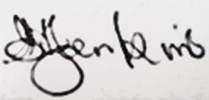


AGED SERVICES: CLIENT FILES POLICY

Date approved	27/6/22	Signature by Management representative	
Previous titles	CHSP Compliances 19/11/18, Data Management Policy 2015, Privacy Policy 2015, Confidentiality Policy 2015, Service Delivery Policy 2010		Chairperson, Suzanne Jenkins
Previous versions	N/A		



AGED SERVICES: CLIENT FILES POLICY

Internal ECS References	
In S:\0 CURRENT POLICY & PROCEDURES:	In S:\1 CURRENT FORMS:
<i>Aged Services: Access to Services Policy</i>	<i>Aged Services Client Information Form</i>
<i>Aged Services: Supports Planning Policy</i>	<i>ECS Client Wellness and Reablement Support Plan</i>
<i>Aged Services: Social Support Policy</i>	
<i>Aged Services: Rights & Responsibilities of Clients Policy</i>	<i>Aged Care Charter of Rights Form, ECS Client Wellness and Reablement Support Plan, Venue Checklist, Home Safety Checklist in S:\2 current AGED SERVICES TEAM</i>
<i>Communicating with Clients Policy</i>	<i>individual's My Aged Care Referral & Support Plan, signed Aged Care Charter of Rights Form etc in in R:\</i>
	<i>Client Notes file in S:\2 current AGED SERVICES TEAM</i>
	<i>S:\0 current data base</i>

External References	
https://www.health.gov.au/resources/publications/common-wealth-home-support-programme-chsp-manual	<i>Aged Care Quality Standards at https://www.agedcarequality.gov.au/providerstandards</i>
https://www.health.gov.au/resources/publications/common-wealth-home-support-programme-guidelines	<i>Data Exchange Protocols Manual at https://dex.dss.gov.au/</i>
https://www.health.gov.au/resources/publications/national-guide-to-the-chsp-client-contribution-framework	<i>Commonwealth Privacy Act 1988</i>

Table of Contents			
1.	POLICY STATEMENT	2	
1.1	Definitions	2	
1.2	Acronyms	2	
2.	GENERAL POLICY	2	
3.	FORMATS	2	
3.1	Physical Files	2	
3.2	ECS Data Base	2	
3.3	Electronic Files		3
3.4	My Aged Care Files		3
4.	FILE CONTENTS		3
5.	AUTHORISED ACCESS		4
6.	ARCHIVING		4
6.1	Physical Files		4
6.2	Electronic Files		4

AGED SERVICES: CLIENT FILES POLICY

1. POLICY STATEMENT

ECS is committed to maintaining complete and up-to-date files for all Aged Services clients, in order to meet Quality Standards and enhance continuity and quality of care.

1.1 Definitions

client = term used across ECS programs and policy documents instead of “consumer”, which is specific to Aged Care
ECS workers = anyone who carries out work on behalf of ECS, including staff, volunteers [including management committee members], contractors and students on placement

1.2 Acronyms

ACAT = Aged Care Assessment Team
CHSP = Commonwealth Home Support Programme
DEX = Data Exchange
ECS = Engadine Community Services
IT = Information Technology ie. computers
RAS = Regional Assessment Service

2. GENERAL POLICY

ECS is a service provider of social support to people frail from age through the Commonwealth Home Support Programme (CHSP). In delivering CHSP social support, ECS develops, monitors and updates client files to comply with Quality Standards and well-informed supports are always delivered to individual clients, regardless of the ECS Team member working with the client.

Client files are kept in a range of formats to ensure information is always at hand for relevant ECS workers and to comply with My Aged Care requirements. Files contain a range of information about the client, any support plans, the nature of the ECS services they have received to date, any complaints made and risk assessments.

All client files must be kept complete and up to date by the ECS Aged Services Coordinator. To protect client privacy and confidentiality, only relevant staff are authorised to access client files and a thorough archiving process is outlined for these staff to comply with Australian law.

3. FORMATS

Client files must not be created without instruction from the ECS Manager or Aged Services Coordinator. There will be a physical paper file and an electronic file. Both the paper file and electronic file will have corresponding information in them.

3.1 Physical Files

When the ECS Aged Services Coordinator starts a new client [per the ***Aged Services: Support Planning Policy***], they create a hard copy client file and continue to monitor client file folders for quality. The hard copy client file is labelled with the client’s first and last name. The client file will contain:

- originals (when possible) of all documents listed in section 3
- old ECS forms eg. *Client File Checklist, CHSP Client Details Form, Personal Plan Goal Setting & Brainstorm, Care Plan Report, progress notes pre-2018*

3.2 ECS Data Base

All ECS clients are asked to complete the relevant *Aged Services Client Information Form*. The *ECS Data Base* contains key facts required for DEX and dates from the *Aged Services Client Information Form* for easy access. It is maintained by a Lead Volunteer and includes:

- Home address
- Email
- Home phone and mobile phone numbers
- Emergency contacts

AGED SERVICES: CLIENT FILES POLICY

- Year commenced
- Last assessment
- AC number
- DEX number
- Medicare/DVA/Centrelink number
- Any health condition
- Any mobility aid
- Specific ECS service/groups attended

3.3 Electronic Files

When the Aged Services Coordinator starts a new client [per the ***Aged Services: Support Planning Policy***], s/he must create an electronic client file on the shared drive and continue to monitor client file folders for quality. The client e-file is created in *R: clients*, in last name+first name format. The client e-file will contain:

- scanned/pdf copies of physical file contents [as above]
- case notes from the s: drive (Word document with date, ECS worker's name, exchange with client and any actions) [note: this is the only part of the client file which is updated by general ECS workers; everything else has confidential information about client in them]

The shared drive is backed up by offsite IT support. In the event of an IT disaster or emergency, it can be accessed via email by the ECS Manager, Aged Services Coordinator and any other authorised staff. All computers are password-protected to prevent data theft.

