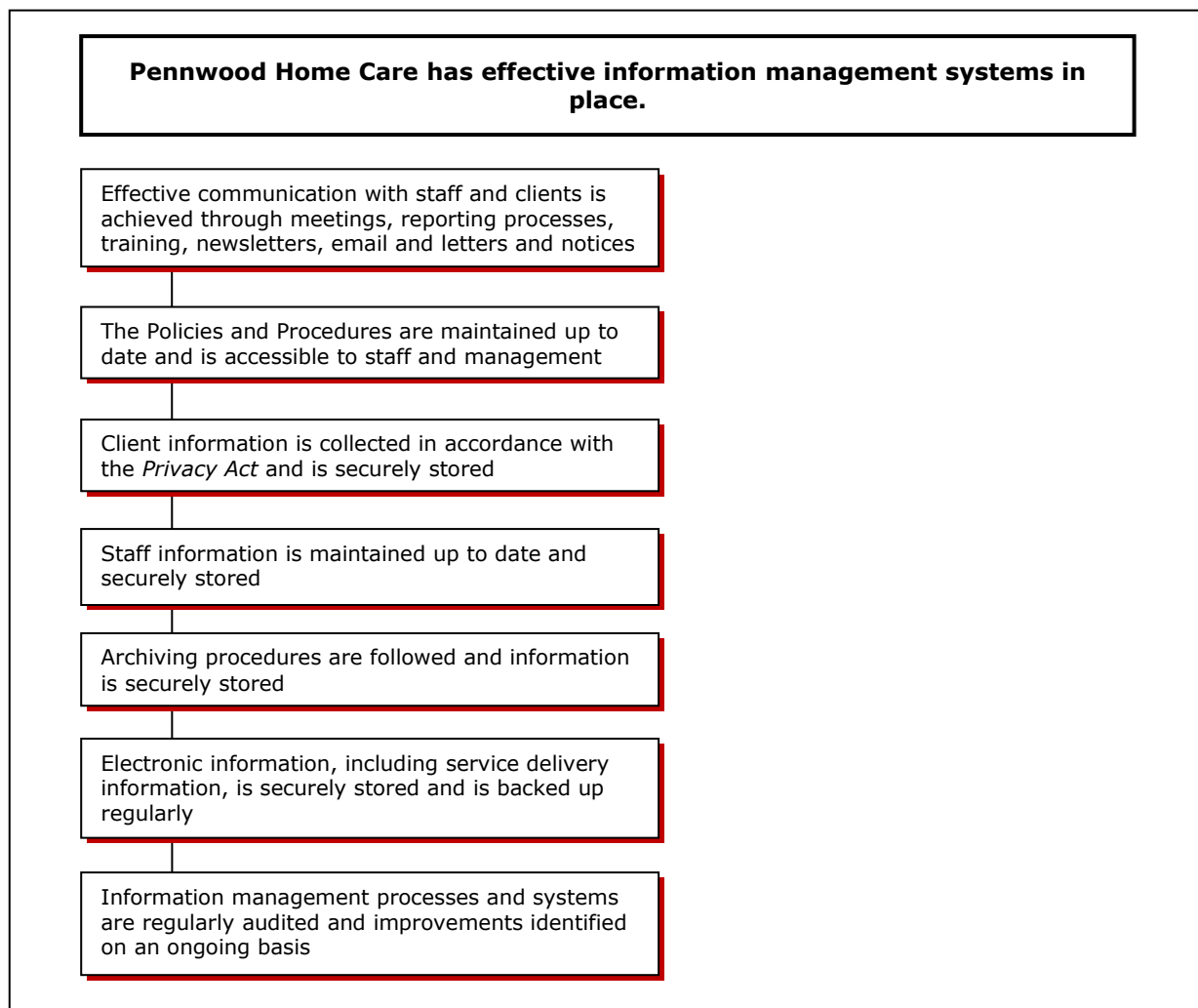




## HC3 - INFORMATION MANAGEMENT SYSTEMS



### FORMS AND RECORDS

Minutes of meetings	Meeting and Training Folder in Home Care Office and Z:\Home Services\S1 - Effective Management\Meeting Minutes
Client Records	Hard Copy client records in Home Care Filing Cabinet eTools X:\Home Services\S2 - Appropriate Access and Services Delivery\2.3 Care Plan Development
HS29 Client File Movements Register	Home Care Office – front of Filing Cabinet
Financial management records	Finance Manger (MYOB), BRS Billing and eTools X:\Home Services\S1 - Effective Management\Financials X:\Home Services\S2 - Appropriate Access and Services Delivery\2.3 Care Plan Development
Archives	Shared Drive (various locations) and Filing Cabinet



