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Record Keeping: Top Priority for Occupational Therapists

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What we know...



4/17/2016

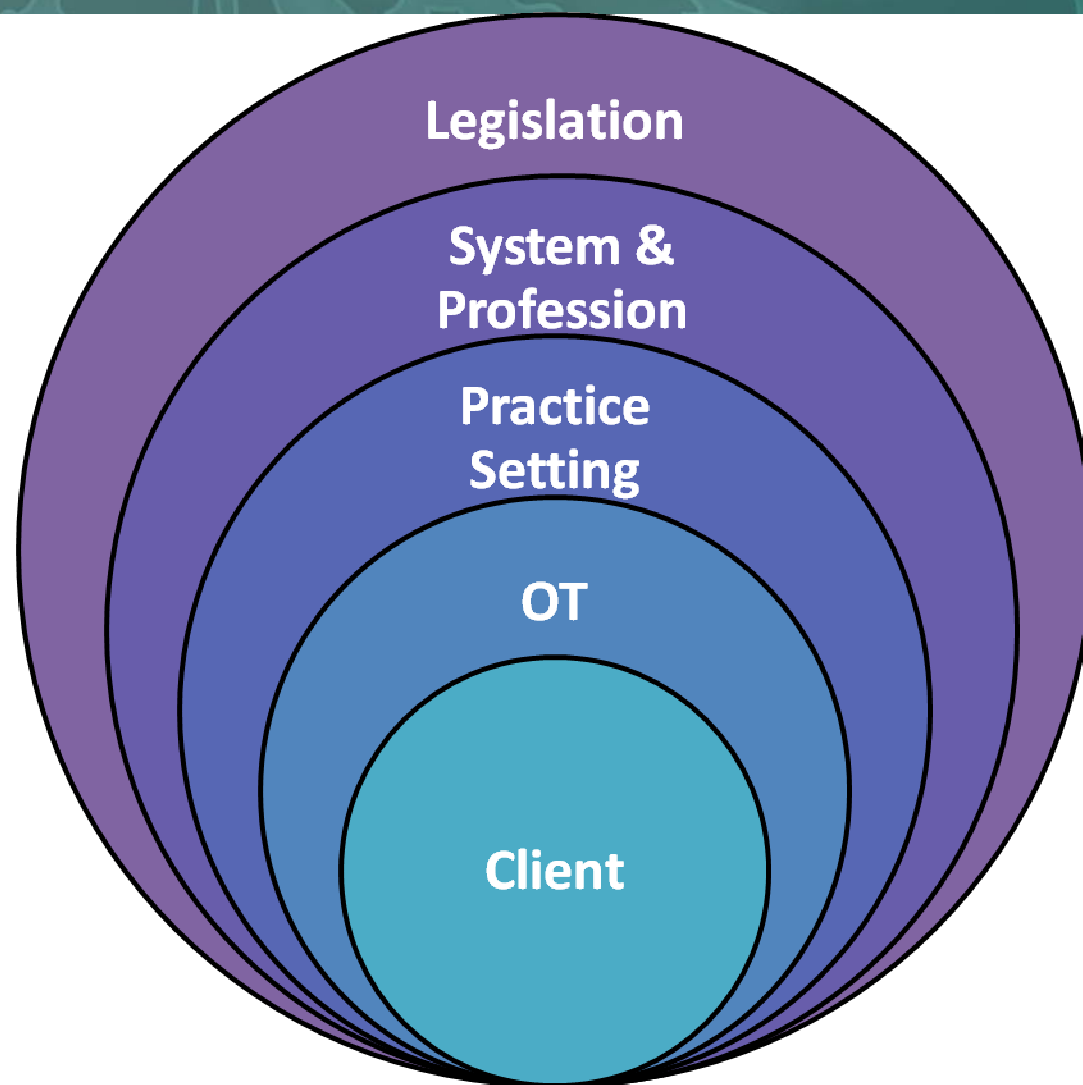
Common Record Keeping Challenges

- Meeting College standards while managing busy caseloads
- Competing priorities of employers and regulators
- Emerging practice areas and settings
- Technological advancement
- High stakes interventions and litigation
- Client expectations
- Interprofessional documentation

Objectives

1. Understand the foundational principles and functions of record keeping.
2. Identify strategies to manage challenging record keeping issues.
3. Learn about trends on the horizon that may influence record keeping.

Purpose of Record Keeping



Purpose of Record Keeping

Client	Clients have a right to access current, accurate and complete documentation of all OT interventions. Reflects client's story, perspective and goals.
OT	Describe your OT process, reflect your clinical reasoning and demonstrate that you have practiced in a safe, ethical manner.
Practice Setting	Support continuity of care among care providers, facilitate care delivery processes and billing requirements, are necessary to evaluate performance and enable quality improvement.
System & Profession	Reviewed to evaluate individual OT performance (complaints or competence evaluation); and, inform quality assurance and professional development initiatives. Data collected from clinical records is critical for the development of evidence-based practice and to evaluate system performance and resource allocation.
Legislation	Client records and record management demonstrate compliance with legal requirements and demonstrate objective, transparent and consistent application of record keeping principles.

