Committee (PSCSC) has designated Trust Board responsibility, amongst others:

- i. To review, monitor and challenge the approved risk management framework to ensure that Trust policies, systems and processes are effective in the management of all risks within the Trust and escalate risk management issues to the Audit Committee and/or to the Trust Board as necessary.

- ii. To review the Trust's clinical audit programme in line with the Trust's strategic direction and ensure that the audit report recommendations are followed up and through the Clinical Quality and Safety Group.
- iii. To ensure effective management, accountability, compliance and assurance for all aspects of Information Governance.
- iv. To ensure that workforce plans and training and education programmes take account of statutory and mandatory requirements set by statutory bodies and are fit for purpose to meet the transformation agenda and service redesign.

In order properly to fulfil its functions and to provide the appropriate audit trail, the Committee shall receive reports and notes of meetings from organisation groups established to review and manage risk and governance issues as shown in the Risk Management strategy, this includes both the Clinical Quality and Safety Group and the Information Governance Group.

3.6 Clinical Quality and Safety Group

The Clinical Quality and Safety Group (CQSG) is responsible for monitoring the clinical audit programme and any associated action plans and the review and monitoring of this policy.

3.7 Information Governance Group

The Information Governance Group (IGG) has responsibility for receiving any breaches of this policy in respect of the inappropriate release or loss of information and for monitoring any action plans implemented as a result.

3.8 Locality Directors

Locality Directors are responsible for ensuring that PCRs are completed and submitted for every patient, that they are monitored for quality purposes and that, in the case of paper records, that they are stored safely prior to their submission to the relevant locality office.

3.9 Compliance and Standards Lead

The Compliance and Standards Lead is the Trust lead for medical records ensuring all documents meet the retention and destruction schedules and are stored and managed in line with DH guidance and the Trust's Records Management Policy.

3.10 Clinical Audit Manager

The Clinical Audit Manager is responsible for ensuring that accurate data is extracted from PCRs for quality monitoring purposes in line with the Clinical Audit Policy.

3.11 Clinical Records Officer

The Clinical Records Officer is responsible for day to day management of systems and processes for the safe archiving, retrieval and retention and storage of paper PCRs when they are received at the locality offices.

3.12 Operational Managers

Operational Managers are responsible for:

- Ensuring staff within their areas are aware of the operating system for ePCR and that this is used as the primary source when it is available.
- Ensuring that PCRs are monitored in line with Trust quality purposes.
- Ensuring that records are packaged in the approved secure envelopes and submitted to their appointed locality office within the Trust 14 day standard.

3.13 Community Partnership Managers

Community Partnership Managers (CPMs) are responsible for ensuring that PCRs completed by Community First Responders are monitored monthly for quality purposes and that CFRs within their respective areas are aware of standards for completion and submission.

3.14 All Staff

All staff, including employees, volunteers and contractors of the Trust, have a duty to complete PCRs where appropriate, either paper or electronic, in line with this policy. The forms must be completed accurately and in a legible manner.

All staff who complete or handle PCRs for other purposes, such as archiving or audit purposes, must ensure that the records are secure and protected at all times in line with the current data protection legislation and the Caldicott Guardian principles.

3.15 Clinical Staff – Emergency Services

In relation to paper PCRs completed by the Emergency Service staff, these must be submitted to the relevant locality office within 14 days of the incident.

Clinicians have a responsibility to act upon the results of any documentation or clinical audits in order to effectively learn from and improve practice as part of their professional responsibilities and development.

3.16 Organisations assessing or treating patients on behalf of the Trust

Organisations acting on behalf of the Trust must abide by all Trust and NHS policies and guidance on PCRs. The Trust will include completion of PCRs and the security of PCRs as part of any inspection or audit carried out on such organisations.

Such organisations must ensure that all PCRs reach the nominated Trust office within 14 days of the incident, using the stipulated transfer method.

