

434

MAINTAIN AND MANAGE RECORDS AND REPORTS

Unit overview

Elements of competence

- 434a Maintain records and reports
- 434b Provide evidence for judgements and decisions
- 434c Implement legal and policy framework and protocols for access to records and reports
- 434d Share information with individuals, families, groups and communities

About this unit

For this unit you need to be able to manage, present and share records and reports. The records and reports relate to your work with or on behalf of service users and for supervision and teamwork.

Scope

The scope is here to give you guidance on possible areas to be covered in this unit. The terms in this section give you a list of options linked with items in the performance criteria. You need to provide evidence for any option related to your work area.

Judgements and decisions relating to: individuals, families, groups and/or communities; supervision and teamwork.

Policies and protocols relating to: content; format; frequency; confidentiality; security.

Records and reports relating to: the needs of service users and their carers and families; service provision, including unmet need; individuals, families, groups and/or communities; for supervision and teamwork.

Accessed and shared information: electronically; as paper-based documents.

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Key words and concepts

This section provides explanations and definitions of the key words and concepts used in this unit. In occupational standards it is quite common to find words or phrases used which you will be familiar with, but which, in the detail of the standards, may be used in a very particular way.

Therefore, we would encourage you to read this section carefully before you begin working with the standards and to refer back to this section as required.

Others	Are those with whom you work including individuals, families, friends, carers, groups, communities, colleagues within your organisation and other practitioners
Teamwork	Includes multi-disciplinary and multi-agency teams, partnerships, joint working between teams that include individual, family group or community based support, as applicable to your work role and practice
Action taken	Associated with your own practice, the practice of others, organisational practices and procedures, action related to the provision and services, and actions related to the recording systems and practices

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434a Maintain records and reports

Performance criteria

You need to show that:

- 1 You identify legal, organisational and inter-agency policies and protocols for recording and reporting
- 2 You clarify any uncertainties about recording and reporting with your line manager or professional supervisor
- 3 You use recording and reporting procedures, including the use of information and communication technology, to produce records and reports that:
 - reflect best practice
 - are accurate, concise, objective, understandable, legible and accessible
 - promote the participation of service users and others in planning, carrying out and reviewing the effectiveness of provision and services in:
 - ◇ meeting their needs
 - ◇ identifying and exposing gaps in resources and services and unmet need
 - ◇ promoting human growth, development and independent living
 - ◇ countering disadvantage, discrimination and social exclusion
 - document conflicts, disagreements, unmet needs and any risks associated with these
- 4 You maintain and update records according to legal, organisational and inter-agency policies and protocols

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434b Provide evidence for judgements and decisions

Performance criteria

You need to show that:

- 1 You clearly and accurately record:
 - judgements and decisions
 - the evidence on which the judgements have been based
 - where judgement is based on informed opinion

- 2 You record other evidence and reports which:
 - support your judgements and decisions
 - conflict with your judgements and decisions
 - clarify events and decisions

- 3 You check and agree the accuracy of the records and evidence with all concerned in the decision making process, and acquire the appropriate signatures, if required

- 4 You record and report any disagreements and actions taken to resolve these

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434c Implement legal and policy framework and protocols for access to records and reports

Performance criteria

You need to show that:

- 1 You identify legal and organisational requirements for confidentiality, access and security of reports and records
- 2 You balance confidentiality requirements with the need for openness
- 3 You clarify policy and best practice for method of dissemination
- 4 You disseminate records and reports according to legal and organisational requirements and agreements with service users and others
- 5 You store records and reports:
 - in a way that facilitates retrieval and sharing of information
 - according to legal and organisational procedures for security

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434d Share information with individuals, families, groups and communities

Performance criteria

You need to show that:

- 1 You identify:
 - legal, organisational and inter-agency requirements for the sharing of information, including the need to maintain privacy, confidentiality and security of information
 - the criteria for sharing information including:
 - ◊ how the information will be accessed and shared
 - ◊ the frequency with which information will be shared
 - feedback and review mechanisms appropriate to the target audience for the information
- 2 You share records and reports with others according to legal, organisational and inter-agency requirements and the criteria set
- 3 You receive, discuss and take action in response to feedback from those who receive your records and/or reports
- 4 You maintain records of:
 - views on progress or the lack of it
 - areas of disagreement and conflict
 - any actions arising from feedback received

