

Transfer of Physiotherapy notes from one clinic to another within the Physiotherapy service of Torbay and South Devon Health NHS Foundation Trust.

Standard Operating Procedure (SOP)

Ref No: 2353

Version: 1

Prepared by: Clinical Manager

Presented to: Head of Physiotherapy

Date: 16 October 2018

Ratified by: Head of Physiotherapy

Date: 16 October 2018

Review date: 19 October 2021

Relating to policies:

1. Purpose of this document

This Standard Operating Procedure has been created to ensure that an appropriate protocol is in place to ensure the safe transfer of notes from one clinic site to another in line with Information Governance.

2. Scope of this SOP

This procedure will apply to all staff working within the Department of Physiotherapy in Torbay and South Devon NHS Foundation Trust.

3. Instructions

- 3.1 When transferring notes from one clinic to another. They should be identified by attaching a 'Patient Record Transfer Sheet' (Appendix 1) onto the notes. If multiple notes are being sent from one clinic, multiple entries can be recorded on a single Patient Record Transfer Sheet contained within a single secured package
- 3.2 Supplies of the 'Patient Record Transfer Sheet' will be available to all Physiotherapy staff and will be accessed via the Physiotherapy on ICON within the Patient Notes Folder.
- 3.3 The notes being transferred should be recorded on the Excel spreadsheet which is found in the 'Physiotherapy' site in a folder called 'Patient notes '. The file is an Excel spreadsheet and is called 'Record of Transfer of Clinic Notes (Appendix 2).

The instructions are on the instruction tab. The transfer should be recorded in the clinic where the notes are being sent from. If a patient is moving permanently from one clinic to another, on arrival in the new location their entry on IHCS should be changed to match the new venue of their appointments. This should be changed by the person receiving the notes in clinic. This should therefore provide a pattern for staff to follow on the appointments system.

- 3.4 Notes should only be transferred between sites in a secured package marked private and confidential.
- 3.5 Upon receipt of notes at the transferred to clinic, the 'Record of Transfer of Clinic Notes' excel spreadsheet should be completed by the receiving staff member. Once this has been completed the 'Patient Record of Transfer Sheet' can be confidentially disposed of.
- 3.6 If notes are required urgently – for a clinic the next day – it is suggested that the notes are taken from one clinic to another in person. However, the notes must still have an attached 'Patient Record Transfer Sheet' and carried in a secured package and a record completed on the "Record of transfer of clinic notes" spreadsheet

4. Standards

Item	%	Exceptions
All members of the physiotherapy department	100	0
How will monitoring be carried out?	Audit of the 'booking out patient's notes from clinic' spreadsheet	
When will monitoring be carried out?	Every week	
Who will monitor compliance with guidelines	Head of service admin lead	

Equality Statement.

The Trust is committed to preventing discrimination, valuing diversity and achieving equality of opportunity. No person (staff, patient or public) will receive less favourable treatment on the grounds of the nine protected characteristics (as governed by the Equality Act 2010): Sexual Orientation; Gender; Age; Gender Reassignment; Pregnancy and Maternity; Disability; Religion or Belief; Race; Marriage and Civil Partnership. In addition to these nine, the Trust will not discriminate on the grounds of domestic circumstances, social-economic status, political affiliation or trade union membership.

The Trust is committed to ensuring all services, policies, projects and strategies undergo equality analysis. For more information about equality analysis and Equality Impact Assessments please refer to the [Equality and Diversity Policy](#)

Appendix:

[Appendix 1 – Patient Records Transfer Sheet](#)

[Appendix 2 – Record of Transfer of Clinic Notes](#)

Amendment History

Issue	Status	Date	Reason for Change	Authorised
1	Ratified	19 October 2018	New	Head of Physiotherapy

Department of Physiotherapy

PATIENT RECORDS TRANSFER SHEET

MEMBER OF STAFF SENDING NOTES	
NAME:	
CLINIC TRANSFERRED FROM:	
MEMBER OF STAFF EXPECTING NOTES/REQUESTED TRANSFER OF NOTES	
NAME:	
CLINIC DESTINATION:	
PATIENT NOTES BEING TRANSFERRED:	
NAME:	
ICS NUMBER:	
NHS NUMBER:	
REASON FOR TRANSFER:	
METHOD OF TRANSFER:	
DATE OF TRANSFER:	
DATE AND TIME OF NEXT CLINIC APPOINTMENT (if appropriate):	
WHICH CLINIC:	

The Mental Capacity Act 2005

The Mental Capacity Act provides a statutory framework for people who lack capacity to make decisions for themselves, or who have capacity and want to make preparations for a time when they lack capacity in the future. It sets out who can take decisions, in which situations, and how they should go about this. It covers a wide range of decision making from health and welfare decisions to finance and property decisions

Enshrined in the Mental Capacity Act is the principle that people must be assumed to have capacity unless it is established that they do not. This is an important aspect of law that all health and social care practitioners must implement when proposing to undertake any act in connection with care and treatment that requires consent. In circumstances where there is an element of doubt about a person's ability to make a decision due to 'an impairment of or disturbance in the functioning of the mind or brain' the practitioner must implement the Mental Capacity Act.

The legal framework provided by the Mental Capacity Act 2005 is supported by a Code of Practice, which provides guidance and information about how the Act works in practice. The Code of Practice has statutory force which means that health and social care practitioners have a legal duty to have regard to it when working with or caring for adults who may lack capacity to make decisions for themselves.