## HC3.1 Communication Strategies

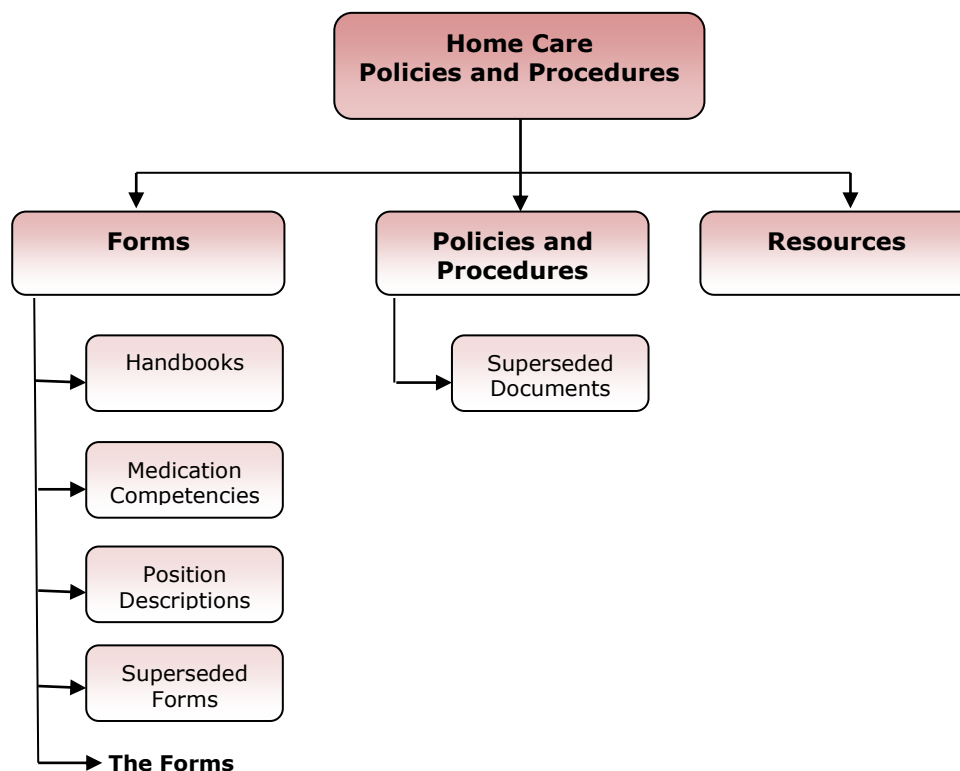
Underpinning the management of information in Pennwood Home Care are the following communication strategies:

- Regular and structured meetings that involve all staff (see 1.7 Management Meetings)
- Regular reporting (see 1.8 Management Reports)
- Training for staff in relevant policies and procedures
- Involvement of staff and clients in the continuous improvement process (see Section 5: Continuous Improvement)
- Involvement of staff in the planning process (see 1.14 Planning)
- A 3 monthly newsletter for staff and clients prepared by the Support Officer and Coordinator
- Emails to staff and informal discussions
- Letters, emails and notices to clients and/or representatives as required.

## HC3.2 Policies and Procedures

### 3.2.1 STRUCTURE OF THE POLICIES AND PROCEDURES

Our Policies and Procedures include the following components:



**Pennwood Home Care**

19 Windsor Avenue, Pennington 5013  
Phone: (08) 8341 0401, Fax: (08) 8447 4193  
Email: [homeservices@pennwood.org.au](mailto:homeservices@pennwood.org.au)



Policy No.:	HCPP – Section 3
First Issued:	3/4/2014
Date Reviewed:	15/8/2017
Issue No.:	3
Authorised By :	A Brown CE

The Policies and Procedures are maintained in a shared drive (Z:\Shared Data\PolicyMan\Home Care - P&P). The HC Support Officer is responsible for keeping the information up-to-date with assistance from the CE (if relevant), Coordinator and other staff as required. The involvement of all staff is encouraged to ensure policies and procedures reflect practice and to foster ownership and familiarity with the material.

