

Records registered care services must keep



Introduction

This list of records services must keep reflects the requirements of The Public Services Reform (Scotland) Act 2010, and The Social Care and Social Work Improvement Scotland (Requirements for Care Services) Regulations 2011 and The Social Care and Social Work Improvement Scotland (Applications and Registration) Regulations 2011.

Services transferring as “Deemed” registered services to Social Care Social Work Improvement Scotland are required to continue to comply with Regulation of Care (Requirements as to Care Services)(Scotland) Regulations 2002, regulations 19 -24 inclusive.**

It is a legal requirement for all care services to keep these specified records, where the requirement to keep a record is limited to a specific type of care service, this is detailed.

Records should be available to SCSWIS when requested. Unless agreed in writing with SCSWIS, the records should be located in the registered service. Where it is not practical to keep records in the registered care service; for example if a service keeps recruitment and personnel records in a centralised location, you should agree with SCSWIS where and how these records can be accessed.

The list of records will be subject to change following any review by SCSWIS. In such circumstances, SCSWIS will issue providers with a reviewed list of records.

Providers must ensure that they comply with the Data Protection Act 1998 and seek their own legal advice about this.

** See appendix 1

Records about people who use a service

Records	Services Covered
There must be a record detailing their name, address and date of birth.	All services
The date a person started using the service.	All services
Details of the next of kin or of any person authorised to act or consent for the person using the service, including their name, address, telephone number and email address. Where necessary, the information should also include details of their relationship with the person using the service and where the person has power of attorney that has been activated, what type, for example, welfare or financial guardians.	All services
The name and address of their General Practitioner	All services
Care homes for adults should make and keep copies in the care plan of any Adults with Incapacity (Scotland) Act 2000 section 47 certificate (medical certificate of incapacity)	Care homes
Where a bedroom is shared details of the informed consent of both individuals	Care homes
The date they stopped using the service	All services
If someone dies while in the service, or subsequently dies in hospital following admission to hospital at the point of receiving a service, the record must include the date, time, cause of death and name of certifying doctor of anyone who died while in the care of the service.	All services
Where restraint or control is applied, the record should include details of the form of restraint or control, for example physical or chemical. The record should show the reasons for using the restraint or control, risk and benefits assessment, the name of the person authorising it, discussions with relatives, care, guardian etc and arrangements for monitoring and ongoing assessment.	All services
Detail of any incident that is detrimental to the health and welfare of a service user. This should include, but not be restricted to: <ul style="list-style-type: none"> • Absconding from the service • Person given wrong medication and / or wrong dose • Any incident resulting in injury • Any incident required to be reported to HSE (Health and Safety Executive) as RIDDOR • Any incident that would be described as a "near miss" that could have led to injury of harm to a service user. This should include any lesson learned and action taken. • Any incident that is considered as an adult or child protection matter. • Detail of monitoring of incidents and actions taken as a consequence of the analysis of such incidents. • The record should include detail of enquiry and outcome 	All services
Services must keep records of all instances of where they keep a person in seclusion and/or in a locked room. This record must identify the reasons, person authorising, detail of supervision and start and finish time of each period of seclusion.	Secure care services

Records	Services Covered
Keep records if a member of staff needs to search a person or their property. The record should identify reasons, person authorising, staff involved and any subsequent action arising from such instances.	All services
Keep records of all meetings with people using the service, social workers, GP's, relatives and other professional or interested parties.	All care services
Keep records of all minutes of fostering, adult placement and adoption panels.	Fostering services Adoption services Adult placement services

Staff records

Records	Services Covered
<p>A record of all staff employed in the provision of the service. This will include:</p> <ul style="list-style-type: none"> • Their full name, address, date of birth, qualifications, training and experience. • PIN or registration number which identifies the registration with the relevant professional body. Date of the initial checking and subsequent checking of the relevant register 	All services
Date of commencement in post and where applicable date of termination of employment.	All services
Details of each person employed each day in the provision of the service. This should include detail of their role and responsibility, and where they have been deployed in the service.	All services
A record of all persons employed, their role and responsibility and the positions held in the provider organisation.	All services
Keep a record of any disciplinary action and outcomes taken against any member of staff. This should include details of referrals to SSSC, NMC or GTC or other relevant professional body.	All services
Details of the date, type and number of Disclosure Scotland Check and / or PVG details.	All services
Records of the training needs analysis for each member of staff and details of delivery of training.	All services
Keep records of all staff meetings, including details of the date, agenda and decisions.	All services

Environment and safety

Records	Services Covered
Keep maintenance records of all equipment, premises and vehicles.	All services
A record detailing any action taken as a consequence of alerts from the Medicines and Healthcare Products Regulatory Agency (MHRA)	All services
Keep records of the procedure and any review of the procedure that staff must follow in the event of a fire or other emergency.	All services
Keep records of all fire drills, including evacuation and alarm tests carried out.	

