

STANDARD OF PRACTICE

S-002

Record Keeping

Quality Assurance Committee
Approved by Council: May 24, 1996
Amended: November 18, 1999, November 30, 2002, November 26, 2004,
April 22, 2005, November 25, 2005, December 1, 2006, February 23, 2010,
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Note to readers: In the event of any inconsistency between this document and the legislation that affects chiropractic practice, the legislation governs.

INTENT

To ensure members maintain accurate, current records of personal health information.

OBJECTIVES

- To ensure patients have access to current, accurate information as reflected in their records of personal health information.
- To ensure continuity of care for patients from successive chiropractors or other treating health professionals.
- To provide members with a framework for organizing clinical notes and other records.
- To maintain confidentiality and prevent unauthorized disclosure of the patient health record and financial record.

DESCRIPTION OF STANDARD

Introduction

The record of personal health information must "tell the story" of the patient, as determined by the member, in the circumstances in which the patient was seen. The record is not just a personal memory aid for the member who creates it, but must allow other health care providers to review and understand the patient's past and current health history as well as future health goals.

Patients present to a member for a variety of reasons. However, patients should expect basic procedures to be followed and recorded which represent the chiropractor's unique role in the collaborative health care framework. The results and observations, based upon the performance of these basic procedures, should be recorded in such a way as to accurately recreate the doctor/patient interaction.

Information in records of personal health information should be stated concisely. It is acceptable to use sentence fragments or outline forms and diagrams.

Records of personal health information may contain abbreviations and terminology unique to health care professions. In such cases, an abbreviation legend/key must be available to accompany the records of personal health information.

CCO does not endorse any particular type, template or style of note taking. Whatever style is used, it is important to be consistent, comprehensive, accurate and legible to give a clear picture of the care being provided.

Types of Records to be Maintained

A member shall keep a daily appointment record, equipment service record, and record of personal health information, which includes the patient health record and the financial record. All records shall be accurate, legible and comprehensive. When requested, an accompanying explanatory legend for acronyms, abbreviations or short forms must be readily available.

1. Daily Appointment Record

The daily appointment record shall set out the surname and initials of each patient the member examines or treats or to whom the member renders any service.

2. Equipment Service Record

The equipment service record shall set out the servicing of:

- every x-ray machine in accordance with the *Healing Arts Radiation Protection Act, 1990 (HARP)*; and
- every other piece of equipment used to emit a form of energy permitted for use by members under section 43(1)(a) of the *Regulated Health Professions Act, 1991 (RHPA)*.

- 2 Equipment service records shall be consistent with the manufacturer's recommendations.

3. Record of Personal Health Information

The record of personal health information includes the patient health record and the financial record.

Patient Health Record

- (1) The patient health record shall contain:
 - patient's name, address, birth date and gender;
 - dates of each of the patient's visits to the member;
 - a reference identifying the patient, and the name/address of the primary treating chiropractor, on each separate page; and
 - name(s) of relevant referring health professionals, if appropriate.
- (2) The patient health record shall contain a history of the patient, including:
 - patient's chief complaint(s)/concern(s) and supporting data;
 - relevant past health history; and
 - family and social history when indicated by the presenting complaint(s)/concerns(s).
- (3) The patient health record shall contain reasonable information about every initial examination, all assessments (for further information related to the various assessments that are an essential part of any chiropractic care/plan of care of a patient please refer to Guideline G-013: Chiropractic Assessments), all relevant diagnostic tests and all relevant diagnostic imaging (images and accompanying reports included) made by the member.
- (4) The initial examination, as recorded in the patient health record, shall:
 - (a) be sufficiently comprehensive for the member to document:
 - evidence of the patient's current condition;
 - diagnosis or clinical impression; and
 - plan of care for the patient.
 - (b) include documented evidence on the performance of the necessary clinically indicated analytical/assessment procedures listed below (not an exhaustive list) in order to demonstrate the need for care:
 - activities of daily living questionnaires
 - advanced diagnostic imaging (e.g., diagnostic ultrasound, CT Scan, MRI, bone scans)

