



National Programme for
Information Technology

Existing Systems - Compliance Requirements for Patient Registration

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Existing Systems - Compliance Requirements for Patient Registration

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Related Documents:

These documents will provide additional information.

Ref no	Doc Reference Number	Title
1	NPFIT-FNT-TO-TIN-0407	PDS Compliance Module Document Index
2	NPFIT-FNT-TO-TIN-0427	IG Requirements for ESP Suppliers
3	NPFIT-FNT-TO-DSD-0020	Overview of Demographics Migration Strategy

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1. Introduction

1.1. Purpose

The purpose of this document is to specify the functional requirements for the process of patient registration as part of the National Programme for Information Technology (NPFIT).

This document describes the business processes and requirements to support the registration of a patient at a GP practice. Patient registration on PDS is also an essential process for the success of the GP2GP process.

This document must be read in conjunction with the documents listed in the PDS Compliance Module Document Index, NPFIT-FNT-TO-TIN-0407, especially the following:

- 2005-5 PDS Compliance Requirements v1.0, (NPFIT-FNT-TO-DSD-0023)
- PDS Concept of Operation – 2005-5 v2.0, (NPFIT-FNT-TO-DPM-0288)
- Overview of 2005-5 Demographics Business Processes (NPFIT-FNT-TO-DSD-0027)

Further information is available at

<http://www.connectingforhealth.nhs.uk/demographics>.

1.2. Further Enquiries

Enquiries about the contents of this document should be sent to the email address compliance@cfh.nhs.uk

1.3. Background

The main purposes of the process discussed in this document are to enable patients to register at NCRS compliant GP practices and have access to making use of other NCRS modules such as C&B and ETP. PDS registration also enables the initiation of the electronic healthcare records (EHR) flow from the former GP to the new GP using GP2GP messages.

This is achieved by GP systems updating PDS directly instead of relying on the existing NHAIS processes to do so. However, until further notice from the Authority, the existing NHAIS processes will need to be carried out alongside the new NCRS processes.

Further functionality may be added in the future, to support automatic deductions and the eventual removal of NHAIS functionality.

1.4. Patient Registration Scope

The scope of this document and functionality described within applies to systems seeking level 3 PDS compliance within the Existing Systems Programme (e.g. GP systems).

The patient registration process starts with the acceptance of a new patient onto a practice register for General Medical Service (GMS) or Personal Medical Services (PMS). The scope of this document is for full GMS1 registration. This document does not cover any other type of patient registration with a GP practice e.g. for maternity services.

The GP2GP record transfer transactions are enabled locally by the successful update of the GP registration on PDS.

The high level process for a patient registration is to:

- query the Personal Demographic Service (PDS) to retrieve or verify a patient's NHS number, using the PDS Trace Query and/or Advanced Trace Query messages;
- allocate an NHS number if the PDS queries were unable to retrieve a unique patient match;
- register the patient on the local GP system
- update the PDS with the code of the new GP GNC code and with any other changed demographic details using a PDS Update message;
- send the 'GP Registration Links' 'Acceptance' transaction to the local NHAIS system.
- (for GP systems only) if a new NHS number has not been allocated and the previous practice is GP2GP enabled initiate the GP2GP 'EHR Request' business process,