The Policies and Procedures Manual includes the following sections:

Introduction and Table of Contents

1. Corporate Governance
2. Regulatory Compliance
3. Information Management Systems
4. Community Understanding and Engagement
5. Continuous Improvement
6. Risk Management
7. Human Resource Management
8. Physical Resources
9. Service Access
10. Assessment
11. Care Plan Development and Delivery
12. Client Review
13. Client Referral
14. Information Provision
15. Privacy and Confidentiality
16. Complaints and Client Feedback
17. Advocacy
18. Independence
19. Forms – Separate Folder

A copy of each form used by our organisation is maintained in the shared drive in Z:\Shared Data\UsersSpace\Public\Forms\Home Services Forms.

### **3.2.2 ACCESS TO POLICIES AND PROCEDURES**

If staff require a copy of procedures these can be requested from the coordinator or support officer, but once printed are uncontrolled and should only be used as an immediate reference.



### **3.2.3 UPDATING THE POLICIES AND PROCEDURES**

The need to update the Policies and Procedures Manual, forms or other material may occur through:

- Changes in legislation or regulations
- Changes in funding or funding guidelines and requirements
- Feedback
- Management decisions
- Adverse Event Reports
- Audits and
- Reviews

The need to update the Policies and Procedures Manual, forms or other material may occur through:

1. When the need for changes are identified these are discussed with the Coordinator (or if relevant the CE).
2. The Coordinator develops draft changes with the assistance from other staff.
3. Draft changes are reviewed by the CE (if relevant). The CE decides if the changes need Board approval and submits them as necessary.
4. When changes have been approved by the Board and/or CE the Home Care Support Officer is advised to update the Policies and Procedures Manual.
5. The Policy and Procedures Manual is updated, including relevant forms, and the table of contents. Old versions are watermarked 'superseded' and archived in the Superseded folder.

Note that any new form is referenced in the Policies and Procedures Manual.

6. Staff are advised of changes to the Policies and Procedures either through a staff meeting, an email, a memo or a training session. Clients are advised, as appropriate and necessary, through staff, newsletters, emails, letters or flyers.
7. Major changes are recorded as an improvement in the CQI Register (see Section 5: Continuous Improvement).
8. Major changes are reviewed after an appropriate time to ensure they have achieved the required outcome.



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### **3.2.4 REVIEW MINUTES OF MANAGEMENT MEETINGS**

The CE or delegated staff member reviews the minutes of all management meetings for decisions that need to be reflected in the Policies and Procedures.

### **3.2.5 CONTROL OF THE POLICIES AND PROCEDURES**

- Only the CE and Coordinator can initiate changes to the original files and only within the process specified in 3.2.3 Updating the Policies and Procedures.
- Printed pages of the Policies and Procedures can be made for staff to refer to but are uncontrolled documents once printed (other than the authorised printed copy/copies). These must be kept to a minimum. The Administration Team is responsible for recording the location of any full copies of the Policies and Procedures and for ensuring that they are updated when the originals are updated.

### **3.2.6 REVIEW OF POLICIES AND PROCEDURES**

Policies and procedures including forms are reviewed over a 3 year period as documented in the [Community Calendar](#) and [Policy-Process-Review Schedule](#). This is described in detail in Section 5: Continuous Improvement.



## HC3.3 Client Information

### 3.3.1 PRINCIPLES FOR THE COLLECTION OF CLIENT INFORMATION

See Section 15: Privacy and Confidentiality.

### 3.3.2 MANAGEMENT OF CLIENT INFORMATION

#### ***Paper records***

All clients have a paper file that includes referral information, assessment information, correspondence, financial information and any other relevant information. Paper files are stored in the Home Care Office in a lockable filing cabinet. The HSSO creates new in-home notes and office files as required. The HCC or HSSO can add information as required. The HSSO is also responsible for filing and for securing the files.

#### ***In-home notes***

Clients who have in-home services also have a care plan file that includes information that Support Workers require access to such as the support plans, client progress notes, daily workplan for home care staff, non-response to scheduled visit and hazard/incident report.