- analog pain scales
- any questionnaire designed by the member to have the patient compare his/her current and past health and/or lifestyle ratings
- bilateral weight scales
- blood pressure/pulse testing
- disability questionnaires
- exercise compliance
- leg length checks
- malingering testing
- muscle function testing
- neurological testing
- orthopedic testing
- palpation/motion palpation
- posture evaluation
- range of motion
- radiographic image
- reflexes
- sEMG
- sensory testing
- thermography
- trigger points

(5) The patient health record shall contain a record of care of the patient, that includes:

- a copy of the patient's consent to any examination or care or course of care that shall be:
 - fully informed;
 - voluntarily given;
 - related to the patient's condition and circumstances;
 - not obtained through fraud or misrepresentation; and
 - evidenced in a written form signed by the patient or otherwise documented in the patient health record.
- reasonable information about who provided the care and the location of where the care was delivered;
- reasonable information about every subsequent care/visit, including level of spine or joint contacted for the purpose of adjusting or mobilizing, and technique(s) used¹;
- reasonable information about all advice given by the member to the patient;

- reasonable information about a procedure that was commenced but not completed, including reasons for non-completion;
 - reasonable information about every order made by the member for examinations, including diagnostic images and accompanying reports, tests, consultations or care to be performed by any other person;
 - reasonable information about when a member advises a patient to consult with another health professional; and
 - every written report received by the member with respect to examinations, tests, consultations or care performed by other health professionals;
- (6) Periodic and regular comparative assessments are a mandatory component of any care/plan of care and are based on the same clinical judgement components used in all phases of patient care.

Implementation of any evaluation, assessment or treatment is always a clinical judgement call made by the member and based on clinical indications, best evidence, best practices, experience, patient presentation and many other factors. The timing and reason for each comparative assessment depends on a number of factors including but not limited to:

- patient progress;
- expectations of progress;
- presentation of new conditions; and
- requests from third-party payors such as WSIB, etc.

Therefore, comparative assessments must:

- (a) be conducted when clinically necessary and, in any event, no later than each 24th visit;
- (b) be sufficiently comprehensive for the member to:
- evaluate the patient's current condition;
 - assess the effectiveness of the member's chiropractic care;
 - discuss with the patient his/her goals and expectations for his/her ongoing care; and
 - affirm or revise the patient's diagnosis or clinical impression and plan of care; and

- (c) include documented evidence on the performance of three or more of the clinically indicated analytical/assessment procedures listed in 3(4)(b) (not an exhaustive list) in order to demonstrate the need for ongoing care. Members may use additional procedures not listed; and
- (7) Every entry in a patient health record shall be dated and clearly identify the person who made the entry.

Financial Record

The financial record shall contain:

- date of services;
- services billed;
- location of services;
- payment received; and
- balance of account.

4. Electronic Equipment

- A member may maintain an electronic record keeping system in accordance with this standard;
- A member shall take reasonable steps to ensure the electronic record keeping system is so designed and operated that records of personal health information:
 - o are secure from loss, tampering, interference or unauthorized use or access, and
 - o shall be available as hard copies in a printed form when requested; and
- 6 • A member shall ensure that personal health information of patients that is stored on a mobile device is encrypted.
- Each entry in an electronic record shall be:
 - o accurate and sufficiently comprehensive to reflect the care provided; and
 - o individualized and personalized, capturing the unique aspects of that particular patient encounter.

If the electronic format cannot do this, the member must use an alternative system. Members are discouraged from using systems that create "template-like" records. These may not be an adequate reflection of an individual patient's story.

- When requested to do so and within 30 days, members must provide printed copies of electronic records.

