

Record Keeping Practice Standard

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Outline

- Practice Standards & Guidelines
- How are they developed?
- Record Keeping
 - Collecting and Recording Client Information
 - Organizational & Administrative Matters
 - Privacy & Access
 - Confidentiality & Security
 - Retention & Destruction
 - Financial Records
 - Risk Assessment & Management
- Social Media

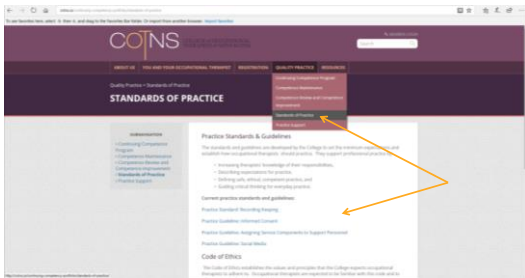


Practice Standards & Guidelines

Standards	Guidelines
Protection of therapist and clients	Guidance on how members should practice
Minimum expectations	Decision-making framework
Exercise professional judgment	
Follow standards set by employer	
Yardstick by which the College will measure performance	



Practice Standards & Guidelines





How are they developed?

- Practice Committee
 - Review of Legislation
 - Comparison to other disciplines & jurisdictions
- Legal Consultation, if needed
- Stakeholder Consultation
 - Random selection of membership
- Approval by the Board



Record Keeping

- Client records are:
 - Legal documents
 - Source of evidence
 - Communication tool
 - Ensure continuity of care
 - Promote inter-professional collaboration
- *Personal Health Information Act, 2010*



Six Practice Standards



1. Collecting & Recording Client Information
2. Organizational & Administrative Matters
3. Privacy & Access
4. Confidentiality & Security
5. Retention & Destruction
6. Financial Records



Collecting & Recording Information

- The OT is responsible for the content of the clinical record and ensure accuracy
- What information must be collected
- What information must be recorded

“Sufficient objective/subjective data to support writer’s conclusions”



Organizational & Administrative

- The OT will ensure records are legible, understandable, in English/French, and prepared and maintained in a timely and systematic manner
- How records should be kept and maintained in general terms
- Covers electronic storage



Organizational & Administrative

"If more than one health professional contributes to a report, it is clearly identified which person is accountable for each part...OTs should be aware if they sign at the bottom of a document, they can be held liable for the full document, even if they did not write it."

"OTs are not required to maintain draft documents or rough notes; however if draft documents are kept, they are considered part of the record and will be released..."



Privacy & Access



- OTs will ensure privacy of client information in accordance with the *Personal Health Information Act*
- Agent/Custodian
- Minimum amount necessary
- Provide access on request
- Reasonable measures to ensure preservation, security and access



Privacy and Access

"...Where the client directs that part of the information [to be disclosed] be withheld (i.e. Lock Box), that request will be respected. The recipient must be notified that part of the information has been withheld if that information is deemed necessary for the provision of health care to the client"

"Respect a client's request for a change to his/her record. This request can be in writing or be made verbally. The OT must make the change if there is a factual error, but need not change a professional opinion..."



Confidentiality & Security

- The OT will take *reasonable measures* to ensure confidentiality and security of client information to prevent unauthorized access
- Limit travelling with client information
- Encryption in electronic devices
- Lock records, log-off computers
- Minimize information communicate by e-mail
- Confidentiality statement





Confidentiality & Security

“Comply with organizational policies and procedures related to the security of records. If self-employed or the Health Information Custodian, the OT will establish appropriate policies and procedures...”

“In the event that personal health information is accidentally disclosed to others, it is the responsibility of the therapist or custodian to notify the client of the breach consistent with their organization policies and PHIA. Therapists shall review the cause of the breach and work to rectify any outstanding issues...”



Retention & Destruction



- The OT will ensure that the record is maintained and that they will have access to it during the minimum retention period
- Custodian’s retention schedule
- Secure destruction at the end of the retention schedule
- Required after retirement*



Retention & Destruction

"Records are retained according to the custodian's retention schedule. If the OT is the Custodian, the College recommends retaining records for at least 20 years form the last entry in the record or 20 years after the day on which the client reached or would have become 19 years of age..."



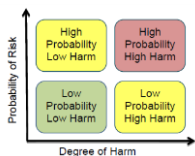
Financial Records

- The OT will ensure that a financial record is kept for every client to whom a fee is charged
- Same standards as previously discussed
- What information must be included





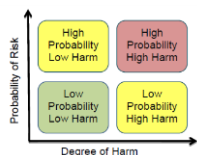
Risk Assessment & Management



- Tool to assist OTs to identify potential risk factors, assess probability and degree of harm, and take steps to mitigate risk



Risk Assessment & Management



- Risk Factors
 - Client
 - Practice Environment
 - Occupational Therapist
- Probability & Degree of Harm
- Mitigation Strategies
 - Education
 - Minimum amount of information
 - Multiple sources for accuracy
 - Use of technology

Social Media Practice Guideline





Practice Standards & Guidelines

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Yardstick by which the College will measure performance	

COTNS

Social Media



- *“Technologies, platforms, and practices that enable people to create, use, and share content, opinions, information, experiences, and perspectives, build relationships, and promote discussion”*
- Concerns and incidences of professional misconduct
- OTs are expected to maintain reasonable conduct in the private and professional life

COTNS

Social Media



- Social Contract
 - Comments or behaviours may reflect poorly on the profession as a whole
- Code of Ethics
 - Respect
 - Trust
 - Honesty
 - Fairness
 - Accountability
 - Transparency

COTNS

Benefits & Risks

- Benefits
 - Foster collegial relationships and professional consultation
 - Dissemination of information
 - Professional development
 - Coordinate client care



COTNS

Benefits & Risks

- Risks
 - Crossing of professional boundaries
 - Conflict of interest
 - Breach of confidentiality and privacy
 - Trust and confidence
- Probability of harm depend on social media platform
- Degree of harm will reflect the content



COTNS

Mitigation Strategies

- Professional Boundaries
 - Separate personal and professional pages
 - Do not "friend" a client
- Conflict of Interest
 - Do not post or like third-party suppliers
 - Factual, accurate, and transparent
- Confidentiality & Privacy
 - Do not post personal health information
 - Offline after three online interactions
- Trust & Confidence
 - Only post what you are willing to make public
 - Assume information posted is public and accessible

Questions