4.0 Basic Record-keeping Standards and High Quality Record-keeping

To ensure that information contained within the record is correctly recorded legible, and factual, the following guidance from the Confidentiality: NHS Code of Conduct: Record Keeping Best Practice document should be followed:

Patient records should be:

- factual, consistent and accurate
- completed as soon as possible after an event has occurred, providing current information on the care and condition of the patient;
- completed clearly, legibly and in such a manner that they cannot be erased;
- written in such a manner that any alterations or additions are dated, timed and signed in such a way that the original entry can still be read clearly;
- accurately dated, timed and signed or otherwise identified, with the name of the author being printed alongside the first entry;
- readable on any photocopies (for paper records)
- completed, wherever applicable, with the involvement of the patient or carer;
- clear, unambiguous, (preferably concise) and written in terms that the patient can understand. Abbreviations, if used, should follow common conventions;
- be written so as to be compliant with the Equality Act
- consecutive; (for electronic records) use standard coding techniques and protocols;

- relevant and useful

Erasers, liquid paper, or any other obliterating agents must not be used to cancel errors

They should also:

- identify problems that have arisen and the action taken to rectify them;
- provide evidence of the care planned, the decisions made, the care delivered and the information shared including exceptions where care and or treatment cannot be provided eg due to patient refusal, allergy etc;
- provide evidence of actions agreed with the patient (including consent to treatment and/or consent to disclose information).

And include

- medical observations: examinations, tests, diagnoses, prognoses, prescriptions and other treatments;
- relevant disclosures by the patient – pertinent to understanding cause or effecting cure/treatment;
- facts presented to the patient;
- correspondence from the patient or other parties.

Patient records should not include

- unnecessary abbreviations or jargon;
- meaningless phrases, irrelevant speculation or offensive subjective statements; irrelevant personal opinions regarding the patient.

4.1 Governing Body Requirements

All clinicians must also take into account the guidance issued by their relevant governing body in relation to patient records:

4.1.1 Paramedics: Health and Care Professions Council (HCPC) Requirements

Registrant paramedics must:

(2b.5) Be able to maintain records appropriately:

- be able to keep accurate, legible records and recognise the need to handle these records and all other clinical information in accordance with applicable legislation, protocols and guidelines
- understand the need to use only accepted terminology (which includes abbreviations) in making clinical records

(10) You must keep accurate patient, client and user records

Making and keeping records is an essential part of care and you must keep records for everyone you treat or who asks for professional advice or services. All records must be completed and legible, and you should write, sign and date all entries.

If you are supervising students, you should also sign any student's entries in the notes.

Whenever you review the records, you should update them and include a record of any arrangements you have made for the continuing care of the patient, client or user.

You must protect information in records against loss, damage or use by anyone who is not authorised. You can use computer-based systems for keeping records but only if they are protected against anyone tampering with them (including other health professionals). If you update a record, you must not erase information that was previously there, or make that information difficult to read. Instead, you must mark it in some way (for example, by drawing a line through the old information).

Note – the above requirements have been adopted by EEAST. Emergency Medical Technicians, Student Ambulance Paramedics, Emergency Care Assistants and any other persons either voluntary or contracted must adhere to these requirements.

4.1.2 Nurses – Nursing and Midwifery Council (NMC) Requirements

As a registered nurse or midwife, you must co-operate with others in the team:

- (4.4) Health care records are a tool of communication within the team. You must ensure that the health care record for the patient or client is an accurate account of treatment, care planning and delivery. It should be consecutive, written with the involvement of the patient or client wherever practicable and completed as soon as possible after an event has occurred. It should provide clear evidence of the care planned, the decisions made, the care delivered and the information shared.

