



Client Record-Keeping Policy



"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."

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 rangatahi have legal or compensatory claims, good file keeping means we can support them with reliable and accurate personal information.

Records are kept secure in accordance with our [Protection of privacy policy](#).

Definition

"Record/file" refers to the set up and entry of personal information about a rangatahi/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

Management 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.

Requirements

File content

A young person's record should include the following information:

- date of entry
- full name
- preferred name
- alternative family names
- date of birth
- ethnicity
- cultural affiliations (hapū, iwi or other)
- parents/legal guardians if client is under 18 years
- gender preference
- religion/spirituality (if important to the rangatahi)
- communication support needs
- disability or health conditions and related support needs
- consents (eg to engage with the service/programme; for transport; information sharing etc)
- contact details
- alternative contact name and details
- a general practitioner or lead carer (where relevant)
- Enduring Power of Attorney or authorised guardian or agent (where relevant)
- information requested and obtained from previous or concurrent service providers



- information and notes relating to referral, assessment, planning, service, monitoring and review
- date and plan for exit
- any other information required by our funding contracts or relevant to the rangatahi.

Updating and management

Update the file

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

All file entries should be written in anticipation the rangatahi will view them. They must be concise, accurate and recorded in an objective way. The rangatahi must be kept informed of updates to their file and wherever practicable, their feedback included.

Enter alerts

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

The alerts must be communicated to all kaimahi and volunteers who are working with the rangatahi.

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 young person's progress.



Closing the file

The record will be closed when the rangatahi 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 young person's feedback and evaluation
- the Conclusion of service policy has been complied with
- transfer documents or referring notes have been done (as necessary and with the young person's consent)
- any agency with an ongoing interest in the young person'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 rangatahi requests it is transferred to another service or practitioner.

Disposal of record

A young person'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.



Back-up arrangements

File backup

Electronic files will be periodically backed up (eg by cloud, web, external drive). If disks are used they will be stored off-offsite.

Recovery of information from backups should be regularly tested.

Paper records are scanned into electronic files wherever possible. Otherwise, they will be archived securely on-site.

Closure

File management on closure of organisation

If the organisation closes, client records (closed and open) that are held electronically, or in hard copy, will be returned to the rangatahi concerned, transferred to another service provider, or destroyed. We will act in accordance with the law and take reasonable care to ascertain and comply with the young person's wishes about their information.

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

[Protection of privacy](#)

[Tutaki Client recordkeeping](#)



Review

Date: February 2022

Next review: by January 2024