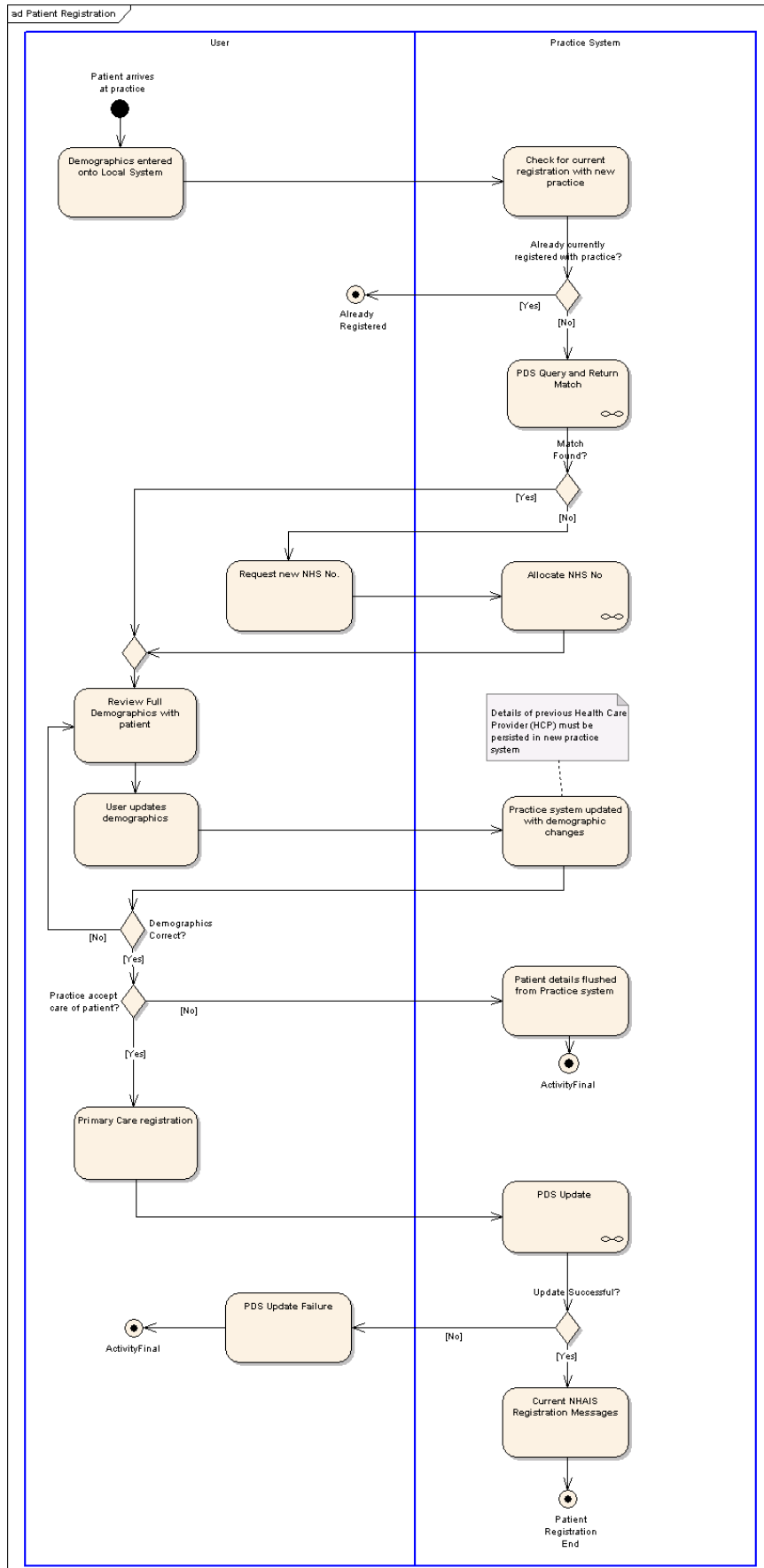
De-registration of a patient from the previous practice is currently out of scope of this process pending policy from the department of health. For the moment deductions will maintained via the NHAIS flows.

GP systems must fully support RFA-99 messaging and connect to NHAIS until spine release 2007-B. For example, all updates on the GP system must be frozen once an acceptance is sent until the approval is returned from NHAIS.

2. Patient Registration Process

This section supplements the Business Process Model (BPM) version 0.1, NPFIT-SHR-MODL-GP2GP-0004.

The following activity diagram shows the sequence of activities and the decision points during the patient registration process between the 'patient registration system' and the Spine.



2.1. PDS Query and Return Matches

A patient registration must start with retrieval of the patients demographic details from PDS.

The patients NHS Number must be obtained by way of a PDS Trace Query. This is required to ensure that a valid NHS Number is used rather than an unverified, old or temporary NHS Number being used which would prevent the GP2GP record transfer taking place.