4.1.3 Doctors – General Medical Council (GMC) Requirements

In providing care you must:

- (3.f) keep clear, accurate and legible records, reporting the relevant clinical findings, the decisions made, the information given to patients, and any drugs prescribed or other investigation or treatment
- (3.g) make records at the same time as the events you are recording or as soon as possible afterwards

4.2 Creation of a Contemporaneous Patient Care Record

With the exception of any cohorted patients, there will be a single care record; this is required for all patients and will include most of the information recorded. Other records may be created in support, such as a, PPCI checklist, ROLE form non-conveyance form, etc. Such records are elements of the PCR and must be kept together with the relevant Shift Log Summary. All Patient Care Records should be completed as soon as possible after an event has occurred, providing current information on the care and condition of the patient and in line with the basic record keeping standards as defined in Appendix 1.

All clinicians acting on behalf of the Trust (including Voluntary Aid Society members and staff of private services) have responsibility for the care of a patient, including the transfer or referral of a patient have responsibilities for creating and handling PCRs.

A PCR is required from the clinician for **every patient assessed or treated**. Once a PCR has been created it should be completed as soon as the patient care session is complete.

A patient is anyone contacting the Trust who requires healthcare assistance from the Trust. This can either be anyone attended by the Trust or spoken to by a clinician following contact with the Trust.

Exclusions not requiring a PCR:

Patients cared for by Scheduled Transport (PTS) as 'routine' which unexpectedly require emergency care from PTS staff.

If a PTS crew transport a patient at the request of a Trust clinician who has assessed the patient, the clinician will complete a PCR. The clinician will split the paper PCR and the non-clinical crew will hand the original (**bottom**) copy to the receiving HCP. When using an electronic system, the PCR will be made available to the receiving facility (through selecting the appropriate destination) or when this is not possible an ePCR will be printed out on paper.

Should an ePCR be created by a first arriving resource and the transport resource not be fitted with ePCR then a paper record should be created. The ePCR should be completed with details up until the point of handover and finalised by the clinician. The contents of the ePCR should be transferred to the paper record, as a minimum the observations first recorded by the first resource and details of any medications administered must be transferred to the paper PCR. The back-up crew should clearly mark the paper PCR as a continuation record and the ePCR identification number should also be recorded on the paper PCR for future reference. The identification number on the paper PCR **must be recorded** on the ePCR log to ensure that records can be linked at a later occasion if required and a comment added stating that all information has been transferred to this paper PCR.

If the first resource is not equipped with ePCR then a paper PCR should be completed. The top copy should be retained by the RRV and processed as per this policy, the carbon copy travelling with the patient. The transporting resource, if equipped, should then complete an ePCR for the purposes of recording any further assessment and treatment, including the handover of care to the receiving facility.

When a call has been reprioritised, if the first resource is equipped with ePCR this should always be used and to start and finalise an ePCR, leaving any pertinent information documented on a non-conveyance form. The conveying resource should then create their own patient care record as this is a second patient contact. Within the notes on the record it should be noted that this is an ambulance clinician booked urgent.

When a Trust clinician is attending a patient on behalf of an organisation contracting Trust services or on behalf of a GP under local agreement, the attending clinician should record their assessment and treatment using the Trust PCR system. The clinician should also make any records required by the contracting organisation.

It is acceptable for a record to be completed on behalf of an organisation be that for primary care or another organisation providing clinical support to the Trust. Such a record is not to be regarded as the PCR. Except for primary care records, such records will not contain any readily patient identifiable information.

4.3 Transfer of record

When a patient is handed over to another healthcare facility:

- **ePCR** - the PCR should be made available to the receiving facility either electronically or when this is not possible, printed out on paper.
- **Paper** - the **bottom copy** of the must be given over as part of the continuing care process.

Non-conveyed patients:

- **ePCR** – the PCR should be finalised and a ‘leave at home’ form completed.
- **Paper** – the **bottom copy** should be handed to the patient or may be passed to someone other than the patient with the permission of the patient.

If the patient is deceased, keep the top copy and process as normal, and leave the bottom copy with the patient, this will be available to the police if required.

It is important to ensure that a referral is made where appropriate and no documentation takes the place of a verbal clinician to clinician discussion

The **top copy** of the paper PCR must be retained and sent to a locality office in accordance with the guidance within this policy.

