

Agency Service Coordination Manual

2.1 Documentation, Maintenance and Storage of Participant Information

Background

Department and agency staff who are contracted to provide case management services are expected to comply with standards when documenting, maintaining, storing and sharing client information critical to the provision of appropriate and timely service as outlined in the Vulnerable Persons Living with a Mental Disability Act. This section explains how information is documented, maintained and stored by the agency providing case management services.

Agencies providing case management are required to abide by the standards described in the Community Service Delivery Division Case Recording Standards (see 2.1a). This document is intended to supplement the standards in that policy. This document should also be read in conjunction with:

- CLDS Protection of Personal Information Policy and Guidelines;
- Freedom of Information and Protection of Privacy Act (FIPPA);
- Personal Health Information Act (PHIA).

Process

- Case recording is an integral part of the services that CLDS provides to its participants. It is an essential component of information gathering, analysis and decision-making and a means by which staff can justify, explain and be accountable for their actions. It is recognized that good recording supports strong practice in a number of ways.
- Agencies are required to have thorough policies in place regarding the documentation, maintenance and storage of participant information. While agencies have the autonomy to create policies and procedures that meet the needs of their organizations, they must meet standards outlined in applicable legislation, department policy and as described below.

Individual Case Files

- Agencies will maintain hardcopy and electronic individual case files in accordance with policies and standards. As the Service and Supports Navigator (SSN) is not responsible for day-to-day case management, the SSN is not required to maintain a paper case file for individual participants. All new information and documentation that is received from the agency providing case management will be stored electronically. This process is described in detail in the appendix for SSN use only.

- Upon discharge from the agency providing case management, the agency is required to submit all relevant file information to the SSN or CSW. An Agency Discharge Summary is also required from the agency. For full details of this process, please refer to File Transfer, Agency Discharge and File Closure section of this manual.

File Contents

- It is understood that agencies may have both a paper and electronic file for each participant. Agencies may continue to follow internal procedures for what information is stored in each format, as long as all contents are maintained as described in this procedure.
- Paper and/or electronic individual case files are to include:
 - up-to-date demographic information;
 - current Individual Plan or Person-Centered Plan (updated annually);
 - current Personal Financial Plan, where applicable, along with relevant financial documentation (updated every 18 months or when there is a significant change in an individual's circumstances);
 - current support plan (updated annually or when there is a change in support needs);
 - contact/case notes;
 - incident reports;
 - referral forms;
 - Supports Intensity Scale assessment reports; and
 - funding information, proposals, requests and authorizations.
- Where applicable, files may also include, but are not limited to:
 - substitute Decision Maker documents;
 - legal documents;
 - medical and specialist reports or institutional discharge summaries;
 - psychological and/or psychiatric assessment or reports;
 - education or employment reports;
 - day service assessment or reports;
 - residential assessments and reports;
 - daily living assessments;
 - behaviour consultant reports and/or behaviour support plans; and
 - health care plans and/or delegated nursing task plans.

Standards

Individual Case Files

- Agencies will have policies and protocols detailing how both electronic and manual records are maintained and stored.

- Participant information must be stored in a manner consistent with agency policy, as well as PHIA and FIPPA legislation and regulations.

Contact/Case Notes

- All contact concerning participants will be recorded. All entries will identify the purpose of the visit/meeting/contact and any action resulting from the visit/meeting/contact. Agencies may continue to follow internal procedures regarding how/when case contact is recorded.
- All decisions will be recorded, indicating who was involved in the decision making, what information was taken into account and the reason for the decision.
- There will be clear evidence on the record showing when copies of key documents (e.g., assessments, plans, reviews, minutes of meetings) are supplied to participants.
- The wishes, feelings and views of the participant (when provided) will be recorded.
- The name and position of the staff making the record will be clearly identifiable.
- Case notes will be kept up to date and in chronological order to provide an accessible overview of each case.

2.1 Documentation, Maintenance and Storage of Participant Information

Appendix A: For Use of CLDS Staff Only

Maintaining Individual Case Files – Electronic Storage of Documentation

- The Service and Support Navigator (SSN) is **not** required to maintain a paper case file for individual participants. All new information and documentation that is received from the agency providing case management will be stored electronically in a restricted file. Existing paper files related to individuals in the pilot project will be archived and can be accessed if historical information is required.
- Electronic case files will be organized and managed as follows:
 - A restricted folder will be created in the **W drive** titled “CLDS Service Coordination Project”, with access only approved for the SSNs and applicable program manager.
 - Within this folder, each agency providing case management will have a folder.
 - Participant-specific folders can then be created using the following naming format:
 - “Agency - Participant Last Name, Participant First Name”.
 - The program manager is responsible for making changes to the folder within the W drive (i.e., requesting and managing access as appropriate).
 - managing and transferring individual case files, and for requesting and managing access to these files as appropriate.
- As the SSN is not responsible for day-to-day case management activity, only critical information will be documented in individual case files. The electronic file updates will include, but are not limited to:
 - incident reports that meet the criteria for escalation;
 - all protection-related documentation including: incident reports, Allegation Reviews, Protection Investigation Reports, and a copy of the letter sent to the agency/offender outlining recommendations
 - Substitute Decision Maker applications and/or reviews; and/or
 - Authorization for Expenditures where SSN signoff has been required.
- Upon closure of an individual’s CLDS file, or discharge from the agency providing case management, the agency is required to submit all relevant file information to the SSN. An Agency Discharge Summary is also required from the agency, and the SSN will input the relevant information into inFACT. The SSN will then

prepare the individual's file for transfer to a community area/region, or for closure and archival. For full details of procedure, please refer to File Transfer, Agency Discharge and File Closure section of this manual.

- The SSN must collect, use, disclose, store and destroy individual files in accordance with department and provincial policies and guidelines, including the CLDS policies and guidelines respecting the protection of personal information.
- All case recording must meet divisional case recording standards.

Maintaining Individual Case Files – inFACT

- The inFACT application is utilized by a number of department staff for information gathering and data analysis. For this reason, it is critical that the inFACT information is as current and accurate as possible.
- In addition to electronic storage of participant documentation, the SSN is required to maintain an electronic case file for the individual on inFACT. The SSN is responsible for ensuring all applicable screens on inFACT remain up-to-date, including the details, extended details and Community Living disABILITY Services screens.
- Financial information held in service plan screen will be updated by Centralized Services and Resources, or RNS Regional Program Manager
- SIS assessment information will be maintained by Adult Disability Services Branch
- Incident reports that are escalated to the SSN must also be documented in case notes. For additional details please refer to Incident Reporting section in this manual.

Maintaining Agency Specific Files

- Within the restricted electronic agency file on the W drive, the SSN team will also maintain files specific to the agencies providing case management, such as quality assurance information and other audits.
- Agency-specific files should be stored using the following naming format for ease of access:
 - Year-month-day – Agency – Subject
 - For example: 2020-09-25 – St. Amant – Quarterly QA Audit