There are several ways to trace a patient on PDS:

- Simple Trace can return only one match and should only be used when sufficient demographics are known
- Advanced Trace can return multiple possible matches and can provide historical data. Advanced Trace should be used where either insufficient data is known for a Simple Trace or where a Simple Trace has failed to identify the patient.

Systems must support Advanced Trace and Simple Trace PDS queries. Systems should provide suitable interfaces to users to ensure the most appropriate query messages are used and in the correct order (where applicable).

Within the registration process the following process should be followed:

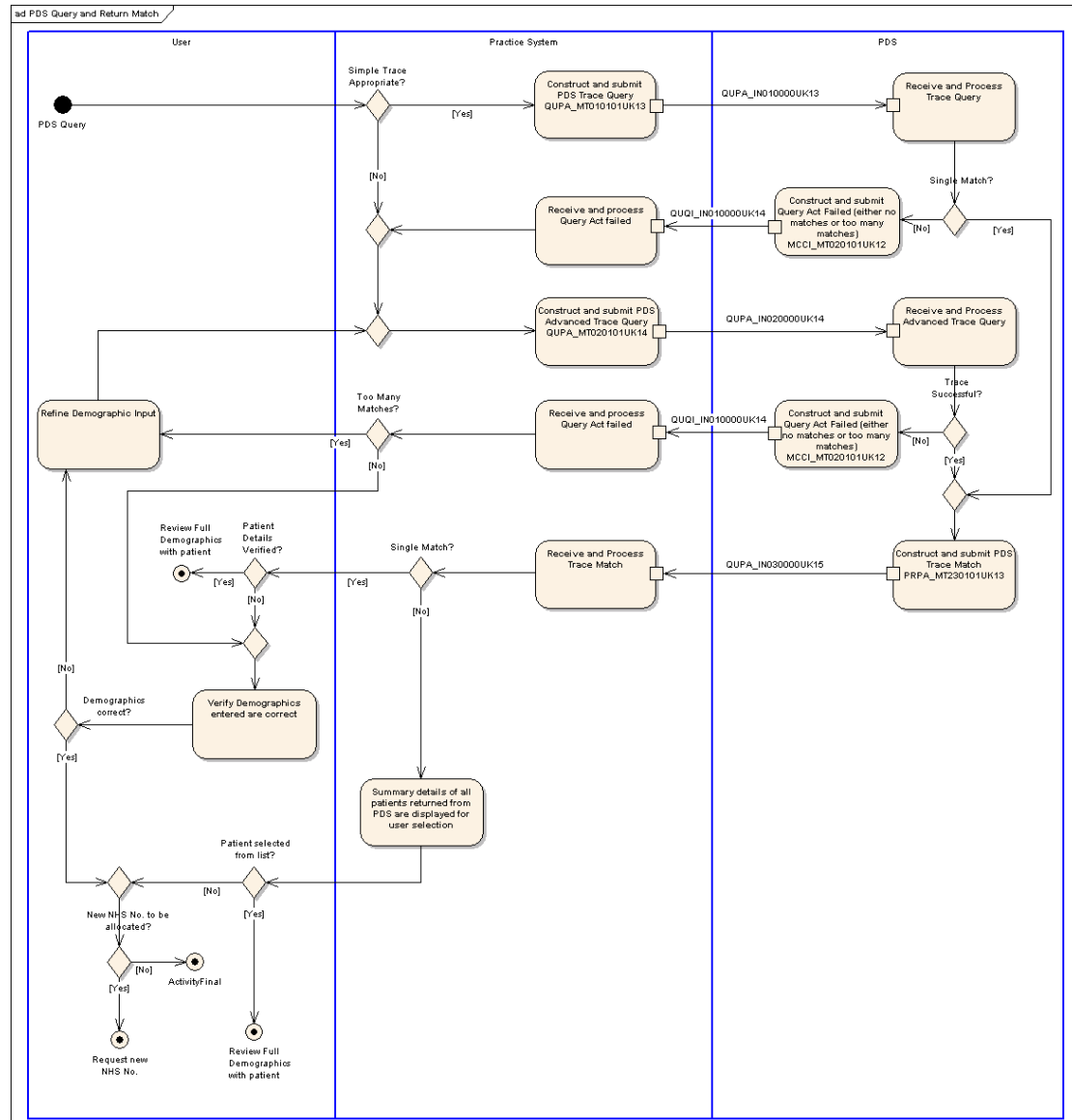
- On first contact with the patient, the following demographic details must be collected in order to trace the patient on PDS using a Simple Trace:
 - surname
 - date of birth
 - sex
 - It is strongly recommended that the following extra details should be collected to ensure better success in tracing on PDS:
 - forename
 - current postcode if the patient has not changed address, **or**
 - previous postcode if the patient has changed address.
- If these details do not result in a single match, then an Advanced Trace must be carried out.