The Home Files are kept in a secure place in the client's home. If the client does not wish the home notes to be stored in the home (or if the notes are at risk of being lost or destroyed) arrangements are made for the staff delivering care to take the home notes in and out of the home each visit. It is essential for staff visiting the client's home, or providing other support outside of the client's home, to have access to the relevant support plans.

#### ***Financial records Home Care Package Clients***

Financial records including an individualised budget is maintained for each client and includes:

- The full amount of the Government subsidy (including any supplements as required)
- Any client contribution and/or income tested fee
- Expenditure including administrative costs, advisory and case management services and service and support provision and/or purchasing.

#### ***Creating a client file***

The procedure for creating a client in-home/office file is:

- The HSSO creates an office file on a regular basis to ensure one is available when the HCC goes out for a new assessment.



- The HCC or HSSO creates a home and office file following the acceptance of the person as a client
- Once an assessment is completed, the file is forwarded to the HSSO for checking the completeness of information and organising the file as required then filing it in cabinet.
- The in-home file is taken to the client's home either by a support worker who provides the first service or the Coordinator.

### ***File storage and maintenance***

- Files are stored in a filing cabinet when not in use.
- Keys to the filing cabinets are held by the Coordinator and Support Officer.

### ***File movements***

To take a file out the following procedure applies:

- The file is requested from the HSSO
- The HSSO record the staff person and the date and time the file was taken, in the HS29 [Client File Movements Register](#)
- When the file is returned the HSSO check the file is in order, note its return in the Register and file it
- Office-based files are never removed from the office; in-home notes files are returned to the office and filed with the office based file when the client ceases to receive support
- Files for people who cease to access services are archived in a drawer in the filing cabinet in Home Care Office (see 3.6 Archiving).

### ***Electronic records***

Client information is also stored electronically on the eTools. The HCC and HSSO are responsible for ensuring that data entry is completed (including entering a new clients, amending data to exiting clients and rostering clients with support workers). The HSSO is also responsible for setting up accounts for invoicing in BRS Billing.

### **3.3.3 CLIENT ACCESS TO INFORMATION**

See Section 15: Privacy and Confidentiality.

### **3.3.4 SUPPORT SERVICE INFORMATION**

Information on the support services delivered to clients is recorded in the eTools under Notes Section by HCC and some Allied Health Professionals and also in client's Progress Notes by HCC and HSSO.



## HC3.4 Recording Service Delivery Information

### 3.4.1 HOME CARE PACKAGES

Services provided through Home Care Packages are detailed in 11.4 Range of Services Provided by Home Care Packages.

Details of the support and care provided including the hours (or cost of any outsourced support, equipment or care) are recorded for each client in e-Tools and MYOB.

## HC3.5 General Information

The HSSO are responsible for organising and maintaining the filing of general information up to date.

### 3.5.1 STAFF RECORDS

Staff files are kept in a filing cabinet in the Home Care office and are available only to the Coordinator and HSSO. The filing cabinet is locked when the office is unattended.

#### ***Staff access to staff files***

Staff can access their files as per the procedures specified in 7.7 Staff Files.

### 3.5.2 MINUTES OF MEETINGS

Minutes of meetings are maintained on the shared drive. A printed version is available in 'Meetings and Training' Folder.

### 3.5.3 OTHER ADMINISTRATIVE INFORMATION

All other administrative information including funding information, financial information and general filing is maintained in the filing cabinet and various folders in the Home Care office. The cabinets are locked out of hours or when the office is unattended for a lengthy period of time.





## HC3.6 Archiving

The HSSO is responsible for archive management. Archived files are stored in the archive storeroom. Archives are sorted by year and grouped as follows:

- Client records
- Staff records
- Administrative records including financial records
- Policies and procedures.

All archived information is entered in the archives index. The index records the date of archiving, the file contents, the archive box name and number and the file number and date of destruction. (Not yet relevant)

### **3.6.1 TIMELINES FOR MAINTAINING RECORDS**

Our records are securely destroyed after the following time periods:

Employment applications unsuccessful	6 months
Staff records	7 years after the staff person ceases employment
Client records	7 years after the client ceases receiving services except for Aboriginal and Torres Strait Islander clients, whose records are kept indefinitely and records of children aged under 18 years, whose records are kept until 7 years after they turn 18 years of age
Financial records	7 years
General administrative records	7 years
Policies and procedures	One year

### **3.6.2 ARCHIVING CLIENT RECORDS**

#### ***Client paper records***

When a client leaves the service, their paper file is maintained in the client files for one year. After a year it is placed in an envelope and stored in client files archive box and entered into the archives index. Their name is also entered into the archive form for that box.

