SCR Viewing Requirements

Contents

1.0 Introduction 5

1.1 Purpose 5

1.2 Requirements Types and Priorities 5

2.0 Overview 6

2.1 The Summary Care Record 6

2.2 The SCR Consent Preference 6

3.0 Requirements 7

3.1 Viewing Summary Care Records 7

CPR.047 Record Patient Details Before Viewing Their SCR 7

CPR.039 Viewing a Patient's SCR 7

CPR.035 Viewing a Patient's SCR - Permission Given 8

CPR.038 Viewing a Patient's SCR - Permission Refused 8

CPR.036 Viewing a Patient's SCR - Emergency Access 8

CPR.037 Viewing a Patient's SCR - Legal Access 9

CPR.024 Consent Alert Types 9

CPR.012 Behaviour for Dissenting Patients 10

CPR.043 Alerts for Privacy Officers When Viewing 10

3.2 Querying Summary Care Records 11

CPR.041 Querying a Patient's SCR 11

CPR.028 System-Initiated Queries 11

CPR.042 Alerts for Privacy Officers When Querying 11

3.3 Stop Using the Consent to Share Flag 12

CPR.011 Stop Using the PDS Consent to Share Flag for SCR 12

3.4 Information Governance and Spine Compliance 13

CPR.048 Only GP Summary Systems Update ACS 13

CPR.014 Smartcard Authentication 13

CPR.015 Recording Information on Local System for Audit Purposes 13

CPR.016 Role Based Access Control 13

4.0 Process Flows 14

4.1 Viewing a Patient's SCR 14

Change History

|  |  |  |
| --- | --- | --- |
| Version | Date | Summary of Change History |
| 0.1 | 06/02/2009 | Internal version. |
| 0.2 | 12/03/2009 | Internal version. |
| 0.3 | 31/03/2009 | Internal version. |
| **1.0** | **01/05/2009** | **Released to suppliers.** |
| 1.1 | 24/05/2010 | Internal version. |
| 1.2 | 26/07/2010 | Internal version. |
| 1.3 | 12/08/2010 | Internal version. |
| 1.4d | 30/11/2010 | Internal version. |
| 1.4g | 14/12/2010 | Internal version. |
| 1.4h | 25/01/2011 | Internal version. |
| 1.4i | 01/02/2011 | Internal version. |
| 1.4j | 04/02/2011 | Internal version. |
| 1.5 | 14/02/2011 | Internal version. |
| **1.6** | **22/02/2011** | **Released to suppliers.** |

Full detailed change history:

Forecast Changes:

|  |  |
| --- | --- |
| Anticipated Change | When |
| None |  |

Reviewers:

This document must be reviewed by the following. Indicate any delegation:

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Distribution:

GP system suppliers.

Document Status:

This is a controlled document.

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On receipt of a new issue, please destroy all previous issues (unless a specified earlier issue is baselined for use throughout the programme)

### 1.0 Introduction

#### 1.1 Purpose

This document contains business requirements for viewing Summary Care Records, and applies to all suppliers who are including functionality in their products for **viewing** Summary Care Records.

#### 1.2 Requirements Types and Priorities

Requirements are one of three types; Functional, Non-Functional, or a Business Rule.

Each requirement has a priority, which is stated using the keywords MUST, MAY, and SHOULD as described in RFC2119:

- MUST: This word, or the terms "REQUIRED" or "SHALL", means that the definition is an absolute requirement of the specification.

- SHOULD: This word, or the adjective "RECOMMENDED", means that there may exist valid reasons in particular circumstances to ignore a particular item, but the full implications must be understood and carefully weighed before choosing a different course.

- MAY: This word, or the adjective "OPTIONAL", mean that an item is truly optional.  One implementer may choose to include the item because a particular implementation requires it or because the implementer feels that it enhances the implementation while another implementer may omit the same item.  An implementation which does not include a particular option MUST be prepared to interoperate with another implementation which does include the option, though perhaps with reduced functionality.  In the same vein an implementation which does include a particular option MUST be prepared to interoperate with another implementation which does not include the option (except, of course, for the feature the option provides.