For guidelines on using the advanced trace, please refer to the document "PDS - Advanced Trace Guidance 1.1", NPFIT-NCR-DES-0538.

If on receipt of the Query response, the response code or message indicates that the record is a sensitive record, then registration with PDS as described in this document, stops, although NHAIS registration continues as is currently specified.

The model below describes the steps and decision points in the retrieval of patient information from PDS.

For systems seeking PDS level 3 compliance (e.g. GP systems), the previous Registered GP returned as part of the PDS Query, must be persisted locally in order to be used during the GP2GP process.



Ref	Requirement	Priority
1	The system must support the use of a PDS Advanced Trace Query within the Registration Process to identify/verify the NHS Number and other patient demographic information.	Mandatory
2	The system should support the use of a PDS Simple Trace Query within the Registration Process to identify/verify the NHS Number and other patient demographic information where sufficient demographics are known.	Mandatory

3	<p>Patient registration should start with a retrieval of patient demographics from PDS. This should be done initially with a Simple Trace Query using the following details</p> <ul style="list-style-type: none">• surname• date of birth• sex• forename (not mandatory but strongly recommended)• current postcode if patient has not changed address (not mandatory but strongly recommended) or• previous postcode if patient has a change of address (not mandatory but strongly recommended) <p>If this does not return a single match then an Advanced Trace Query should be used.</p>	Mandatory
4	<p>Where a system also supports the GP2GP process the system must also persist locally the patient's previous registered GP retrieved from PDS. Other systems may persist locally the previous Registered GP details.</p>	Optional

2.2. NHS Number Allocation

In order to enable a patient to make use of the NHS Care Record Service, the patient's record must contain a verified NHS number and it must be used as the patient's unique identifier across all systems.

The previous section described the necessary process to trace a patient's details from PDS. When no details can be found or a unique match cannot be made, the system must support the request for the allocation of an NHS number from PDS. (Note: PDS now provides the functionality for this outside of NHAIS.)

The Requested NHS number must be placed in the GP-NHAIS 'Acceptance' message.