5. Confidentiality of and Access to Records

- (1) A member shall not allow any person to examine a record of personal health information or give any information, copy or thing from a record of personal health information to any person except as required by law - see sections 38-50 of the *Personal Health Information Protection Act, 2004 (PHIPA)* or as required or allowed by this section.
- (2) A member shall take reasonable steps to ensure that records are protected from theft, loss and unauthorized use or disclosure, including photocopying, modification or disposal.²
- (3) A member with primary responsibility for a record of personal health information shall provide, on request, copies of or access to a record of personal health information to any of the following persons, or any person authorized by the following persons:
 - the patient;
 - a personal representative authorized by the patient to obtain copies from or access to the record;
 - if the patient is deceased, the patient's legal representative;
 - if the patient is determined to be incapable of consenting to the collection, use or disclosure of personal health information:
 - o the individual's guardian of the person or guardian of property, if the consent relates to the guardian's authority to make a decision on behalf of the individual,
 - o the individual's attorney for personal care or attorney for property, if the consent relates to the attorney's authority to make a decision on behalf of the individual,
 - o the individual's representative appointed by the Consent and Capacity Board under section 27 of *PHIPA*, if the representative has authority to give the consent,
 - o the individual's spouse or partner,
 - o a child or parent of the individual, or a children's aid society or other person who is lawfully entitled to give or refuse consent in the place of the parent. This paragraph does not include a parent who has only a right of access to the individual. If a children's aid society or other person is lawfully entitled to consent in the place of the parent, this paragraph does not include the parent,
 - o a parent of the individual with only a right of access to the individual,

- o a brother or sister of the individual, and
- o any other relative of the individual.³

The above list is in rank order. See section 26 of *PHIPA* for further details.

- (4) A member is not required to provide copies from or access to a patient health record if the member is of the opinion that disclosure of the record of personal health information would likely result in serious harm to the care of the patient or serious physical or emotional harm to the patient or another person.
- (5) Where a member has primary responsibility for a record of personal health information, the member shall, at the request of the patient, cause a correction to be made to the record or attach a statement of disagreement reflecting the correction requested but not made.
- (6) A member shall give notice of every correction made and statement of disagreement attached to a record of personal health information to every person and organization to whom the record was disclosed during the 12 months preceding the day the correction was requested.
- (7) A member shall, upon receiving written authorization from the patient or a duly authorized person as described in section 5(3), provide a copy of the record of personal health information as soon as possible in the circumstances, but no later than 30 days after receiving the request, subject to exceptional circumstances (see subsections 54(3) and 54(4) of *PHIPA*). A member shall maintain the original record of personal health information, as outlined in the section 6 of this standard of practice and also in Standard of Practice S-022: Ownership, Storage, Security and Destruction of Patient Health Records, even if he/she is no longer providing chiropractic care to that patient.

In cases where a section of the record cannot be reasonably copied (e.g., diagnostic images, plain film radiographs), the member shall obtain a written authorization from the patient, or designate listed in section 5(3) which shall become part of the record of personal health information. This form should include the following:

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- an agreement between the patient or designate listed in section 5(3) and the member to release a section of the original record with recognition that no copies have been retained by the member;
- an agreement by the patient or designate listed in section 5(3) to return the section of the patient record to the member; and
- an acknowledgement of receipt by the patient or designate listed in section 6(3).

- (8) A member may charge a reasonable fee prior to providing copies of a record of personal health information, including diagnostic images and accompanying reports, to reflect the cost, time and effort required to provide copies of the record of personal health information. If a member has refused a patient access to his/her record of personal health information, the patient has the right to challenge the member's decision in Court under subsection of 54(8) of the *Personal Health Information Protection Act, 2004 (PHIPA)*.
- (9) A member may provide copies of or access to a record of personal health information to his/her legal counsel or insurer where the record is relevant to advice being sought by the member or required by the policy of insurance or insurer.
- (10) A member may, for the purpose of providing health care or assisting in the provision of health care to a patient, allow a health professional to examine the record of personal health information or give a health professional any information, copy or thing from the record.
- (11) A member may provide information or copies of or access to a record of personal health information to a person if:
- the information or copies are to be used for health administration or planning, health research, or epidemiological studies;
 - the use of the information or copies is in the public interest as determined by the Minister of Health and Long-Term Care; and
 - anything that could identify the patient is removed from the information or copies.