Electronic systems retain the information automatically.

Electronic systems should have their own system of producing a version of the record which does not contain any PI data.

Cohorting

Contemporaneous records are vital, and documentation of the patient’s condition should be maintained at least hourly, even if the patient appears stable and there have been no visible or obvious changes to their condition. This should be completed on an EEAST patient care record (PCR) and have the date, CAD number, crew, and patient details documented on the PCR. Number the pages accordingly, i.e. 1 or 2, 2 of 2 etc. and state that this is a cohorted patient. This documentation should be sent through to stations, where the courier will deliver the PCRs to the relevant locality offices.

Under no circumstances are clinicians or their managers to photocopy or download any part of the PCR without express permission of the Caldicott Guardian or staff acting on their behalf.

4.4 Submission of patient records

As part of the complete PCR process, staff working under the auspices of Emergency Services must also complete a ‘Shift Log Summary’ sheet and submit this with any completed paper records to their appointed area office as soon as possible and always within 14 days of its creation. This is to help reduce risk and permit efficient retrieval of records. Guidance on completing the ‘Shift Log Summary’ sheet can be found in appendix 2.

Until the full introduction of a full electronic PCR system, tracking of individual records remains difficult for the Trust, however it has implemented the following systems to ensure that records are safely transferred between stations and the main locality offices which should be followed at all times:

Ensure patient care records are stored securely within the 'Shift Log Envelope' at all times during the shift ensuring that, when handing the patient over at hospital or to another healthcare provider, that the record stays in your possession until the record is safely placed in the shift log envelope.

Remember it is your professional responsibility to look after this record.

Individual Clinician (emergency operations):

Paper:

- Complete record in accordance with training against patient needs.
- Sign record
- Bottom copy to follow patient.
- Top copy placed inside Shift log envelope with completed Shift Log Summary and VDI.
- Envelope placed unsealed in identified store at local station.

Electronic:

- Individual clinician creates record using their log on.
- Mandatory fields completed.
- Record finalised.
- End of shift ensure all records are finalised and deleted from tablet.
- Any ECGs marked with the CAD number and attached securely to the completed Shift Log Summary.

- Unsealed envelope placed in identified store at local station.

Supervisor / manager (for paper):

- Feedback to clinicians as felt appropriate based on accuracy (also includes clinical care and assessment) and legibility.
- Information relating to a late finish copied for GRS purposes
- PCR contents collated against Shift Log Summary prior to the envelope being sealed.
- Place PCRs in the approved secure zipped bags and seal ensuring that they are marked 'Confidential Medical Records', with the address of the receiving location and the name of the station submitting.
- Post bags should be conveyed to the local Area Office: Bedford, Chelmsford, or Norwich.
- Transportation of post bags containing PCRs should be transported by Trust Courier Services or nominated Trust staff only.

Courier:

- Ensure each post bag is sealed
- Transport the post bags in a secure and confidential manner
- Handover all the post bags to the nominated responsible team at the receiving Area Office – localities will be informed of their nominated team directly as this will depend on area and time of delivery.

Receiving location:

- Receive the post bags from the courier
- Return empty post bags via courier or internal post service
- Record receipt of records from specific station on the 'Delivery Log'
- Date stamp PCRs to ensure offices are receiving PCRs within the 14 day standard

- Prep and scan PCRs at each locality office
- The originals of scanned PCRs will be held within a secure area for one week post scanning before being placed in the blue 'confidential waste'
- Maintain and archive PCRs in accordance with Trust Records Management Procedure and Records Management Policy.
- Any stations submitting PCRs that exceed the 14 day standard will be contacted by the relevant locality office and the Clinical Records Manager notified of any outcomes.

Operational management will be informed of any reoccurring late or inappropriate arrivals. The Trust's formal reporting system will be used for repeated or serious problems.

