

## OUR ROAD TO EXCELLENCE "JOIN THE JOURNEY"

### UNDERSTANDING THE EXPECTATIONS OF DOMAIN #13 RECORDS MANAGEMENT

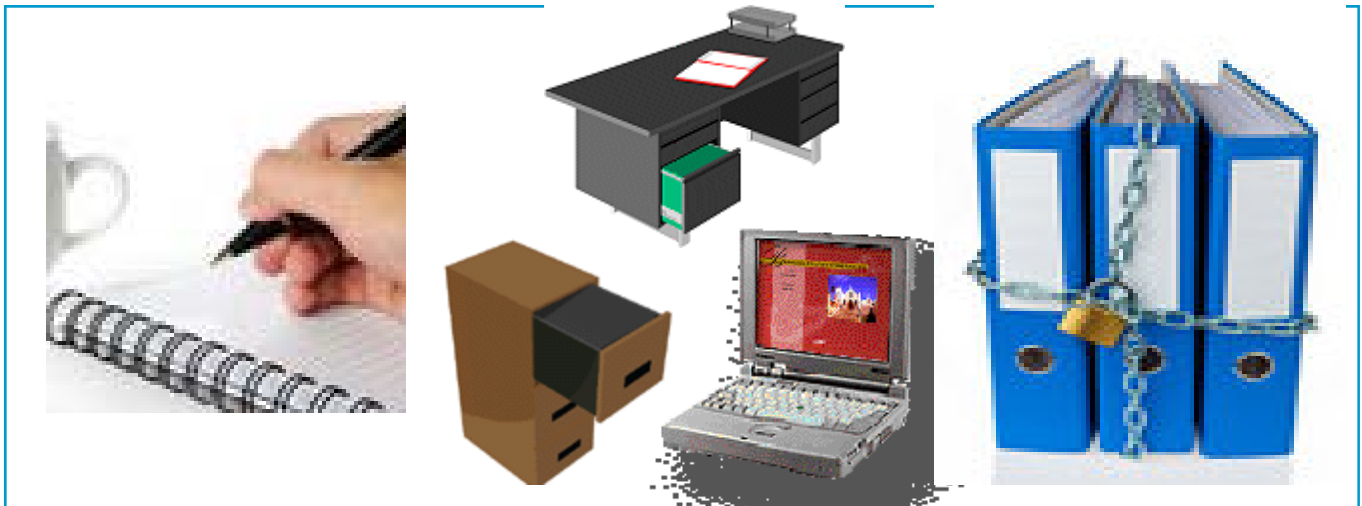
#### Guiding Principles:

Information about people using services is utilized to guide the development of services, and is used in a manner that safeguards rights. The organization keeps records that are relevant and timely, in keeping with organization policy.

#### Explanation:

When information is kept regarding a person using services, it is kept in a way that makes information available to the people who need to know it, and in a way that respects the rights of the person. When the information is no longer needed, it is no longer kept. Privacy and confidentiality are key considerations.

#### DOMAIN #13 STANDARDS



**13.1 The organization has policies and procedures to guide the management of service records (both electronic and paper), and they address how records are to be:**

- In compliance with privacy legislation
  - Maintained
  - Secured
  - Removed, transferred, and destroyed
- ⇒ Attach policies and procedures which guide the management of service records.

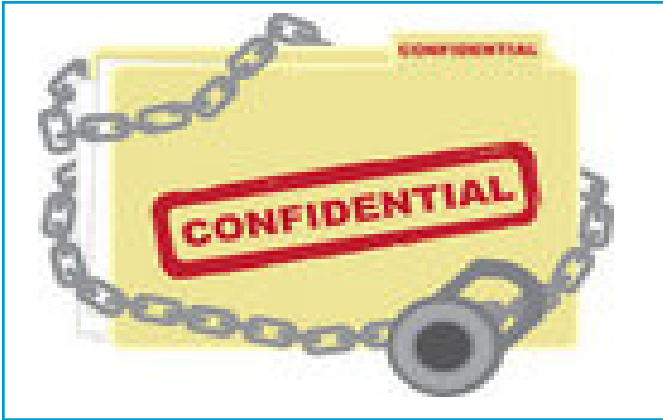
⇒ Please describe which privacy legislation these policies and procedures are in compliance with, and describe how they meet the requirements of that legislation.

⇒ How does the organization demonstrate that paper records are kept in a secure fashion?

⇒ How does the organization demonstrate that electronic records are kept in a secure fashion?

⇒ What is the organization's process for removing, transferring and destroying paper and electronic records?

### 13.2 Current records are kept for each person using services according to organizational policies and procedures.



- How does the organization confirm that each person using services has a current record of information?
- What kinds of information are kept in records for people using services? Please list.
- Do the people using services have a say in what information is available to others staff, volunteers, students, employers, other?
- How does the organization demonstrate that people using services have a say as to who has access to information pertaining to them?
- How does the organization demonstrate to others that policies and procedures which guide record management are being adhered to? Please list the ways.

### 13.3 People using services have access to their records, unless prohibited by law.

- Is the information kept in personal records available to the persons using services? Where is information kept?
- What steps does the organization take to make this information accessible to people using services?
- Under what circumstances would a person be denied access to their records?
- Describe any cases in the past three years when a person using services has been denied access to their records. Why were they denied access? Were policies adhered to?
- What did the organization learn from this experience?

### 13.4 Confidential information is released only when:

- Authorization is provided by the person using services or his/her substitute decision maker is provided.
- Required or permitted by law.

- ⇒ What types of information does the organization keep confidential?
- ⇒ How does the organization demonstrate that information about people using services is kept confidential? List the ways.
- ⇒ Under what circumstances would the organization release personal information about people using services to a third party?
- ⇒ What is the organization's process when disclosing personal information to a third party about a person using services?

### 13.5 The organization reviews a sample of records regularly to ensure they are kept in accordance with policies and procedures, and are:

- Relevant
- Objective
- Accurate
- Complete
- Legible
- Signed and dated, where applicable.
- ⇒ What process is in place at the organization to make certain that service records meet the criteria included in the standard?
- ⇒ How often are records sampled and reviewed?
- ⇒ Who conducts the review?
- ⇒ What is the sample size? How is it selected?
- ⇒ What procedure(s) does the organization follow if records are not kept in accordance with policies and procedures?
- ⇒ How does the organization demonstrate that documentation is reviewed regularly to verify that it is kept in accordance with policies and procedures and is relevant, objective, accurate, complete, legible and signed and dated?



### Quality Improvement Reflection ~ Please help!

We are committed to learning and continually seeking ways to improve our services. With the above five standards in mind, reflect on the progress the organization has made in the area of 'Records Management' over the past three years. **Your feedback in this area would be greatly appreciated.** If you can take a moment to identify successes experienced and innovations, note where there is room for improvement and the steps the organization can take to make and sustain improvements in these areas; then forward this information to Michelle.