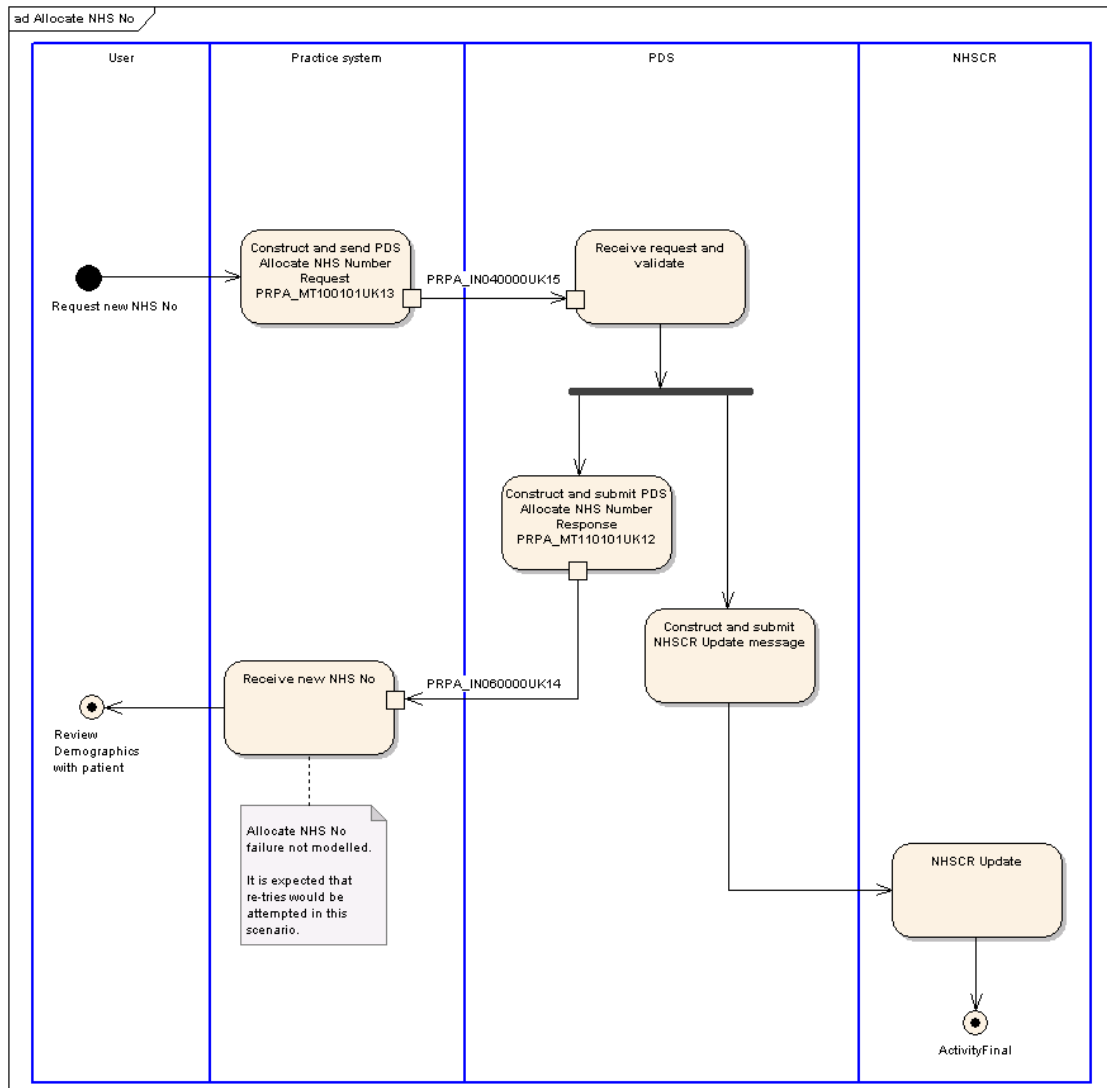
The option for the user to request an NHS number must only be available once an Advanced Trace dialogue with PDS has been unable to provide sufficient details for the user to uniquely identify the patient. Access to this NHS number allocation request must not be available under any other circumstances.

The system should ask the user if the new patient is believed to have had previous contact with the NHS. If so, then when the Allocate NHS Number message is sent, the 'Previous NHS Contact' flag should also be set.

If this process takes place as part of a patient registration process, the registered GP should be included in the Allocate NHS Number message.

From the end of January 2006, all NHAIS systems will trace on PDS for patients when they register with a GP. The allocation of an NHS number by PDS does not therefore change NHAIS processes. PDS will also notify the NHS Central Register system so that all national systems are up to date.

The following activity model describes the steps and messages that would need to be used.