4.5 Archiving

Archiving of PCRs will be conducted in line with the Trust's Records Management Policy.

4.6 Access

Access to patient records will be restricted for specific purposes on a 'need to know' basis, in accordance with the Trust's Records Management Policy and Release of Information Policy.

4.7 Data security and confidentiality

The duty of confidentiality arises out of the common law of confidentiality, professional obligations, and also staff employment contracts (including those for contractors). Breach of confidence, inappropriate use of health records or abuse of computer systems may lead to disciplinary measures, bring into question professional registration and possibly result in legal proceedings. Staff should ensure that they are aware of the requirements and standards of behaviour that apply.

Voluntary staff who are not employees, and students are also under obligations of confidentiality, and must sign an agreement indicating their understanding when helping within the NHS.

Records of the NHS are subject to the Public Records Act 1958, which imposes a statutory duty of care directly upon all individuals who have direct responsibility for any such records.

All PCR's must be treated as confidential documents at all times. Processes pertaining to the creations, use, storage and retrieval of all PCR's must be in accordance with the NHS Information Governance arrangements and associated Trust's policies and procedures.

All PCRs and copies of PCRs, both paper and electronic, requiring destruction must be carried out under confidential conditions in line with the NHS Retention Schedule.

Copies of all PCRs come under the same regulations as original documents; this policy applies equally.

5. Training

Training for all clinicians, including voluntary responders, will be included as part of their core training or induction. Further training is delivered to individuals and groups as identified within the Training Needs Analysis (contained within the Learning and Development Policy) and as part of an individual's personal development or as a result of any concerns raised through learning from an incident or complaint.

All staff receive training within their mandatory corporate induction on aspects of information governance, including:

- Confidentiality
- Current data protection legislation
- Freedom of Information Act (2000)
- Caldicott Guardian Principles

All attendance at training, both specific and generic is monitored through the Learning and Development Unit.

ePCR training will be undertaken to include the actual system and security.

6. Monitoring Compliance with the Document

The monitoring of compliance with this document is undertaken through a number of ways which is demonstrated in the table below:

What	How	Frequency	By whom	Evidence
Duties	Monitored through PDRs	Annually	Line Managers Including Trust Board level	EADR forms Identified Training Needs submitted to LDU
	As a result of concerns raised following an investigation of a complaint or incident	As required	Line Managers including Trust Board level	Documentation included on Datix Risk Management System
Basic record keeping standards which must be used by healthcare professionals for the completion of a contemporaneous health records	Monitored through clinical audit of patient records	In line with the Annual audit programme	Clinical Audit team	Audit reports
	Monitoring of records against the Minimum Data Set	Monthly	Operational Managers	Local submission reports/National Quality reporting
Organisations expectations in relation to training	Training Needs Analysis Training programmes review	Annually	LDU Trust Board	Board reports Minutes of meetings, training plans
Organisations expectations in relation to training	Training Attendance	Monthly	LDU Trust Board CCG	HR Report Quality Report

What	How	Frequency	By whom	Evidence
Creation and submission of PCRs	14 day standard	At least once annually	Clinical Audit Department	Report submitted to: LDU
	As a result of concerns raised by staff	As required	Clinical Records Officer / Clinical Audit Manager / Investigator (as applicable)	Minutes of Local Clinical Focus Group to address poor compliance
Retrieval and archiving	Monitoring of Release of Information requests.	Monthly	Patient Experience Officer	Documentation included on Datix Risk Management System
	As result of concerns raised following an investigation of a complaint or incident	As required	Line Managers including Trust Board level	Documentation included on Datix Risk Management System
Retention, destruction and disposal	Review of archiving databases	Annually	Clinical Records Officer / Compliance & Standards Lead	Emails Minutes: Meetings Destruction certificates

6.1 Clinical Audit

The Trust has in place an annual clinical audit programme which takes into account both nationally and locally driven priorities and which is used as a basis to measure the standard of both documentation standards and quality of care.

