

GENERAL MANUAL POLICY

APPROVED BY: _____


Executive Director

CATEGORY: Supports and Services

TOPIC: Central Filing of Individuals' Files

PURPOSE:

As per the Services and Supports to Promote the Social Inclusion of Persons with Developmental Disabilities Act 2008, it states in Section 14, item 1b, Service Records:

"In addressing Quality Assurance Measures respecting service records, each agency shall: b) have policies and procedures on service record retention and secure storage O.Reg.299/10/S. 14 (1)

In addition: 'at a minimum, (to meet Quality Assurance Measures), a person's file shall contain':

- Application for Developmental Services and Supports
- Supports intensity Scale Needs Assessment
- Individual Support Plan
- The Service Agency shall retain a person's Service Record for a minimum of 7 years after the person is no longer receiving services and supports from the agency

POLICY STATEMENT

Community Living Thunder Bay recognizes the importance of confidentiality, (see Confidentiality Policy SS 2.0) and respects the right to privacy and protection for the documentation the association creates and maintains regarding the people we support, and the homes under our Areas of Responsibility.

Community Living Thunder Bay maintains a secure, physical space for documentation pertaining to the people we support and our residential homes. Active files are stored at 715 John Street, and archived files are kept at an offsite storage space at 1060 Central Avenue, rented by the Association.

Each physical file is the property of the association but the information contained in each file is the property of the individual, his/her family, his/her advocate, or guardian. Permission to release information is the responsibility of the individual, his/her family, his/her advocate, or guardian.

Physical access to Central File is limited to the Central File Clerk, Executive Assistant, Executive Director, and Director of Supports and Services. Support staff may request items from Central File for planning resources.

There is also a specific process for how Central File organizes and files documents pertaining to people we support and the homes under our areas of responsibility.

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PROCEDURE

Annual Filing:

At the end of each calendar year, Team Leaders are responsible for sorting and packaging financial information for each person supported, and residential home, and prepare it for filing. Filing will be organized January-December of the previous year, for each person, as well as the Joint Account/Cash On Hand information.

A *Filing Monitoring Sheet (Fig 1A)* will be completed and signed by the Central File Clerk and the Team Leader. Filing received will be placed in the Admin Storage room, which is locked. Filing will be transported to 715 John Street by the Central File Clerk. Once at 715 John Street, the items will be filed appropriately, and an itemized list of items received will be created and stored at the Administration Centre of Community Living Thunder Bay.

Archiving:

Every third year, an archive will take place in Central File. The current year and the year prior will be retained, and all other older information will be boxed and stored at 715 John Street, or the agency's offsite storage at 1060 Central Avenue at Golf Links Rd. A record of what was stored will be kept at the Administration Centre of Community Living Thunder Bay.

No more than 10 years' worth of filing should be stored at the agency's offsite storage; documents older than 10 years shall be shredded confidentially.

Request for Filing:

Any *Request for Filing (Fig 1B)* from Central File can be made by contacting the Central File Clerk at the Administration Centre of Community Living Thunder Bay. A 'Request for Filing' will be filled out by the Central File Clerk, and the items retrieved as requested. Filing information may be photocopied, and provided to the individual making the request, or if a legal matter is pending, such originals may be required and released upon request under the authority of a Senior Manager.

File Retention Schedule:

A *File Retention Schedule (Fig 1C)* has been created to address the growing amount of physical paper documentation the Association has accumulated. The Retention Schedule outlines the life and management of the Association's files stored in Central File. The implementation of A.I.M.S. has changed and reduced the demand on Central File to retain as much paper, however, a large volume of paper documentation remains an issue.

At this point in time, there are no specific guidelines around the retention of electronic information kept on A.I.M.S., or on our agency's server.

Filing Monitoring Sheet

Team Leader: _____

House Address: _____

Resident(s): _____

Filing Provided:

FINANCES: (Jan-Dec Joint Account) & (Jan-Dec for each person)
Are all envelopes present Jan-Dec of the previous year?