Knowledge specification for the whole of this unit

Competent practice is a combination of the application of skills and knowledge informed by values and ethics. This specification details the knowledge and understanding required to carry out competent practice in the performance described in this unit. When using this specification **it is important to read the knowledge requirements in relation to expectations and requirements of your job role.**

Values

- 1 Awareness of your own values, prejudices, ethical dilemmas and conflicts of interest and their implications on your practice
- 2 Respect for, and the promotion of:
 - each person as an individual
 - independence and quality of life for individuals, whilst protecting them from harm
 - dignity and privacy of individuals, families, groups and communities
- 3 Valuing, recognising and respecting the diversity, expertise and experience of individuals, families, groups and communities
- 4 Maintaining the trust and confidence of individuals, families, groups and communities by communicating in an open, accurate and understandable way
- 5 Listening to, respecting, promoting and balancing the views and wishes of individuals, families, groups, communities and other practitioners
- 6 Challenging, through your practice: discrimination, racism, disadvantage and other forms of inequality and injustice

Legislation and organisational policy and procedures

- 7 Local, UK, EU legislation, statutory codes, standards, frameworks and guidance relevant to mental health practice and related fields, including multi-disciplinary and multi-organisational practice on accountability and continuing professional development, data protection and confidentiality of information
- 8 Roles, responsibilities, procedures and timetables for recording, report writing, researching, storing, and disseminating information within the organisation and with other relevant organisations
- 9 Mandatory and discretionary destinations for reports and records including agreements between organisations and service users
- 10 Organisational policies, protocols and practices for the security and confidentiality of information and the sharing of information with other agencies

Theory and practice

- 11 Relevant theories on multi-disciplinary and multi-organisational reporting and recording and the differential impact of the status and power of professions and organisations
- 12 Methods of and reasons for mediation and complaints procedures, your responsibility in providing information about them and your role and that of individuals, families, groups and communities in accessing and using them
- 13 Best practice guidance on accessible language, evidence supporting professional judgement, recording differences and conflicts of fact and opinion
- 14 Knowledge and utilisation of electronic and information technology systems for recording and report writing

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Knowledge specification for the whole of this unit (continued)

- 15 Methods of:
- recording and report writing for different purposes in care practice and evaluation of their effectiveness
 - involving service users in report writing and recording to promote human growth, development and independent living

In your specific area of practice

- 16 Reviews of knowledge and practice guidance in relation to records and reports
- 17 Lessons learned from inquiries into serious failure of services and practice
- 18 Guidance from professional and specific policy organisations
- 19 Approaches to learning that will allow you to transfer your knowledge and skills to new and unfamiliar contexts

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Evidence requirements for this unit

- Direct observation by assessor and/or an expert witness is required for some of the performance criteria for every element in this unit.
- Prior to commencing the unit you should agree a plan with your assessor regarding the types of evidence to be used.
- You must provide your assessor with evidence for ALL the performance criteria, and ALL the knowledge requirements and the relevant parts of the SCOPE as applicable to your workplace.
- The evidence must, at all times, reflect the policies and procedures of the workplaces as linked to current legislation and valued and principles for best practice within the Health and Social Care Sector. This will include the National Service Standards for your area of work or client group.
- All evidence should relate to real work activities for ALL elements of this unit.
- Simulation is NOT permitted for this unit.

Competences can be demonstrated using a variety of types of evidence from the following:

- **Work products:** these can be any record that you would normally use within your normal role eg, minutes of meetings, communication records, records and reports, procedures and policies, etc.
- **Assignment/project:** you may have already completed a project or assignment (for example from HNC, NC, VRQ, BTEC courses, D32, 33, 34, A1 and V1). You could also use evidence of previous in-house training course/programmes you have completed showing professional development.
- **Reflective accounts:** you describe your actions in (a) particular situation(s) and reflect on the reason(s) for you practicing in that way, in relation to key people and others.
- **Questioning/professional discussion:** you and your assessor may agree on questions or discussion to demonstrate your knowledge, to supplement the knowledge demonstrated through observations, products and reflective accounts. These can be oral or written but evidence of this must be recorded.

NB Confidential records are not required in your portfolio, they can remain where they are normally stored and be checked by your assessor and internal verifier. If they are included they must be anonymised.