Clinicians are responsible for recording accurate and legible information.

Patient care records will be subject to regular audit. The objectives of such audit are:

- To aid in effective management of the Trust patient care record system
- To help ensure patient care records are retrievable when required
- To help ensure patient care records contain appropriate information
- To assist in controlling risks associated with non-compliance to the patient care record system. Trust wide monitoring and audits of the completion of records will measure each of the audit indicators listed within the Minimum Data Set (Appendix 1) and audit reports will be completed in line with the Trust's Clinical Audit Policy. Results should be analysed for patterns of non-compliance and reported for each operational area and service type including Voluntary Aid Societies (VAS) and Private Ambulance Service providers.

It would normally be contended that the absence of documentation confirming a specific examination / treatment infers that the examination / treatment did not take place.

Poor records = Poor defence
No records = No defence
If it is not written down it didn't happen
If it is written down, it happened as per documentation

Full reports including associated action plans will then be presented to the Clinical Quality and Safety Group for monitoring of any identified actions.

Full information relating to the Trust's processes and systems for clinical audit can be found in the Trust's Clinical Audit Policy.

7.0 References

- Current data protection legislation
- Access to Health Records Act 1990
- Freedom of Information Act 2000
- Access to Medical Reports Act 1988
- Caldicott Guardian Principles
- Confidentiality: NHS Code of Practice. (2003)
- Records Management: NHS Code of Practice Part 1. (2006)
- Records Management: NHS Code of Practice Part 2. (2nd edition). (2009)

Appendices

Appendix A Trust Patient Care Record Minimum Data Set (Basic record keeping standards) and Audit Standards

Appendix B Shift Log Summary Sheet Completion and Submission Guidance process

Appendix C Equality Impact Assessment Summary

Appendix 1: Trust Patient Care Record Minimum Data Set (Basic record keeping standards) and Audit Standards

	Field Title	Data required	Definition	Audit	Valid exception
1	Incident number	Incident number in format given by call system	The unique incident number allocated by call systems	Yes	None
2	Incident date	dd:mm:yyyy	The date which the Trust was contacted for assistance	Yes	None
3	Time contact with patient	hh:mm:ss	The time which the Trust clinician first sees or speaks to the first patient	Yes	None
4	Attending clinician's name (1)	Employee ID Number	First name and surname of the clinician responsible for the patient and patient record	Yes	None
5	Attending clinician's grade (1)	Doctor / ECP / Paramedic / Nurse / Technician / ASW / ECA / SAP: etc	The registered level of competence of the clinician	Yes	None
6	Attending clinician's name (2)	Employee ID Number	First name and surname of the clinician responsible for the patient and patient record	No	No second clinician
7	Attending clinician's grade (2)	Doctor / ECP / Paramedic / Nurse / Technician / ASW / ECA / SAP: etc	The registered level of competence of the clinician	No	No second clinician
8	NHS number	Patient's NHS number	The patient's unique NHS number	No	Unknown / not available
9	Patient's name	Patients full name, clearly separating family name with first name	The formal name of the patient	Yes	Unknown / patient refusal
10	Home address	Full postal address including postcode	The full address of the patient's normal place of residence	Yes	None
11	Date of birth	dd:mm:yyyy	The full date of birth of the patient	Yes	Unknown / patient refusal
12	Gender	Male / Female / Mixed gender	The clinical gender of the patient.	Yes	Unknown / patient refusal
13	Name of patient's education establishment	Name of school or college	The full name of the school or college currently attended by the patient. For patient's below the age of 18 only	Yes	Not applicable to patient
14	Place of patient's education establishment	Place of school or college	The town of the school or college currently attended by the patient. For patient's below the age of 18 only	Yes	Not applicable to patient