Record Keeping Requirements

Client Access

**Record
Management and
Administration**

**Collecting, Using
and Disclosing
Client Information**

**Privacy and
Confidentiality**



Client Access

The client, the OT and personal health information?

Do you understand the client's rights to access their personal health information?

Do you have a process in place to ensure client's have timely access?

What is your role in transferring a request for access to information?

When might you decide to limit client access?



Emily – Community Care



4/17/2016



Record Management

Are you responsible to maintain the client record?

Do you work as an independent OT or are you an employee?

Do you submit all components of your clinical record to another person or organization?

Do you have reporting accountabilities or contractual obligations to a third party?

Is the organization you work for legally permitted to collect personal health information?



Ahmed – Employee Health



4/17/2016



Record Management

How do you manage client records and PHI in non-health settings and systems?

**What
legislation
applies?**

**Who is the
referring
source for OT
services and
what is their
relationship
to the client?**

**Do you have
reporting
account-
abilities or
contractual
obligations to
the referral
source?**

**What are
your
professional
requirements
?**



Suki – Retirement



4/17/2016



Record Management

Transferring care, leaving a role or a practice

**Is client care being transferred to another OT or care provider?
Is there sufficient information in the record?**

What arrangements have you made for record retention?

Can you respond to inquiries about your OT service from former clients, new care providers or other stakeholders?

Have you informed all your clients about the plan, obtained consent and notified them about access to their records?

When does a person become a client?



Collecting, Recording and Using Client Information

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Who is a client?

**What is your
relationship
with the
individual?**

**When is it
essential that
you create an
OT client
record?**

**What the
service
recipient
expectations
regarding the
OT
intervention?**

**How do you
document OT
service
delivery
when you do
not have a
client?**

Raw data, assessments and forms – Determining what to keep and where?



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Managing raw data, standardized
assessments and forms

**Can this
information
be included
in the clinical
record?**

**Are you
required to
keep the
information?**

**What
processes are
in place to
ensure
client's have
access to
their
records?**

**How will
information
be made
available to
care
providers
and the
organization?**



Drowning in documentation



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When is enough, enough?

**Is the
information
available
elsewhere in
the record
for
reference?**

**Is the
information
relevant to
your OT
intervention
?**

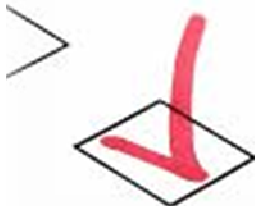
**Do you have
protocols
that you can
reference?**

**Is there an
opportunity
to use
different
charting
methods?**



Documenting Consent

CONSENT



DATE: _____ PROGRESS NOTES

Notes of Clin not- prob to not intentionally
cont hostile - good about - cat and concern
his behavior from present wife and danger
his anger and feeling victimized by
the wife and do up for not caring &
giving him time during to good syphilis
but not willing to treat skin. As was
6. has current syphilis vitamin exposure
& prescription with the use of penicillin - etc
to change last of function
7. very well documented present
8. with vitamin B12 was taking & who
was expressing feeling that the UK
was denying him proper treatment
because they would not provide the
vitamin
A/ Very angry & fearful victim victim
of syphilis disease disease.
Currently not well & syphilis but is
emotional in his current treatment approach
& feeling of victimization.
B/ Told that I did not agree with his approach
but would not say that it was wrong.
Told he could have vitamin B12
C/

STANDARD FORM 500 (Rev. 11-77)

Collecting, Recording and Using Client Information



Documenting Consent – Is a checkbox sufficient?

**What does a
checkbox
imply to the
reader?**

**Do you have a
consent
protocol,
procedure or
consent form
that outlines
your
informed
consent
process?**

**Is it clear who
has given
consent on
the client's
behalf if the
client is not
capable?**

**Is there a
location to
document
relevant
information
when the
checkbox is
not
appropriate?**



Jason – Difficult Decisions



4/17/2016



Privacy and Confidentiality

Difficult disclosure decisions?