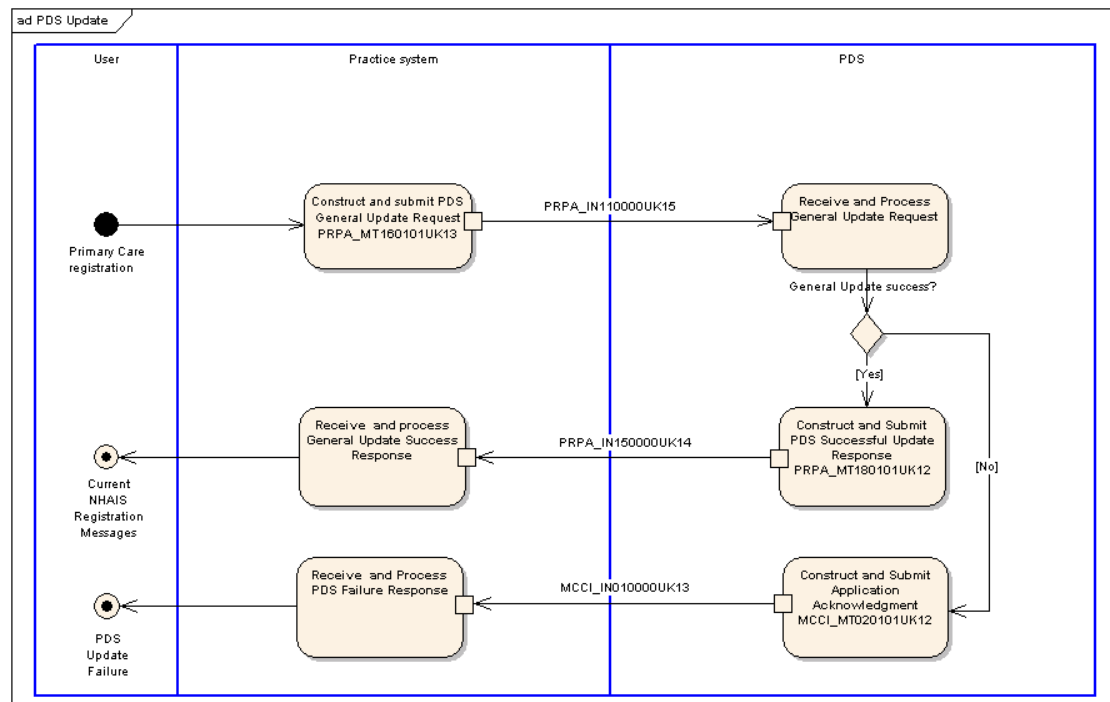
Ref	Requirement	Priority
5	If an Advanced PDS Trace has been unable to uniquely identify a patient then the system must support the request for the allocation of an NHS number from PDS.	Mandatory
6	The Requested NHS number must be placed in the GP-NHAIS 'Acceptance' message.	Mandatory
7	Access to the NHS number allocation request must not be available under any other circumstances than once an Advanced Trace dialogue with PDS has been unable to provide sufficient details for the user to uniquely identify the patient.	Mandatory

2.3. PDS Update

The details of the new registered GP must be updated on PDS by way of either a PDS General Update, a PDS Combined Update message or where a new number is being allocated as part a PDS Allocate NHS number message, along with any other updates to the patient’s demographics.

This is required to ensure that PDS is up to date and also to ensure that within the GP2GP record transfer scheme the patients’ previous GP practice is able to identify the new GP practice. Although the PDS update would be performed by the current GP-NHAIS-NSTS-PDS process flow, there is no guarantee that it would be performed prior to the previous practice undertaking this lookup.

The following model represents the PDS update business flows.



Ref	Requirement	Priority
8	The system should undertake either a PDS General Update, a PDS Combined Update message, or, where a new number is being allocated, as part a PDS Allocate NHS number message to ensure the correct GP is recorded on PDS held.	Mandatory

2.4. Legitimate Relationships

The consequence of changing the registered GP on PDS will invoke the creation of a new Primary LR with the new GP Practice and the expiry of the previous Primary LR associated with the patients previous GP practice registration. The exact expiration date of the previous LR is release dependent.

2.5. Role-Based Access Control

The document “RBAC Harmonisation across the NHS” (ref: NPFIT-FNT-TO-IG-0030) describes the approach taken for RBAC within the NPfIT and provides guidance on how to apply it.