### 2.0 Overview

#### 2.1 The Summary Care Record

The Summary Care Record is an electronic record which will give healthcare staff working in urgent and emergency care settings with faster, easier access to essential information about a patient. Patients will also be able to access their SCR using HealthSpace, thus enabling them to have a degree of control of their healthcare and records.

#### 2.2 The SCR Consent Preference

For patients wishing to express an SCR Consent Preference, each patient is given the following choice: *"Do you want to have a Summary Care Record?"*

If the patient chooses to have an SCR, the patient will be given a further choice: *"Do you want to be asked for permission to view your Summary Care Record every time healthcare staff need to view it?*

The patient's answer to each of these questions will translate into one of three SCR Consent Preference values, which will be recorded against the patient on ACS on the Spine. The three phrases and corresponding ACS values for the SCR Consent Preference are:

**1.** *"The patient does not have a Summary Care Record (has opted out)"* - Has an ACS value of *"No"*.

**2.** *"The patient must be asked every time for permission to view their Summary Care Record"* - Value is unset on ACS.

**3.** *"The Patient need not be asked for permission to view their Summary Care Record"* - Has an ACS value of *"Yes"*.

The default implied value can also be explicitly stated by a patient, and therefore the SCR Consent Preference can be changed *from* any value *to* any value, including back to the default value.

The only record affected by a patient's SCR Consent Preference is the patient's SCR; other national and local records for the patient being introduced as part of NHS Connecting for Health are unaffected.

Throughout this requirements document, the term "SCR Consent Preference" is solely referring to the value stored on ACS on the Spine.

### 3.0 Requirements

Overview of all requirements, by section and by requirement number:

#### 3.1 Viewing Summary Care Records

##### CPR.047 Record Patient Details Before Viewing Their SCR

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

The system MUST only allow users to view the SCR of patients who are recorded locally on the system. As a minimum, the following details SHOULD be recorded on the system: NHS number, Surname, Gender, Date of Birth, and either Forename or Postcode.

##### CPR.039 Viewing a Patient's SCR

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

**Overview**

If a patient's SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record"*, then in normal circumstances the patient must be asked every time for permission to view their SCR. However, in certain circumstances the patient's SCR can be viewed without the patient's permission. These circumstances are:

Clinical reasons:

- Clinical emergency.

Legal reasons:

- Access made in the public interest.

- Access required by statute, including subject access requests made under the Data Protection Act 1998.

- Access required by Court Order.

**Requirement**

The system MUST provide functionality to view the SCR of any patient whose details have been recorded on the system (see GPS.047), and adhere to the Principles for Implementing Permission to View for the Summary Care Record, which is part of the Compliance Index Baseline.

If a user chooses to view the SCR of a patient whose SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record",* then:

- If the user is attempting to view the patient's SCR from within the organisation at which the patient is fully GMS registered (i.e. the user's organisation code in their current role matches the patient's GP Practice Code on PDS), then the patient's permission is not required to view their SCR, and the system MUST allow the user to view the patient's SCR without going through the steps below.

- If the user is attempting to view the patient's SCR from outside the organisation at which the patient is fully GMS registered, then the system MUST query the patient's SCR to establish whether there is any viewable content with the status "Normal", and with a DQ status of either "DQ Normal" or "DQ Suspect".

- If there is not any viewable SCR content for the patient, then the system MUST inform the user that *"This patient's Summary Care Record does not currently contain any information"*. The system MUST not allow the user to view the patient's SCR, and MUST not allow the user to continue any further with this process.

- If there is viewable SCR content for the patient, then the system MUST ask the user *"Has this patient given you permission to view their Summary Care Record?".* The system MUST display whichever of the following four options the user has the correct RBAC activity for in their current role, and MUST not display any of the following options for which the user does not have the correct RBAC activity in their current role:

**1. Yes (View Record)** (see CPR.035)

**2. No (Access Refused)** (see CPR.038)

**3. Emergency Access** (see CPR.036)

**4. Access for Legal Reasons** (see CPR.037)

There are only four permissible combinations of the above four options that can be displayed to users:

- **1** and **2** only.