Are all envelopes labelled and sorted properly?

If not labelled and sorted properly: Team Leader Signature: _____ Date: _____

Any other Filing Provided: (i.e.: Communication books, Incident/Occurrence Books)

Has any filing been retained for further review/examination/etc.? (Please indicate what items and what date)

Notes:

Verification:

TEAM LEADER SIGNATURE: _____

DATE:

RECEIVED BY: _____

DATE:

FILED in CENTRAL FILE: Date: _____ **MASTER LIST UPDATED:** _____

Central File Item Request Sheet

Date: _____

Requested By: _____

Date Item is needed by: _____

Item Needed:

House:

Address: _____

Person:

Name: _____

Item:

Finances/MAR/Profile/Communication Book/Incident Report/Other

Item Received By: _____ (signature)

Date: _____

Date Item Returned: _____

Received By: _____ (signature)

NOTES: (Follow Up in 30 Days if item not returned)

Offsite Storage Request

Date: _____

Requested By: _____

Date Item Needed By: _____

Box Number: _____

Description of Contents:

Figure 1C

FILE RETENTION:

A schedule of file retention for items in Central Filing is outlined below:

Subject Group – Persons Supported	Description	Retention Guidelines and/or remarks
PERSONAL		
Consent Forms	Permission form signed by a person supported to share pictures, etc. Found in personal binder in home.	Not archived. RETENTION: 1 Year then shred ARCHIVE: 0 Years
Face Sheet	A fact sheet about a person supported: AIMS	RETENTION: A.I.M.S. ARCHIVE: A.I.M.S.
Histories	Any documentation that outlines a person's past, their medical issues, etc.	Kept as needed RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Personal Profile/Plan	Document outlining a person supported 's story, likes, dislikes, level of supports, outcomes	Kept in person's Personal Profile/Plan Electronically RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Copies of Identification	Photocopies of personal identification belonging to a person supported	Not mandatory; Not archived.
Personal Support Agreement	Letter of agreement between CLTB and Person Supported about supports/services	Electronically generated; Paper copy kept in person's file. RETENTION: 2 Years active filing ARCHIVED – 7 years then shred

File Retention Schedule – Community Living Thunder Bay Central Filing Policy

Personal property inventory	A list of personal possessions belonging to a person supported	Retained in A.I.M.S.
Death Certificate/Death Registration	Documents issued by a Funeral Home and Registrar General respectively	Retain original and/or copy on file in perpetuity NOT ARCHIVED
Application for Developmental Services and Supports	A form filled out for the DSO for a person to receive supports and determine the level and intensity of supports required.	Service agency does not always receive a copy of this document.
PLANNING		
Plan of care	A document outlining the type of care, level of care, etc., for a person supported in a medical situation (i.e.: palliative)	Generated Electronically; paper copy kept in person's home. Updated as needed; ARCHIVE: 7 Years then shred
Action Plans	A document that can focus on behaviour, medical, or personal issues pertaining to a person supported.	Generated electronically; paper copy kept in person's home, and updated as needed ARCHIVE: 7 Years then shred
Crisis Response Plans (CRT)	A document outlining strategies of support for a person supported in a crisis situation.	Generated electronically; paper copy kept in person's home and updated as needed. ARCHIVE: 7 Years then shred
Monthly Reports/Monthly Active Plans	A monthly report outlining outcomes and activities for a person supported	Generated electronically; paper copy kept in person's home and updated monthly ARCHIVE: N/A
Supports Intensity Scale Needs Assessment	This document is not always provided to the serving agency	This document is not always provided to the serving agency
Individual Support Plan	A document which outlines a person supported 's story, history, likes, dislikes, outcomes, etc.	Generated electronically; paper copy kept in person's home and updated annually ARCHIVE: N/A

