



**University Hospitals
of North Midlands**
NHS Trust

Ref: FOIA Reference 2018/19-597

Royal Stoke University Hospital
Quality, Safety and Compliance Department
Newcastle Road
Stoke-on-Trent
Staffordshire
ST4 6QG

Date: 11th April 2019

Tel: 01782 676474
Email FOI@uhn.nhs.uk

Dear

I am writing in response to your email dated 14th January 2019 requesting information under the Freedom of Information Act (2000) regarding policies. I sincerely apologise for the delay in responding.

I can neither confirm nor deny whether the information you have requested is held by the Trust in its entirety. This is because the information requested in questions 3 to 14 is not held centrally, but may be recorded in individual departmental records. In order to confirm whether this information is held we would therefore have to individually access all departmental records within the Trust and extract the information where it is present. We therefore estimate that complying with your request is exempt under section 12 of the FOI Act: cost of compliance is excessive. The section 12 exemption applies when it is estimated a request will take in excess of 18 hours to complete. We estimate that accessing and reviewing all departmental records and then extracting relevant information would take longer than the 18 hours allowed for.

Under section 16 of the FOI Act we are required to provide requestors with advice and assistance where possible. We would therefore like to advise you that if your request is shortened to just the questions that we are able to comply within the 18 hour time frame. In order to avoid further delay to your response we have provided this below.

As of 1st November 2014 University Hospitals of North Midlands NHS Trust (UHNM) manages two hospital sites – Royal Stoke University Hospital, and County Hospital (Stafford). Therefore the response below is for the two sites combined from that date where appropriate.

Q1 I would be very grateful if you could possibly supply original digital documents, or scanned copies, of the following information held by your Trust. Please provide all strategies relating to health records (electronic or paper health records) at your Trust

A1 Information currently under review.

Q2 Please provide all policies relating to health records (electronic or paper health records) at your Trust

A2 Please see attached the Multi-Disciplinary Health Records Policy

Q3 In relation to the implementation of EPR, Clinical EDMS at your Trust, please provide:
a. Implementation plans



- b. Project plans
- c. Project issue/risk logs

A3 Section 12 exemption as detailed above

Q4 In relation to the transition from paper to digital health records at your Trust, please provide:

- a. Any paper to digital transition plans
- b. Benefit realisation documents

A4 As answer 3

Q5 In relation to paperless/paperlite outpatient consultations at your Trust, please provide:

- a. Policies
 - b. Procedures
 - c. Processes
 - d. Guidance documents
 - e. Process maps
 - f. Process flowcharts
 - g. Service standards/KPIs

A5 As answer 3

Q6 In relation to the creation of health records for new patients in acute admission wards/emergency departments at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A6 As answer 3

Q7 In relation to the provision and delivery of health records to clinical staff for existing/already known patients in acute admission wards/emergency departments at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A7 As answer 3

Q8 In relation to the creation of health records for babies delivered at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A8 As answer 3.

Q9 In relation to the management and prevention of loose clinical documentation/health records at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A9 As answer 3

Q10 In relation to the management and prevention of missing or misplaced clinical documentation/health records at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A10 As answer 3

Q11 In relation to health records held within E-Referral Service/Choose & Book such as referral letters, how is this shared with, accessed through or manually copied onto your EPR/EDMS at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A11 As answer 3

Q12 In relation to the integration of community and acute health records at your Trust, please provide:

- a. Policies
- b. Procedures

- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A12 As answer 3

Q13 In relation to the health record documentation sources defined for use by clinical coders at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs

A13 As answer 3

Q14 In relation to any health records management functions provided by non-NHS suppliers at your Trust, please provide:

- a. Policies
- b. Procedures
- c. Processes
- d. Guidance documents
- e. Process maps
- f. Process flowcharts
- g. Service standards/KPIs
- h. Any information demonstrating benefits attributable to these arrangements

A14 As answer 3

*Please note that any individuals identified do not give consent for their personal data to be processed for the purposes of direct marketing.

UHNM NHS Trust is a public sector body and governed by EU law. FOI requestors should note that any new Trust requirements over the EU threshold will be subject to these regulations and will be advertised for open competition accordingly.

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An anonymised copy of this request can be found on the Trust's disclosure log, please note that all requests can be found at the following link: <http://www.uhnm.nhs.uk/aboutus/Statutory-Policies-and-Procedures/Pages/Freedom-of-Information-Disclosure-Log.aspx>

This letter confirms the completion of this request. A log of this request and a copy of this letter will be held by the Trust.

If you have any queries related to the response provided please in the first instance contact my office.

Should you have a complaint about the response or the handling of your request, please also contact my office to request a review of this. If having exhausted the Trust's FOIA complaints process you are still not satisfied, you are entitled to approach the Information Commissioner's Office (ICO) and request an assessment of the manner in which the Trust has managed your request.

The Information Commissioner may be contacted at:

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF or via www.ico.org.uk.

If following review of the responses I can be of any further assistance please contact my secretary on 01782 676474.

Yours,



Leah Carlisle
Deputy Head of Quality, Safety & Compliance