Complaints

Records	Services Covered
Keep records of any complaints made by people who use the service, representatives, relative or other person. The record should include details of the date received, issues raised, action taken, outcome of the investigation and details of how the service informed the complainant about the outcome.	All services

Medication

Records	Services Covered
Keep an accurate and up to date record of the medicines people who use the service take, which the service are responsible for storing on the premises. This should include: <ul style="list-style-type: none">• Medicines like flu vaccines or injections that will be stored in the service for NHS staff or Macmillan nurses to administer• All medicines that have been ordered, taken, not taken or disposed of• "All medicines" include homely remedies and those supplied by or for a person using the service.	All services
Keep records detailing any incidences that a service gave medication to a person using the service without their consent or that of a person duly authorised to consent on the person using the service's behalf.	All services
Details of any incidence where a person has not had prescribed medication available to them when the service has responsibility for the medication being administered.	All services

Finance

Records	Services Covered
<p>The service if an 'authorised establishment' or any registered establishment where residents, to a varying extent, require assistance with their financial affairs must:</p> <ul style="list-style-type: none">• Keep records that identify the financial procedures and controls in place to safeguard the property of a person using the service managed by the provider.• That the funds of the service and people using the service are separate• That the funds of each person using the service and distinguishable from each other• That transactions, source of income and purpose of expenditure, balance and interest on each account is clear at any time	<p>Authorised establishments</p> <p>Care homes for adults or any registered establishment where residents, to a varying extent, require assistance with their financial affairs, for example, a care home for children where a person using the service may be over 16 and lacking capacity.</p> <p>Limited registration services</p>

Certificates for Adults with Incapacity (AWI)

Records	Services Covered
Keep records that comply with Adults with Incapacity (Scotland) Act 2000 sections 39 and 41 and associated codes of practice for managers of Authorised Establishments.	Authorised establishments Limited registration services
"Authorised establishments" should ensure that there is a record of a valid insurance cover to indemnify residents against any loss attributable to the management of residents' financial affairs by management of their behalf.	Authorised establishments Limited registration services
Records should include annual accounts of the service certified by an accountant, details of the running costs of the service, including rent, mortgage payments and any expenditure on heat, fuel and payments to staff.	Limited registration services

Staffing levels and deployment

Records	Services Covered
<p>a) For everyone using the service, a provider shall keep individual records of four weekly assessments of physical, social, psychological and recreational needs and choices as to how they will deliver their care. This will inform the direct care hours for the individual, and be recorded in each care plan.</p> <p>b) In respect of the delivery of the service, a provider should keep a record of the assessment that identifies the minimum staffing levels and deployment of staff on each shift over a four week period. This will take into account aggregated information of the physical, social, psychological and recreational needs and choices in relation to the delivery of care for all individuals, also taking into account the physical layout of the building staff training and staff supervision needs.</p> <p>c) The overall assessment of staffing level and deployment must be available to any visitors to the service and everyone using it.</p>	Care homes, premise based support services, school care accommodation, secure care and care home based offender accommodation
Where the service provides support to people in their own homes, keep records that detail missed and late visits. The record should show an analyse of the information showing cause, effect and necessary action	Support service - care at home, housing support service, nurse agency and child care agency.

Appendix 1 - Details of records to be kept by “deemed registered” services

Records

- 19.— (1) A provider shall keep a record of the following matters in respect of each service user:—
- (a) the service user’s name, address and date of birth;
 - (b) the name, address and telephone number of the service user’s next of kin or of any person authorised to act on behalf of the service user;
 - (c) the name, address and telephone number of the service user’s general practitioner; and
 - (d) the date on which the service was first provided to the service user.
- (2) A provider shall keep a record of all persons employed in the provision of the service, specifying in each case—
- (a) their full name, address, date of birth, qualifications, training and experience;
 - (b) the date of commencement and, where applicable, the termination of the employment;
 - (c) positions held;
 - (d) any registration which the person is required by or under any enactment to hold in order to perform the duties for which the person is employed; and
 - (e) any disciplinary action which the employer has taken against the person, including the outcome of any such action.
- (3) A provider shall keep a record of—
- (a) any occasion on which restraint or control has been applied to a user, with details of the form of restraint or control, the reason why it was necessary and the name of the person authorising it;
 - (b) the procedure which is to be followed in the event of a fire or other emergency;
 - (c) ball fire drills and alarm tests which have been conducted;
 - (d) any incident which is detrimental to the health or welfare of a service user;
 - (e) any maintenance of equipment which is used in the provision of the service;
 - (f) any complaint made by a service user or a representative or relative of a service user or a person employed in the care service about the operation of the care service, the outcome of such complaint and the action taken;
 - (g) the persons who were employed in the provision of the service each day;
 - (h) all money or other valuables deposited by a service user for safekeeping or received on the service user’s behalf, which—
 - (i) shall state the date on which the money or valuables were deposited or received, the date on which any money or valuables were returned to a service user or used, at the request of the service user, on the service user’s behalf and, where applicable, the purpose for which the money or valuables were used; and
 - (ii) shall include the written acknowledgement of the return of the money or valuables;
 - (i) the date, time and cause of death of any service user who has died while the care service was being provided to the service user and the name of the doctor certifying death;
 - (j) medicines for the use of service users which are kept on the premises from which the care service is provided; and
 - (k) details of any instance in which medication has been administered to a service user without the consent of that service user or of a person duly authorised to consent on the service user’s behalf.