The document “IG Requirements for ESP Suppliers” (ref: NPFIT-FNT-TO-TIN-0427) details the general RBAC requirements the suppliers are expected to meet.

The table below defines RBAC Activities applicable to the patient registration process.

Table 1 - RBAC for patient registration and end to end processes

Activity name	BF code	Description
Amend patient demographics	B0330	View and amend existing patient demographics
Register patients	B0340	Register patients with the practice
Manage patient medical records	B0380	Amend and add new items to patients' medical records, use support tools, appointments lists
Manage registration links	B0480	Process amendment and deduction transactions and other links tasks

NB. RBAC is subject to harmonisation across all domains and NPfIT suppliers. Therefore the information contained in Table 1 – RBAC for patient registration - is draft and may be subject to change.

Refer to the document “IG RBAC Control Names and Codes” (ref: NPFIT-FNT-TO-IG-0007) for a complete list of NPfIT RBAC codes. At the time of writing, the latest version of this document was v17.0. More information about the mechanism for RBAC is documented within Section 7 of the “External Interface Specification” (ref: CDT D0002) document.

The RBAC “Area of Work” for all patient registration interactions is “**Primary Care**”.

Ref	Requirement	Priority
9	The System is required to comply with the role-based access control (RBAC) requirements as defined by the Authority in “IG Requirements for ESP Suppliers”, NPFIT-FNT-TO-TIN-427.	Mandatory

3. NHAIS Migration

NHAIS will be replaced over time by the spine, as described in (3) Overview of Demographics Migration Strategy. In summary, the functionality will be migrated in 4 phases:

1. NHAIS traces for patients on PDS. This will be live by January 2006.
2. NHAIS requests new NHS Numbers from PDS where the patient cannot be successfully traced. This means that patient records without NHS numbers will no longer have to be processed by CHRIS.
3. NHAIS directly updates PDS, rather than relying on the NHAIS – NSTS – PDS national interface route. This allows the Authority to drop the NSTS to PDS interface.
4. PDS takes over as the GP registration master.

CfH will communicate the migration process and progress at the relevant stages to existing suppliers.

4. Appendix A – Summary of Requirements

The table below is a summary of all the Requirements contained throughout the document.

Ref	Requirement	Priority
1	The system must support the use of a PDS Advanced Trace Query within the Registration Process to identify/verify the NHS Number and other patient demographic information.	Mandatory
2	The system should support the use of a PDS Simple Trace Query within the Registration Process to identify/verify the NHS Number and other patient demographic information where sufficient demographics are known.	Mandatory
3	<p>Patient registration should start with a retrieval of patient demographics from PDS. This should be done initially with a Simple Trace Query using the following details</p> <ul style="list-style-type: none"> • surname • date of birth • sex • forename (not mandatory but strongly recommended) • current postcode if patient has not changed address (not mandatory but strongly recommended) or • previous postcode if patient has a change of address (not mandatory but strongly recommended) <p>If this does not return a single match then an Advanced Trace Query should be used.</p>	Mandatory
4	Where a system also supports the GP2GP process the system must also persist locally the patient's previous registered GP retrieved from PDS. Other systems may persist locally the previous Registered GP details.	Optional
5	If an Advanced PDS Trace has been unable to uniquely identify a patient then the system must support the request for the allocation of an NHS number from PDS.	Mandatory
6	The Requested NHS number must be placed in the GP-NHAIS 'Acceptance' message.	Mandatory
7	Access to the NHS number allocation request must not be available under any other circumstances than once an Advanced Trace dialogue with PDS has been unable to provide sufficient details for the user to uniquely identify the patient.	Mandatory
8	The system should undertake either a PDS General Update, a PDS Combined Update message, or, where a new number is being allocated, as part a PDS Allocate NHS number message to ensure the correct GP is recorded on PDS held.	Mandatory

9	The System is required to comply with the role-based access control (RBAC) requirements as defined by the Authority in "IG Requirements for ESP Suppliers", NPFIT-FNT-TO-TIN-427.	Mandatory
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