File Retention Schedule – Community Living Thunder Bay Central Filing Policy

FINANCIAL LEGAL		
Bank books	Print out of financial transactions with a given financial institution	Kept with finances in each person's home; when full, submitted with finances for filing. RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Cash on Hand/Chequing	Financial information for each person we support January to December of each year	Kept with finances in each person's home; annually submitted for filing. RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Income Tax	Income tax file for each person we support	RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
ODSP/Pay Stubs	Financial information for each person we support January to December of each year	Kept with finances in each person's home; annually submitted for filing RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Life Insurance Policies	As applicable	Kept with personal information in each person's home as it applies. RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Pre-paid Funeral Plans	An arrangement/agreement between person and Funeral Home	Original should be kept in person's home; Copy can be submitted for filing RETENTION: Permanently Active ARCHIVE: Death Certificate only

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File Retention Schedule – Community Living Thunder Bay – Central File

MEDICAL		
Medical Administration Record Sheets	A document printed by the pharmacy and lists the medication being taken by the patient	Kept in person's home for one year RETENTION: 1 Year then shred ARCHIVE: N/A
Prn Protocols	A document describing dosage, usage and procedure for a prescribed medication	Generated electronically Paper copy kept in person's home and updated/created as needed RETENTION: As long as needed then shredded ARCHIVE: N/A
Charts – Sleep, Behavioural, Bowel Movement, Seizure, Intake, etc.,	Specific issue charts to track changes for a person supported	Generated electronically Paper copy kept in person's home and updated/created as needed RETENTION: As long as needed then shredded ARCHIVE: N/A
Medical History	An explanation of past medical issues/treatments/surgeries, etc. that a person supported has had.	Retained in A.I.M.S. Some information in personal binder in person's home RETENTION: Outside Clinician reports 2 Years then scanned, saved and paper shredded ARCHIVE: N/A
Medical Tracking/Appointment	A form to track annual physical exams or doctor's visits	Retained in A.I.M.S. RETENTION: N/A ARCHIVE: N/A

EDUCATION/EMPLOYMENT		
Training information; Supported Employment information	Documentation about a person supported and where they're working and training they have had	A.I.M.S. records RETENTION: N/A ARCHIVE: N/A
MISCELLANEOUS		
Letters/Certificates/Correspondence	Self-Explanatory	Keep in person's personal binder. RETENTION: As long as needed then shredded ARCHIVE: N/A
Menus/Calendars/Schedules	Self-Explanatory	Menus/Schedules shred annually. RETENTION: As long as needed then shredded ARCHIVE: N/A
RESIDENTIAL		
Incident Occurrence Report Books	A bound collection of reports of happenings/observations in the home pertaining to people supported	Generated on paper initially; now generated electronically. RETENTION of Paper: 2 Years ARCHIVE: 2 Years then shred
Incident/Occurrence Report Books – the carbon copies	A bound collection of reports of happenings/observations in the home pertaining to the home/staff/outings/	RETENTION: 0 Years ARCHIVE: Shred when book completed.
Joint Account Information	Financial information for the house, January to December of each year	Kept with finances in person's home. RETENTION: 2 Years active filing ARCHIVE: 7 Years then shred
Utility Bills	Bills reflecting energy costs of the Residential Home	Kept with finances in residential homes, filed by address RETENTION: 2 Years active filing ARCHIVE: 1 Year then shred

Communication Books	A written log of communication notes between staff/team leaders	Kept in person's home until completed RETENTION: 2 Years active filing ARCHIVE: 1 Year shred
Service Activity Log Books & Outcomes Log Books	A record of supports and activities person supported has engaged in; recorded in A.I.M.S.	Electronically generated. RETENTION: A.I.M.S. ARCHIVE: A.I.M.S.
OFFSITE STORAGE – Canadian Mini-Storage 1060 Central Ave. at Golf Links Rd	Storage of archived items from Central File for people supported and Residential Homes	No more than 10 years of storage at one time.

Any other documentation not mentioned in this policy will be dealt with on an item by item basis by Senior Management at Community Living Thunder Bay.