3.4 My Aged Care Files

Client files are created on My Aged Care by the Regional Assessment Service (RAS) or Aged Care Assessment Team (ACAT) team member to facilitate support referrals. It is the role of the RAS or ACAT assessor to explain this process to the client and obtain client consent. Once ECS accepts a My Aged Care referral, ECS will meet its Data Exchange (DEX) reporting requirements and maintain My Aged Care client files for the Department. The role of My Aged Care will be explained to new clients by the ECS Aged Services Coordinator as per the ***Aged Services: Support Planning Policy***.

4. FILE CONTENTS

Physical and electronic client files will contain the same content. The client file checklist will be marked off, signed and dated at the end of each audit. The completed checklist will be scanned into the client's electronic file saved with the date the checklist was completed and placed at the front of the client's physical file. It is the responsibility of the ECS Aged Services Coordinator to ensure files are maintained and contain the correct information.

Client files will include:

- *My Aged Care Referral* Client details and notes
- Initial *My Aged Care Referral & Support Plan* (transcript of client information, client medical history, assessment outcomes and referrals for identified needs etc; My Aged Care Referral (NSAF) provided by the RAS and exported as a pdf by the Aged Services Coordinator)
- Signed *ECS Client Information Form* (detailed above)
- Signed *Charter of Rights Form* [or write a note on the file stating declined to sign with the date or note of postage of form to client]
- *ECS Client Wellness and Reablement Support Plan*
- *Client Notes* file (list of group letters sent from ECS, phone calls and dates on which client was visited or came to ECS)
- Any relevant reports from ECS workers on the *ECS Feedback Sheet*
- *Support Plan Summary* for volunteer services (if volunteers will be taking clients shopping or on outings)
- *Home Safety Checklist* (if relevant) of client's home
- *Health Screening Forms* (if relevant) to approve client participation in Seniorcise or Pilates
- GP letters/clearances (if relevant) to approve a client participating in a social support group program
- Copies of correspondence to ECS from the client, doctors or other relating to client's needs
- Any feedback and complaints made by the client to ECS, including the outcomes

AGED SERVICES: CLIENT FILES POLICY

- Any other relevant correspondence such as correspondence regarding requests for information from the client or any other member of their support network, communications with other providers, correspondence regarding financial hardship, fees and contributions payment etc. requests for use of advocates or interpreters/translators, requests about changes to ECS supports or staff, any meeting minutes
- Copies of individualised correspondence to the client or relating to the client

Specific instructions:

- Client files may be created by copying the files inside the client file template and pasting it into an empty folder that has been named as follows: LAST NAME (in capitals), (any preferred names in "") First name and what service they usually attend in brackets
- Each file in the newly created folder for the specific client will still have the same name and the client's full name
- Ensure that all folder and file names are in uniform format
- Re client correspondence file: staff to put a note to "see s:drive notes", if adding something that is appropriate to be viewed by all workers with s:drive access
- Re client observations form: this is a place where notes should be made when a deterioration of health, any instances of concern, etc are noticed by staff for the Aged Services Coordinator to follow up
- If a client or their support network requests access to content in a client file, follow the procedure outlined in the **Communicating with Clients Policy**

5. AUTHORISED ACCESS

Physical client files are kept locked in a filing cabinet in the ECS office. The ECS Manager and ECS Aged Services Coordinator must supervise any delegated staff access. Volunteer case notes are emailed or physically handed to the ECS Aged Services Coordinator for follow-up and placement in the relevant physical client file.

Electronic client files are kept on the shared drive. The ECS Manager and the Aged Services Coordinator have delegation for authorised access. All ECS staff are trained in privacy and confidentiality obligations and law and know not to read electronic client files without authorisation. Client notes are only accessible to specific office workers and updated by the ECS Manager, Aged Services Coordinator, Building Communities Coordinator, PA Officer and Lead Volunteer doing friendly phone calls and system reviews.

As outlined at section 2.3, client files are created on My Aged Care by the ACAT or RAS team members when referring clients to ECS; the Aged Services Coordinator is responsible for accepting referrals and for downloading and appropriately storing in the physical and electronic client file any information provided through My Aged Care [per **Aged Services: Access to Supports Policy**]. The ECS Manager and Aged Services Coordinator are responsible for adding information to My Aged Care as required from time to time [eg. for client re-assessment].

6. ARCHIVING

6.1 Physical Files

When a client is exited from ECS CHSP supports, the client's physical file is archived in the Archive Cabinet (kept locked in a file safe system in the main office.) The archived file must be kept for seven (7) years from the date of client exit, as per Department of Health guidelines and other Australian law. The date the client file was closed will be recorded on the front of the physical client file. At the end of seven years, the ECS Manager will arrange for the files to be securely shredded and recycled. The ECS Manager or their delegate will audit the Archive Cabinet annually to remove files which must be destroyed and will organise file destruction within twenty-four hours of removing the file from the Archive Cabinet.

6.2 Electronic Files

When a client is exited from ECS CHSP supports, the client's e-file is archived in the archive folder located within the shared drive (which contains all client files) and kept for seven years from the date of client exit as per Department of Health guidelines and other Australian law. The client's e-file will be re-named to include the date of support exit as well as client last name, first name. At the end of seven years, the ECS Manager will delete the archived client file from the shared drive. The ECS Manager or their delegate will audit the client files archive folder in the shared drive annually to delete the files which no longer need to be stored.