

Adelaide Quality Care

Policy 1

Information and Record Keeping Policy

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Information & Record Keeping Policy

PURPOSE AND SCOPE

- To ensure Adelaide Quality Care operates effective communication processes and information management systems.
- To maintain information systems and practices in accordance with legislative, regulatory compliance and organisational standards.
- It is the policy of Adelaide Quality Care that all Participants, Staff, Volunteers and Contractors of Adelaide Quality Care will have records established upon entry to the service and maintained whilst active at Adelaide Quality Care.

POLICY

- Adelaide Quality Care will maintain effective information management systems that maintains appropriate controls of privacy and confidentiality for stakeholders.
- Adelaide Quality Care's Policies and Procedures are maintained as read-only documents in the Policies and Procedures folder on the shared drive.
- The Adelaide Quality Care is responsible for maintaining the currency of this information with assistance from the Executive Support Team and other staff as required.
- The involvement of all staff is encouraged to ensure Adelaide Quality Care's Policies and Procedures reflect practice and to foster ownership and familiarity with the material.
- A copy of each form used by our organisation is maintained in the shared drive in the sub-folder; entitled "Forms".
- All staff can access the Policies and Procedures at Adelaide Quality Care's Office in paper based or electronic format.
- Policies and procedures are reviewed every three years at minimum or as required.
- All superseded policies and procedures are removed from the Adelaide Quality Care's Policy and Procedure folder and electronically archived by the Managing Director only.

PROCEDURES

Participant Documentation Procedure

- Confidentiality of consumer's records is maintained.
- All Adelaide Quality Care's staff and volunteers responsible for providing, directing or coordinating Participant care or support, must document their activities.
- Consumer's files will provide accurate information regarding their care and support and will contain, but is not limited to:
 - Consumer's personal details
 - Referral information
 - Assessments
 - Care plans and goals
 - Consumer's reviews, and
 - Details regarding service responses.
- Original Consumer documentation will be stored in the Consumer's central file.
- Information relating to Consumer's ongoing situation, including changes to their situation (i.e. increased confusion, deteriorating health, increased risks, etc.) is to be documented in the Consumer's notes.
- All Adelaide Quality Care's staff required to document the activities relating to care and support of Consumers, will be appropriately trained in effective documentation and record keeping.
- Individuals are not permitted to document on behalf of another person.
- Consumer's records will be audited regularly to ensure documentation is thorough, appropriate and of high quality.
- Consumer records will be stored in a safe and secure location with access available to authorised persons only.
- Agreements with brokerage agencies will include a requirement for brokerage workers to regularly document their activities.
- Staff must ensure that all relevant information about the progress of or support provided to a Consumer is entered into that person's file notes in a factual, accurate, complete and timely manner.

- Staff must only use information collected from a Consumer for the purpose for which it was collected.
- Consumers should be advised that data which has been collected but which does not identify any Consumer may be used by the organisation for the purposes of service promotion, planning and evaluation.
- Consumers and their guardians have a right to access any of their personal information that has been collected. Staff will support such persons to access their personal information as requested.

Entering Adelaide Quality Care Service

- Create a Consumerfile to act as the central repository of all Consumer's service information and interactions. This will only contain material relevant to the management of care needs including but not limited to:
 - Copy of signed agreement
 - Assessments
 - Care Plan
 - Consumer Profile
 - Privacy statement
- Assign a unique identifier for each Consumer for documentation and record keeping purposes.
- Collect initial information using the Adelaide Quality Care's Consumer profile.
- Collect only personal information necessary to adequately assess and manage the Consumer's care needs.
- Use the Adelaide Quality Care's Assessment to document consumer's assessment information.
- Adelaide Quality Care will work with the Consumer, their advocates(s) and any other family or service providers/individuals to develop and document a Consumer Care Plan. This will be documented using the Adelaide Quality Care's Care Plan.

Ongoing Documentation Procedures

- Maintain Consumer information in the electronic "Consumer Management System" in accordance with system practices.
- Document Consumer's information and service activities only on Adelaide Quality Care's approved forms or tools.
- Ensure other service agencies and health professionals involved with the care or support of Adelaide Quality Care's Consumer provide adequate documentation of their activities and the Consumer's well-being or condition.
- Clearly document:
 - The outcomes of all ongoing Consumer's assessments and reassessment.
 - Changes or redevelopment of Consumer's Care Plans including revised goals or preferences.
 - Any critical incidents or major changes in the Consumer's health or well-being.
 - Conversations (in person or via telephone) with the Consumer, family members, their representative or advocate.
 - Activities associated with Consumer's admission and exit including referrals.
 - Conversations regarding the Consumer, with any other providers, agencies, health/ medical professionals, family members or other individuals with an interest in the Consumer.

