

# Policy Document

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### Service delivery

Client record-keeping

## Service delivery Category

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## Client record-keeping

*"I know the information that is being collected about me is accurate and secure and is being used to help me get the services I need."*

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### Intent

With good records, we can be more responsive. We can provide continuity of service without having to ask people to repeat their stories. If Tangata Whaiora have legal or compensatory claims, good file-keeping means we can support them with reliable and accurate personal information.

Records will be made and kept secure following the law and relevant standards.

This policy should be read with related policies within the Privacy and Information Management policy suite.

### Definition

"Record/file" refers to the set up and entry of personal information about a Tangata Whaiora/whānau in a form, notes, report on paper or as an electronic file or data in a data system. It includes photographs and videos of involvement with a programme or activity.

### Responsibilities

**The Missioner** will ensure and monitor systems for the safe and secure management of information and records.

**Kaimahi** must adhere to our Protection of privacy policy when dealing with records.

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## Set up

A programme or client record will be created that complies with regulatory and funding criteria. It must accurately reflect our mahi with Tangata Whaiora and include:

- personal details
- referral and assessment information
- plans
- consents given eg transport, engagement, privacy
- notes (of progress, monitoring, support, reviews)
- emails, texts and phone calls received and any consequent action
- consultation(s) undertaken and/or cultural advice obtained
- Tangata Whaiora feedback
- rights, responsibilities and as relevant, legal information
- information sourced from others
- incident reports
- exit information (eg completion of programme; unplanned exit)
- outcomes and results
- evaluation

Where possible, hard copy information will be scanned into the file.

The file will be appropriately secured and may be accessed only by authorised persons.

## Updating and management

### Update the file

The record must be kept updated. Content must be sufficient to enable other staff to support the Tangata Whaiora in a seamless way and to enable a review of their case (if sought).

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All file entries should be written in anticipation that they will be viewed by others. They must be concise, accurate and recorded in an objective way. Unless impracticable, the Tangata Whaiora must be kept informed of updates to their file and their feedback included.

### **Enter alerts**

Where possible, alerts will be entered on records to support early responses to issues of concern arising for the Tangata Whaiora/whānau and/or team members working with them eg safety risk, suicidal ideation.

The alerts must be communicated to those who are working with the Tangata Whaiora.

### **File review**

During supervision or through other review, files will be:

- checked for accuracy
- to identify any information gaps
- considered as part of reviewing a case and a Tangata Whaiora's progress.

### **Closing the file**

The record will be closed when the Tangata Whaiora exits and after the following is done:

- the file is quality checked (eg to check that there are no information gaps, entries are up-to-date)
- reasonable steps have been taken to obtain the Tangata Whaiora's feedback and evaluation
- the Conclusion of service/Transition policy has been complied with
- transfer documents or referring notes have been done (as necessary and with the Tangata Whaiora's consent)
- any agency with an ongoing interest in the Tangata Whaiora's case has been notified (eg the court, Oranga Tamariki).

The file must be archived securely. Health and disability records will be kept for 10 years. (See Protection of privacy policy). In all other cases, client-related information will only be kept for as long as necessary for the purpose it was created unless the Tangata Whaiora requests it is transferred to another service or practitioner.

### **Disposal of record**

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A Tangata Whaiora's file will be disposed of securely:

- hard copies in a secure destruction/shredding bin or through a document destruction agency
- electronic documents deleted permanently.

All reasonable steps must be taken to safeguard against interception, misuse and disclosure during disposal.

## Compliance

Social Sector Accreditation Standards - Level 2, Governance and management structure and systems 6.0 -5.2; Resolution of Complaints related to service provision 2.0; Client services and programmes 5.0

NZS 8134:2021 Workforce and Structure, Criterion 2.5

## Helpful links

[Please visit this policy on our policy to view these links.](#)

Information Safeguards

Protection of privacy

Whatu Ora Health Records

PTE Enrolment and Academic Records Rules 2022

## Review

Date: November 2023

Next review: by October 2025

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