POL021 - Patient Care Record Policy

	Field Title	Data required	Definition	Audit	Valid exception
15	Patient's guardian	Name of parent or guardian	The full name of the patient's parent or guardian. For patients below the age of 18 only	Yes	Not applicable to patient
16	Patient's GP Surgery name	Name of surgery	Full name of the patient's GP surgery	Yes	Unknown / patient refusal
17	Patient's GP Surgery place	Place of surgery	Location of the patient's GP surgery	Yes	Unknown / patient refusal
18	Patient's ethnicity	Single choice from list	Single choice from Standard NHS ethnicity groups	Yes	Unknown / patient refusal
19	Patient assessment	As appropriate	Details and measures of any assessment carried out or where appropriate not carried out.	Yes	None
20	Pain assessment	Score of 0 to 10	The severity of any pain felt by the patient.	Yes	Unknown / patient refusal / patient unable to provide
21	Treatment offered or given	As appropriate	Details and measures of any treatment carried out or where appropriate not carried out. Treatment includes advice given.	Yes	No treatment or advice given documented
22	Drugs administered or prescribed	Name / dose/ time / admin or prescript /	Details of any medications administered, or prescribed	No	No drugs given or prescribed
23	Other elements of patient care record	Other PCR / ECG / Prescription / ROLE / /	State any other documents produced which form part of the assessment / treatment	No	No other elements created
24	Clinicians impression	Single choice from list	The condition diagnosed or treated by the clinician. Include 'no injury or no illnesses.	Yes	None
25	Handed over to	First name and surname	The name of person continuing care was handed over to	Yes	None
26	Time of handover	hh:mm	The time the patients care was handed over	Yes	None



POL021 - Patient Care Record Policy

	Field Title	Data required	Definition	Audit	Valid exception
27	Incident outcome	Single choice from list	Summary outcome of job. Deceased and transported, Deceased not transported, No patient found, Assessed - no treatment required, Assessed taking own transport for further treatment, Patient refused care, Patient treated but refused transport, Patient referred to other HCP, Treated and discharged, Treated and transported for further treatment, Other, PCR created in error	Yes	None

Appendix 2: Shift Log Summary



Appendix 3: PCR / Shift Log Summary data fields

Date:	Clearly record the date of duty.
Team ID / Station	Clearly record the ambulance base the crew start the shift from.
Call sign	Clearly record the 'call sign' used by the crew for that period of duty.
Start mileage	Clearly record the mileage displayed at the start of shift.
Finish Mileage	Clearly record the mileage displayed at the end of shift
Rostered Shift start	Clearly record the time that the duty shift commenced.
Rostered Shift finish	Clearly record the time that the duty shift finished.
Crew names	Clearly print the clinician's last name (surname) and initial.
Rostered Shift Y/N	Clearly record Y/N
OT Code if appropriate	Clearly record the Over Time code
Finish Time, if late	Clearly record Finish Time if different to Rostered Finish
Reason/Comments	Clearly record any reasons or comments
Incidental claimed as OT or TOIL	Clearly record if incidental overtime is claimed as OT or TOIL
CAD No	Clearly record the number allocated by HEOC that uniquely identifies each incident attended
Chief Complaint Code	Clearly record the two or three figure recorded as the Primary Clinical Impression Code on the corresponding PCR.
Incident location	For crew use only; record whatever details you find useful. Do not record personal patient details.
PCR number	Clearly record the unique PCR number found at the top left corner of the paper record or at the top centre of the electronic record. If another crew is submitting the PCR record the Call Sign of the crew submitting.
No PCR completed	Clearly record the reason why a PCR was not completed
Driver	Clearly state the driver, 1, 2, 3 or specify with name
Controlled Drugs used	Clearly tick if controlled drugs were used at this incident
Admin Check	Clearly record initials
Notes	Clearly record any notes about the job, no patient identifiable information
Envelope Number	If more than one envelope is used for a single shift record here how many sheets are used



Appendix 4: Shift Log Summary Process

Commence shift - start Shift Log Summary

Start at a Shift Log Summary envelope at the start of every shift



Patient Care Record completed

An ePCR should be completed for every occasion that a clinician assesses a patient where it is available.
All PCRs should be clinically coded and include call reference number