Setting up and maintaining files for Consumers

- Once the personal file for Consumers has been established, staff must maintain that file. This requires staff to ensure that all information is accurate, up-to-date, and complete.
- Staff must document in the person's file, significant issues and events that arise during their work with the Consumers, as those events and issues occur.
- As information in the personal file becomes non-current (that is, information that no longer has any bearing on the services being provided to the Consumer), staff will establish an archival file, and progressively cull such non-current information into that file for storage in a secure place.
- The Coordinators must regularly audit the files of Consumers to ensure that

- The file is up to date
 - All forms are being used appropriately
 - Non-current information is being culled and stored in the archival file, and
 - The progress/file notes are factual, accurate, complete and in chronological order.
- When a consumer leaves the service, his/her personal file and archival file are to be stored in a secure place such as a locked area, or password protected file on a computer; all under the control of Adelaide Quality Care.

Consumers file formats in hard copy

The files of Consumers will be established and maintained in the following format:

- The file will consist of a standard manual folder or other similar folder.
- The forms must be based on the current formats, which have been approved by Adelaide Quality Care
- Archival files may be in the form of lever-arch folders or archive boxes and may be multiple in number as required.
- If files are held in an electronic format, the forms/domains and formats must similarly be approved, and
- For ease of access, materials in the archival file should be listed chronologically with each page numbered in order, in groups of similar forms.

Security of files and Consumer information

- All current hard copy files for Consumers must be kept in a secure area such as a lockable filing cabinet at the service to ensure that only authorised personnel can gain access to personal information of a Consumer. Authorised personnel include Adelaide Quality Care's staff members who are employed to provide support to the Consumers. If it is not possible for files to be stored at the service, then alternative arrangements should be made by the Consumer and the Coordinators to ensure confidentiality and security.

- All electronic files must be password protected to ensure confidentiality and security.
- If stored at the service, current files of Consumers can only be taken from the service by relevant staff from Adelaide Quality Care when it is clearly for the purpose of assisting the Consumers to provide information to, or to access another service such as a doctor.
- Non-current files should not be removed from the service unless:
 - They are being moved to a more secure archival storage unit
 - Permission has been sought from the Managing Director to do so
- Staff must not undertake any of the following actions without the express approval of the Managing Director:
 - Photocopy any confidential document, form or record.
 - Copy any confidential or financial computer data to any other computer, USB or storage system such as google docs.
 - Convey any confidential data to any unauthorised staff member or to any other person(s)

Transporting hard copy files of Consumers

If for any reason the files of Consumers need to be transported from one location to another (such as from their normal location to a doctor), the files must be transported in a locked document container such as a briefcase or attaché case. Adelaide Quality Care will provide such locked cases wherever required.

Communication / file notes for Consumers

- Communication/file notes for Consumers must include the following components:
 - The date of each entry being made
 - The time when the entry is being made
 - The time when the event occurred
 - The nature of the event in a factual, accurate, complete and timely manner
 - The signature of the person making the entry
 - The surname of the person making the entry

- The person's position of employment
- Staff must ensure that all relevant information about the Consumer is entered into the person's file notes in a factual, accurate, complete and timely manner.
- The file notes for each Consumer should be written when a significant event occurs or to record the type of support provided while on duty. The definition of a significant event will vary from person to person and should be determined in consultation with Managing Director, and should normally relate to the support required by the person-centred plan.
- It is required that staff make an entry in the progress notes on each shift even when the person's day has gone according to plan and without occurrence of unusual or extraordinary events.
- All file-note entries made by staff on behalf of another staff member (e.g. dictating over the phone) must be signed by the person dictating the notes on their next shift. It is the responsibility of that person to check the entry for accuracy, and if required note any corrections that need to be made on the next line available.
- Whenever required, the Consumers should be made aware of what has been recorded in their progress notes

Access to files of Consumers

- Consumers and/or their guardians must have access to their own records on request. Managing Director should approve and control the way Consumers access their own records to ensure that the security of other non-related information is maintained.
- Access to files of Consumers is the direct responsibility of Managing Director . When access is requested by anyone other than staff employed by Adelaide Quality Care, it will only be granted when Managing Director is satisfied that the policies and procedures of AQC have been followed and access to the file is in the best interest of the Consumer. Such access will only be granted when consent has been given by the appropriate person.

- All files of Consumers are the property of AQC and although Consumers and their guardians can access the file, it cannot be taken by the Consumers or their guardian or be transferred to any service external to AQC without permission of Managing Director
- Copies of files that are legitimately released for any reason shall be recorded on an appropriate letter which shall be signed as a receipt by the service recipient or their legal guardian.
- The proper procedure for releasing information about Consumers to persons or services that are external to AQC is to proceed as per the "Consent Policy and Procedure."