Client records are destroyed as per the timelines specified in 3.6.1 Timelines for Maintaining Records.



### ***Electronic records***

Clients that cease their service with us are discharged in eTools and re-activated if they return to the service. Their electronic Care Plan folder is moved into the Archive folder under X:\Home Services\S2 - Appropriate Access and Services Delivery\2.3 Care Plan Development

### **3.6.3 MANAGING SUPERSEDED POLICIES AND PROCEDURES**

Whenever changes are to be made to the policies and procedures manual or a form the following procedure applies:

- Before making changes copy the existing file into the Superseded folder
- You can now make your changes to the original document.

Superseded policies, procedures and forms are destroyed as per the timelines specified in 3.6.1 Timelines for Maintaining Records.

## **HC3.7 Information Technology**

Our information technology and supporting systems ensure we are able to meet the needs of our organisation and the service delivery, data collection and reporting obligations outlined in our DSS Grant Agreement.

### **3.7.1 STANDARD OPERATING ENVIRONMENT (SOE)**

The standard operating environment for our organisation is:

- Windows Server 2012 R2 Standard

Software as follows on each workstation:

- MS Office 2010
- Adobe Reader pdf files
- MS Outlook 2010, and
- Google Chrome



### **3.7.2 AUSKEY**

AUSkey is required for access to the MyAgedCare Portal. It is installed on a USB for relevant staff member that require access to the MyAgedCare Portal. The Home Care Support Officer is the AUSkey administrator.

### **3.7.3 DATA STORAGE**

All data including clients, financial and administrative data, is stored on the Shared Drive of the server.

### **3.7.4 BACKUPS**

The Administration Team are responsible for maintaining up to date backups and the integrity is checked by the IT contractor mthly, All computer data including emails, is backed up every night to a removable hard disk. Two hard disks are rotated on a 2/7 basis and stored in safe. Disks not in use are locked in the safe.

### **3.7.5 EXTERNAL PROGRAMS**

No programs, external data or utilities are installed onto any workstation without the permission of the CE or the IT Administration. Installing programs or other external data or utilities can introduce viruses into the workplace and can cause serious problems with the computer system.

### **3.7.6 PASSWORDS**

Staff are assigned their logon credentials by the IT Provider if required (**LogicPlus**).

### **3.7.7 EMAIL**

Staff may send and receive minimal personal emails.

If pornographic, sex related or other junk email is received it is to be deleted without viewing it. Under no circumstances are staff to respond to it.

### **3.7.8 INTERNET**

Internet access is restricted to work related purposes. Internet access reports are maintained on the server and are regularly reviewed by the IT Administrator.

Under no circumstances are staff to access pornographic or sex related sites.

### **3.7.9 GETTING HELP AND REPORTING PROBLEMS**

Our organisation maintains an ongoing support agreement with **LogicPlus** to monitor and maintain our computer system. This includes software installation and updates and monitoring backups.



If a staff person experiences any problems with a program or computer or other piece of equipment they can in the first instance contact the IT Manager. If necessary, they will arrange for LogicPlus to provide assistance.

## HC3.8 Social Media

We are aware that social media (social networking sites such as Facebook, Twitter etc), video and photo sharing sites, blogs, forums, discussion boards and websites) promote communication and information sharing.

Staff who work in our organisation are required to ensure the privacy and confidentiality of the organisation's information and the privacy and confidentiality of client information and must not access inappropriate information or share any information related to their work through social media sites.

Staff are required to seek clarification from the CE if in doubt as to the appropriateness of sharing any information related to their work on social media sites.

## HC3.9 Monitoring Information Management Processes and Systems

Information management processes and systems are regularly audited as part of our audit program and staff, clients and other stakeholders are encouraged to provide ongoing feedback on issues and areas where improvements can be made (see [Community Calendar](#) and Section 5: Continuous Improvement).