- **1**, **2**, and **3** only.

- **1**, **2**, **3**, and **4**.

- **4** only.

There MUST not be any system limits to how many times a user can choose to view a patient's SCR.

##### CPR.035 Viewing a Patient's SCR - Permission Given

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

Following on from CPR.039:

- If the user chooses **1. Yes (View Record)**, then the system MUST allow the user to view the patient's SCR.

- The system MUST allow the user to record optional additional information as free-text.

##### CPR.038 Viewing a Patient's SCR - Permission Refused

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

Following on from CPR.039:

- If the user chooses **2. No (Access Refused)**, then the system MUST not allow the user to view the patient's SCR.

- The system MUST allow the user to record optional additional information as free-text.

##### CPR.036 Viewing a Patient's SCR - Emergency Access

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

Following on from CPR.039:

If the user chooses **3. Emergency Access**, then the system MUST display all of the following to the user on a single screen:

- The system MUST Inform the user that: *"You are about to access the patient's Summary Care Record even though the patient has not given you their permission. You must have justification for this action, which will be audited and may be investigated"*.This wording SHOULD be easily and centrally configurable by suppliers to accommodate potential future changes from NHS CFH without the need to redeploy any software.

- The system MUST ask the user to select a clinical reason (from CPR.039) for viewing the patient's SCR without the patient's permission. If there is only one clinical reason available for a user to select (as is currently the case), then the clinical reason MUST already be selected. The reason selected in this step is used in *"CPR.043 Alerts for Privacy Officers When Viewing"*.

- The system MUST allow the user to record optional additional information as free-text.

- The system MUST ask the user to confirm that they wish to proceed.

If the user does not confirm, the system MUST not allow the user to view the patient's SCR, and MUST not allow the user to continue any further with this process. If the user does confirm, then the system MUST then allow the user to view the patient's SCR.

The clinical reasons are subject to periodic review and change, and therefore MUST be easily and centrally configurable by suppliers to accommodate potential future changes from NHS CFH without the need to redeploy any software.

##### CPR.037 Viewing a Patient's SCR - Legal Access

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

Following on from CPR.039:

- If the user chooses **4. Access for Legal Reasons**, then the system MUST display all of the following to the user on a single screen:

- The system MUST Inform the user that: *"You are about to access the patient's Summary Care Record even though the patient has not given you their permission. You must have justification for this action, which will be audited and may be investigated"*.This wording SHOULD be easily and centrally configurable by suppliers to accommodate potential future changes from NHS CFH without the need to redeploy any software.

- The system MUST ask the user to select a legal reason (from CPR.039) for viewing the patient's SCR without the patient's permission. If there is only one legal reason available for a user to select (as is not currently the case), then the legal reason MUST already be selected. The reason selected in this step is used in *"CPR.043 Alerts for Privacy Officers When Viewing"*.

- The system MUST allow the user to record optional additional information as free-text.

- The system MUST ask the user to confirm that they wish to proceed.

If the user does not confirm, the system MUST not allow the user to view the patient's SCR, and MUST not allow the user to continue any further with this process. If the user does confirm, then the system MUST then allow the user to view the patient's SCR.

The legal reasons are subject to periodic review and change, and therefore MUST be easily and centrally configurable by suppliers to accommodate potential future changes from NHS CFH without the need to redeploy any software.

##### CPR.024 Consent Alert Types

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

The system MUST use the following Consent Alert Types:

CodeSystem: 2.16.840.1.113883.2.1.3.2.4.17.201

AlertType Code: 1

Display Name: **SCR access without permission**

**Note:** Applicable when the patient's SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record".*

CodeSystem: 2.16.840.1.113883.2.1.3.2.4.17.201

AlertType Code: 1

Display Name: **Access for legal reason**

**Note:** Applicable when the patient's SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record".*

**Note:** The same AlertType Code is sent for different display names to allow for future flexibility of introducing further AlertType codes.