Staff Records

Staff files are kept in a filing cabinet in Managing Director office and are available only to Managing Director. The filing cabinet is locked when the office is unattended.

Minutes of Meetings

Minutes of meetings are maintained on the shared drive.

Other Administrative Information

- Individual staff are responsible for organising and maintaining the filing of general information in accordance with their job descriptions.
- Administrative information including funding information, financial information and general filing is maintained in the filing cabinets in Managing Director's office. The cabinets are locked out of hours or when the office is unattended for a lengthy period of time.

Electronic Information Management

-Data Storage

- All data is stored on the shared drive of the server.
- Office Manager can add new data folders to the shared drive of the server.

-Backup

- All computer data (including emails) is backed up every night to a remote server.
- Periodic testing of backed-up data is undertaken to check the reliability of this system.

-External Programs

- No programs, external data or utilities are installed onto any workstation without the permission of the Managing Director.

Email

- Staff will be assigned for Adelaide Quality Care email.
- All emails are filed in the appropriate folders set up by Human Resource Coordinator.

Internet

- Internet access is restricted to work related purposes.
- Internet access reports are maintained on the server and are regularly reviewed by the Managing Director.

Getting Help and Reporting Problems

- Our organisation maintains an ongoing IT support agreement.
- If staff experience problems with a program or computer or any other piece of equipment, they can in the first instance, contact the Administrator.
- If necessary, the Administrator will arrange for the IT Consultant(s) to provide assistance.

Social Media

- We are aware that social media (social networking sites; Facebook, Twitter etc., video and photo-sharing sites, blogs, forums, discussion boards and websites) promotes communication and information sharing.
- Staff who work in our organisation are required to ensure the privacy and confidentiality of the organisation's information and the privacy and confidentiality of Participant's

information. Staff must not access inappropriate information or share any information related to their work through social media sites.

- Staff are required to seek clarification from the Managing Director if in doubt as to the appropriateness of sharing any information related to their work on social media sites.

Monitoring Information Management Processes and Systems

- Information management processes and systems are regularly audited as part of AQC audit program.
- Staff and consumers are encouraged to provide ongoing feedback on issues and areas where improvements can be made.

Archival and Storage

- All records after their active time must be kept in archive files for an additional period. This retention period is determined by regulatory, statutory, legislative requirements and /or defined by Adelaide Quality Care as best practice. (Please See “Disposal and Archiving of Documents” (Attachment 1) for a guide to retention periods.).
- Records in archive must be identified and stored in a way that allows for easy access and retrieval when required.
- Archived records in hard copy must be stored in an environment which minimises deterioration and damage, i.e. not exposed to direct sunlight, moisture, extremes of temperature, pests, dust, fire hazards, etc.

Destruction of Records

- The following procedures apply for the destruction of records
 - Junk mail and instructional post-it notes may be placed in recycling bins or other bins as required.
- All other Adelaide Quality Care's records/documents for destruction are to be
 - Shredded first and then placed in recycling bins, or

- Sent off-site to be securely pulped, or
- Deleted from the network

REFERENCES

- Disability Discrimination Action 1992 (Commonwealth)
- Privacy Act (1988)
- Work Health and Safety Act 2011
- NDIS Practice Standards and Quality Indicators 2018

RELATED DOCUMENTS

- All electronic and hard copy Adelaide Quality Care documentation
- Copy of signed agreement
- Assessments
- Care Plan
- Communication notes
- Privacy statement
- Complaint information

Attachment 1

Disposal and Archiving of Documents

Function/Activity	Description	Retention/Disposal Action	Custody
Aboriginal & Torres Strait Islander	Documents relating to Aboriginal health Normal operational documents	<ul style="list-style-type: none"> • Lifetime • 7 years after the person's last contact with the service 	Office
Business Information	Name Address Telephone number Compliance notices Financial records	<ul style="list-style-type: none"> • 7 years 	Office
Internal Audits	Audit schedule Audit questions Audit reports	<ul style="list-style-type: none"> • 2 years 	Office
Participant Records	Name Address Telephone number Emergency contact details Application or other documents Complaints about non-delivery of services	<ul style="list-style-type: none"> • 7 years 	Office
Contracts / Leases	Properties etc.	<ul style="list-style-type: none"> • 7 years 	Office
Corrective Action	Corrective Action Requests	<ul style="list-style-type: none"> • 2 years 	Office
Financial	Audits Budgets Receipts Cheques Petty Cash Documents and other financial records	<ul style="list-style-type: none"> • 7 years 	Office
Management Review	Minutes of Meetings Monthly Reports	<ul style="list-style-type: none"> • 2 years 	Held on PCs according to type of meeting