**Do you have
consent to
release the
client's
personal
health
information
?**

**Has the
client
withdrawn
consent for
release of
part or all of
the record?**

**Is there a
risk of harm
to the client
or others?**

**Will the lack
of
information
impact the
ability of
other care
providers to
intervene?**

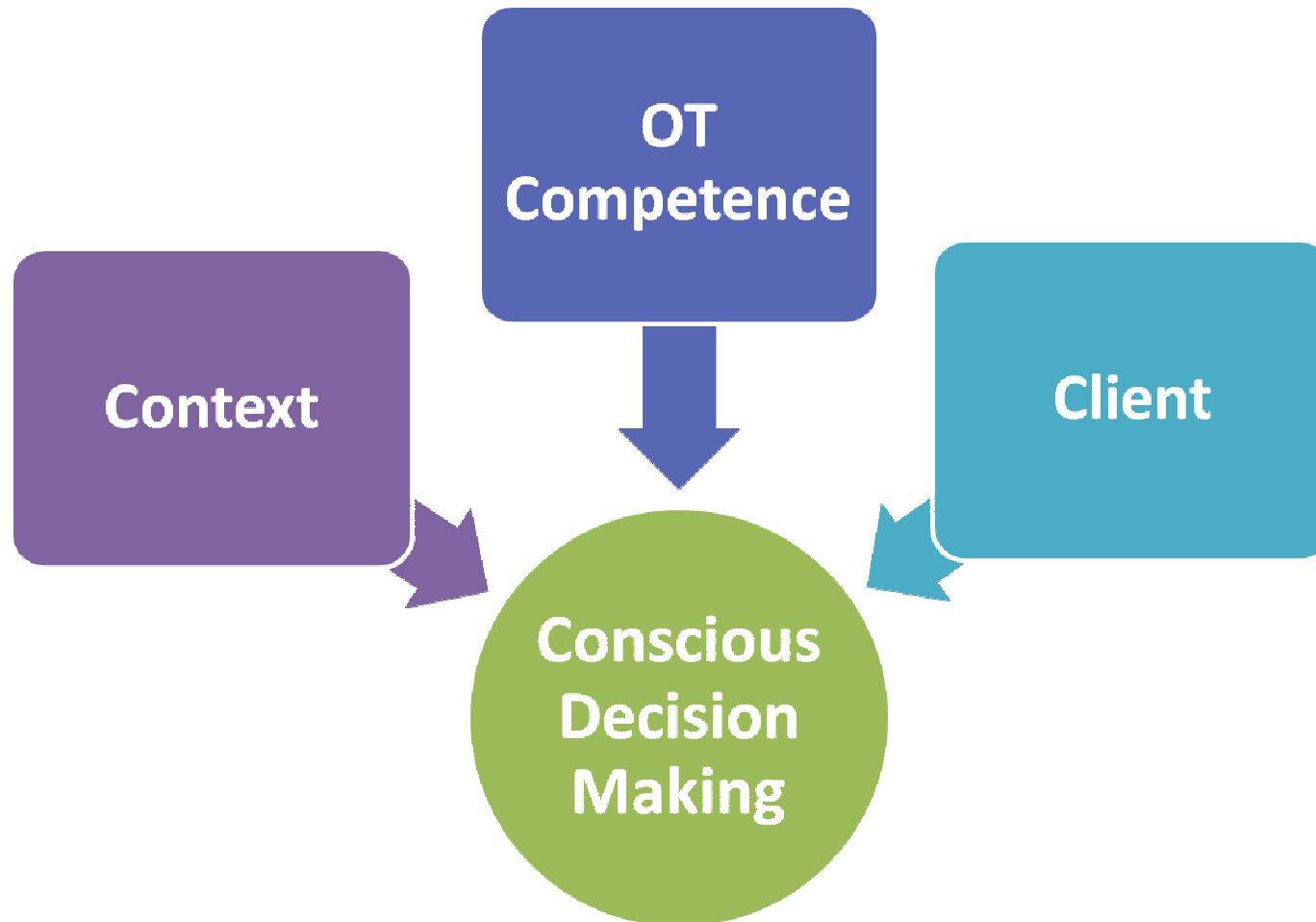
Strategies

1. Be familiar with the expectations in legislation and standards
2. Incorporate the principles of record keeping into your clinical reasoning
3. Complete a Risk Assessment
4. Develop protocols to support documentation
5. Participate in a peer-assessment of your documentation practices

Strategies

6. Consider your audience
7. Consider alternate documentation methodologies (charting by exception)
8. Don't be afraid to talk about your concerns (regulator, colleagues, supervisors)
9. Remember that there is not always a right and wrong
10. Use your clinical judgement!

Clinical Judgement and Reasoning



Resources

1. Practice support from your regulator
2. Record keeping tools (checklists and audit tools)
3. Legislation & Standards
4. Privacy Laws and Standards Reference Resource (2016)
<http://www.acotro-acore.org/resource>
5. Jurisprudence Knowledge Assessment Learning Module
www.acotro-acore.org/seas/jurisprudence-knowledge-assessment-test-jkat
6. Collaborative Record Keeping Resource
www.healthregcollaborativepractice.com
7. Legal Counsel

Record Keeping Trends

1. Increasing emphasis on privacy and confidentiality requirements
2. Electronic health records – limitations
3. Health system reform – reporting requirements & resource constraints
4. Expert opinions & litigation
5. OTs in emerging roles – non-health systems roles
6. Interprofessional practice and shared documentation
7. Caseload demands and expectations for efficiency
8. Professional wills and obligations related to abandonment of records
9. Evolving legislation

FOR MORE INFORMATION

ACOTRO www.acotro-acore.org

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