##### CPR.012 Behaviour for Dissenting Patients

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

It is not possible to override a patient's SCR Consent Preference of *"The patient does not have a Summary Care Record (has opted out)"* and view their SCR. The system MUST not attempt to do so. This is enforced by the Spine, and attempting to do so would result in an error being returned from PSIS.

##### CPR.043 Alerts for Privacy Officers When Viewing

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

For each patient whose SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record"*, the system MUST send one information governance alert to a Privacy Officer in the user's organisation for each unique user who views the patient's SCR without their permission (see CPR.039).

For each clinical or legal override, the system MUST only send one information governance alert regardless of how many times the patient's SCR is subsequently viewed by each unique user within the same period or session.

#### 3.2 Querying Summary Care Records

##### CPR.041 Querying a Patient's SCR

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

The system MUST always check a patient's SCR Consent Preference on ACS on the Spine before querying a patient's SCR.

For patients whose SCR Consent Preference is:

*- "The patient does not have a Summary Care Record (has opted out)"*

the system MUST not query the patient's SCR.

For patients whose SCR Consent Preference is:

*- "The patient must be asked every time for permission to view their Summary Care Record", or*

*- "The Patient need not be asked for permission to view their Summary Care Record"*

the system is able to query the patient's SCR as and when required.

If the patient's SCR Consent Preference cannot be determined (ie. due to a network error, local system error, ACS offline, etc), then the system SHOULD still query the patient's SCR and deal with any errors.

##### CPR.028 System-Initiated Queries

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

For system-initiated queries for viewing where the user is not going to be shown any SCR content belonging to a patient, then for patients whose SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record*", the system MUST query PSIS in the background without users going through the permission to view process (see CPR.039).

If at any point the system needs to show any SCR content from the system-initiated query to the user, the system MUST go through the permission to view process as usual (see CPR.039).

##### CPR.042 Alerts for Privacy Officers When Querying

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

For patients whose SCR Consent Preference is *"The patient must be asked every time for permission to view their Summary Care Record"*, there is currently no requirement for a Privacy Officer in a user's organisation to be alerted when the system is executing a system-initiated query of a patient's SCR (see CPR.028).

**Note:** The reasons for alerting that are not listed in this document are documented in the Alerts domain of the MIM.

#### 3.3 Stop Using the Consent to Share Flag

##### CPR.011 Stop Using the PDS Consent to Share Flag for SCR

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

The system MUST not use the Consent to Share flag in PDS on the Spine for the purpose of the Summary Care Record. This is not used for the SCR Consent Preference.

#### 3.4 Information Governance and Spine Compliance

##### CPR.048 Only GP Summary Systems Update ACS

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

The system MUST not update a patient's SCR Consent Preference on ACS unless it is the system which sends GP summaries for the patient.

##### CPR.014 Smartcard Authentication

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

Users MUST be authenticated using the standard NHS smartcard and comply with Spine authentication requirements applicable to Smartcards (see Information Governance Requirements for ESP Systems) to view a patient's SCR.

##### CPR.015 Recording Information on Local System for Audit Purposes

Requirement Type: «Functional» Requirement

Requirement Priority: MUST

**Description:**

For audit purposes, the system MUST record all user interactions with the system, and all user and system initiated interactions with Spine services. For each interaction, the system MUST record the interaction type, date, time, and user (if not system generated).

##### CPR.016 Role Based Access Control

Requirement Type: «Non Funct...» Requirement

Requirement Priority: MUST

**Description:**

The system MUST use Role Based Access Control (RBAC) to control which Spine-authenticated users are able to view a patient's SCR (CPR.039).

Refer to NPFIT-SI-SIGOV-0073 Guidance on Implementing RBAC for PSIS and PDS.

### 4.0 Process Flows

The process flows in this section illustrate the logic contained in some of the requirements.

#### 4.1 Viewing a Patient's SCR