PCR / Shift Log incident row completed

Every incident to be recorded; even if stood down

Ensure patient care records are stored securely within the 'Shift Log Envelope' at all times during the shift ensuring that, when handing the patient over at hospital or to another healthcare provider, that the record stays in your possession until the record is safely placed in the shift log envelope



Complete PCR / Shift Log

At the end of each shift complete any final information and check for accuracy ensuring any paper PCRs are placed inside the Shift Log Summary envelope – top copies only. Check all completed paper PCRs are inside the Shift Log Summary envelope



Submit Shift Log Summary Sheet and any paper PCRs

At the end of each shift, the clinician should submit them in line with locally agreed processes ie direct to supervisor/ identified receptacle etc.



Transfer of records from station / depot

Make sure all corresponding PCRs are included within the shift log envelope as well as other documents relating to the incident, e.g. ROLE Witness statement, ECG, patient consent form). Place in zipped post bag and seal. Post bags should be labelled with the ambulance base and addressed as Confidential Medical Records, local Area Office full address ready for collection by a Trust Courier.

Post bags should be delivered each weekly to the locality Office as a minimum



Received by Locality Office

Check for receipt of post bags daily. Sort and scan records. For those PCRs that exceed the Trust 14 day standard, follow up with the relevant station and advise the Corporate Records Officer of the outcome



Archive

Archive in accordance with the Trust's Records Management Procedure



Equality analysis

Title: Patient Care Record Policy

What are the intended outcomes of this work?
To maintain a quality assured evidence base and measure compliance with guidelines to ensure patient safety and enable quality improvement.

Who will be affected?
Staff, third party contractors, patients and general population

Evidence

What evidence have you considered: the Policy meets all requirements /guidance released by the Department of Health in relation to data protection as well as legislative requirements / standards.

Disability
The policy can be made available in different formats if required.

Gender
No evidence found to highlight any differences/ allowances required

Race
The policy can be made available in different formats if required.

Age
The policy can be made available in different formats if required.

Gender reassignment (including transgender)
No evidence found to highlight any differences/ allowances required

Sexual orientation
No evidence found to highlight any differences/ allowances required

Religion or belief
No evidence found to highlight any differences/ allowances required

Pregnancy and maternity
No evidence found to highlight any differences/ allowances required

Carers
No evidence found to highlight any differences/ allowances required

Other identified groups
No evidence found to highlight any differences/ allowances required

Engagement and involvement

The Policy will be presented to the PSCSC via the IGG. Patient representatives and Non-Executive Directors attend PSCSC meetings.

As above



Summary of Analysis

No evidence to suggest that there is any potential differential impact for any of the protected characteristics.

Eliminate discrimination, harassment and victimisation

No evidence to suggest that there is any potential differential impact for any of the protected characteristics.

Advance equality of opportunity

No evidence to suggest that there is any positive or negative impact for any of the protected characteristics.

Promote good relations between groups

No evidence to suggest that there is any positive or negative impact for any of the protected characteristics.

What is the overall impact?

No evidence to suggest that there is any positive or negative impact for any of the protected characteristics.

Addressing the impact on equalities

No actions required

Action planning for:

No gaps identified

Please give an outline of your next steps based on the challenges and opportunities you have identified

Not applicable

For the record

Name of person who carried out this assessment: Natalie Mudge, Compliance and Standards Lead

Date assessment completed: 15/09/2017

Name of responsible Director: Sandy Brown

Date assessment was signed:

Action plan template

This part of the template is to help you develop your action plan. You might want to change the categories in the first column to reflect the actions needed for your policy.

Category	Actions	Target date	Person responsible and their Directorate
Reducing Health Inequalities			
Involvement and consultation			
Data collection and evidencing			
Analysis of evidence and assessment			
Monitoring, evaluating and reviewing			
Transparency (including publication)			