“The Act is intended to assist and support people who may lack capacity and to discourage anyone who is involved in caring for someone who lacks capacity from being overly restrictive or controlling. It aims to balance an individual's right to make decisions for themselves with their right to be protected from harm if they lack the capacity to make decisions to protect themselves”. (3)

All Trust workers can access the Code of Practice, Mental Capacity Act 2005 Policy, Mental Capacity Act 2005 Practice Guidance, information booklets and all assessment, checklists and Independent Mental Capacity Advocate referral forms on iCare

http://icare/Operations/mental_capacity_act/Pages/default.aspx

Infection Control

All staff will have access to Infection Control Policies and comply with the standards within them in the work place. All staff will attend Infection Control Training annually as part of their mandatory training programme.

Rapid (E)quality Impact Assessment (EqIA) *(for use when writing policies)*

Policy Title (and number)		Version and Date			
Policy Author					
An (e)quality impact assessment is a process designed to ensure that policies do not discriminate or disadvantage people whilst advancing equality. Consider the nature and extent of the impact, not the number of people affected.					
Who may be affected by this document?					
Patients/ Service Users <input type="checkbox"/> Staff <input type="checkbox"/> Other, please state... <input type="checkbox"/>					
Could the policy treat people from protected groups less favourably than the general population? <i>PLEASE NOTE: Any 'Yes' answers may trigger a full EIA and must be referred to the equality leads below</i>					
Age	Yes <input type="checkbox"/> No <input type="checkbox"/>	Gender Reassignment	Yes <input type="checkbox"/> No <input type="checkbox"/>	Sexual Orientation	Yes <input type="checkbox"/> No <input type="checkbox"/>
Race	Yes <input type="checkbox"/> No <input type="checkbox"/>	Disability	Yes <input type="checkbox"/> No <input type="checkbox"/>	Religion/Belief (non)	Yes <input type="checkbox"/> No <input type="checkbox"/>
Gender	Yes <input type="checkbox"/> No <input type="checkbox"/>	Pregnancy/Maternity	Yes <input type="checkbox"/> No <input type="checkbox"/>	Marriage/ Civil Partnership	Yes <input type="checkbox"/> No <input type="checkbox"/>
Is it likely that the policy could affect particular 'Inclusion Health' groups less favourably than the general population? (substance misuse; teenage mums; carers ¹ ; travellers ² ; homeless ³ ; convictions; social isolation ⁴ ; refugees)					Yes <input type="checkbox"/> No <input type="checkbox"/>
Please provide details for each protected group where you have indicated 'Yes'.					
VISION AND VALUES: Policies must aim to remove unintentional barriers and promote inclusion					
Is inclusive language ⁵ used throughout?					Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Are the services outlined in the policy fully accessible ⁶ ?					Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Does the policy encourage individualised and person-centred care?					Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
Could there be an adverse impact on an individual's independence or autonomy ⁷ ?					Yes <input type="checkbox"/> No <input type="checkbox"/> NA <input type="checkbox"/>
EXTERNAL FACTORS					
Is the policy a result of national legislation which cannot be modified in any way?					Yes <input type="checkbox"/> No <input type="checkbox"/>
What is the reason for writing this policy? (Is it a result in a change of legislation/ national research?)					
Who was consulted when drafting this policy?					
Patients/ Service Users <input type="checkbox"/>		Trade Unions <input type="checkbox"/>		Protected Groups (including Trust Equality Groups) <input type="checkbox"/>	
Staff <input type="checkbox"/>		General Public <input type="checkbox"/>		Other, please state... <input type="checkbox"/>	
What were the recommendations/suggestions?					
Does this document require a service redesign or substantial amendments to an existing process? <i>PLEASE NOTE: 'Yes' may trigger a full EIA, please refer to the equality leads below</i>					Yes <input type="checkbox"/> No <input type="checkbox"/>
ACTION PLAN: Please list all actions identified to address any impacts					
Action				Person responsible	Completion date
AUTHORISATION:					
By signing below, I confirm that the named person responsible above is aware of the actions assigned to them					
Name of person completing the form				Signature	
Validated by (line manager)				Signature	

Please contact the Equalities team for guidance:

For South Devon & Torbay CCG, please call 01803 652476 or email marisa.cockfield@nhs.net
For Torbay and South Devon NHS Trusts, please call 01803 656676 or email pfd.sdhct@nhs.net

This form should be published with the policy and a signed copy sent to your relevant organisation.

Clinical and Non-Clinical Policies – Data Protection

Torbay and South Devon NHS Foundation Trust (TSDFT) has a commitment to ensure that all policies and procedures developed act in accordance with all relevant data protection regulations and guidance. This policy has been designed with the EU General Data Protection Regulation (GDPR) and Data Protection Act 2018 (DPA 18) in mind, and therefore provides the reader with assurance of effective information governance practice.

The UK data protection regime intends to strengthen and unify data protection for all persons; consequently, the rights of individuals have changed. It is assured that these rights have been considered throughout the development of this policy. Furthermore, data protection legislation requires that the Trust is open and transparent with its personal identifiable processing activities and this has a considerable effect on the way TSDFT holds, uses, and shares personal identifiable data.

Does this policy impact on how personal data is used, stored, shared or processed in your department? Yes No

If yes has been ticked above it is assured that you must complete a data mapping exercise and possibly a Data Protection Impact Assessment (DPIA). You can find more information on our [GDPR](#) page on ICON (intranet)

For more information:

- Contact the Data Access and Disclosure Office on dataprotection.tsdf@nhs.net,
- See TSDFT's [Data Protection & Access Policy](#),
- Visit our [Data Protection](#) site on the public internet.