6. Records Retention and Destruction

Every record of personal health information, which includes the patient health record (including diagnostic images and accompanying reports) and the financial record shall be retained in its entirety for at least seven years⁴ following the patient's last visit, or, if the patient was less than 18 years old at the time of his/her last visit, at least seven years following the day the patient became or would have become 18 years old. Destruction of the record of personal health information shall be done in a secure fashion to ensure that the records cannot be reproduced or identified in any form.

7. Member Resignation

As part of the resignation process, the member shall take reasonable steps to ensure with regard to each record of personal health information for which the member has primary responsibility:

- the record is transferred to another member and reasonable efforts are made to obtain the patient's consent;
- the patient is notified that the member intends to resign and the patient can obtain copies of the record of personal health information; and
- if the record transferred is not the original record of personal health information, the original record is stored in a secure location for seven years following the patient's last visit, or, if the patient was less than 18 years old at the time of his/her last visit, at least seven years following the day the patient became or would have become 18 years old.

LEGISLATIVE CONTEXT

Regulation pursuant to the Chiropractic Act, 1991. Further, it is an act of professional misconduct under Ontario Regulation 852/93 (Professional Misconduct) to contravene or fail to comply with a standard of practice.

Scope of Practice

The practice of chiropractic is the assessment of conditions related to the spine, nervous system and joints and the diagnosis, prevention and treatment, primarily by adjustment, of,

- (a) dysfunctions or disorders arising from the structures or functions of the spine and the effects of those dysfunctions or disorders on the nervous system; and
- (b) dysfunctions or disorders arising from the structures or functions of the joint.

The following are acts of professional misconduct for the purposes of clause 51(1)(c) of the *Health Professions Procedural Code*:

10. Giving information about a patient to a person other than the patient, his or her authorized representative, or the member's legal counsel or insurer, except with the consent of the patient or his or her authorized representative or as required or allowed by law.
11. Breaching an agreement with a patient relating to professional services for the patient or fees for such services.
19. Failing to keep records as required by the regulations.
20. Falsifying a record relating to the member's practice.
21. Failing, without reasonable cause, to provide a report or certificate relating to an examination or treatment performed by the member within a reasonable time after a patient has requested such a report or certificate.
22. Signing or issuing, in the member's professional capacity, a document that the member knows contains a false or misleading statement.

Personal Health Information Protection Act, 2004

Sections 51-54 of the *Personal Health Information Protection Act, 2004*, outline a patient's right of access to his/her records and a health information custodian's obligation to provide information requested. Please consult these sections for further detail, specifically, section 54, which states:

- (1) A health information custodian that receives a request from an individual for access to a record of personal health information shall,
 - (a) make the record available to the individual for examination and, at the request of the individual, provide a copy of the record to the individual and if reasonably practical, an explanation of any term, code or abbreviation used in the record;
 - (b) give a written notice to the individual stating that, after a reasonable search, the custodian has concluded that the record does not exist, cannot be found, or is not a record to which this Part applies, if that is the case;

- (c) if the custodian is entitled to refuse the request, in whole or in part, under any provision of this Part other than clause 52 (1) (c), (d) or (e), give a written notice to the individual stating that the custodian is refusing the request, in whole or in part, providing a reason for the refusal and stating that the individual is entitled to make a complaint about the refusal to the Commissioner under Part VI; or
- (d) subject to subsection (1.1), if the custodian is entitled to refuse the request, in whole or in part, under clause 52 (1) (c), (d) or (e), give a written notice to the individual stating that the individual is entitled to make a complaint about the refusal to the Commissioner under Part VI, and that the custodian is refusing,
 - (i) the request, in whole or in part, while citing which of clauses 52 (1) (c), (d) and (e) apply,
 - (ii) the request, in whole or in part, under one or more of clauses 52 (1) (c), (d) and (e), while not citing which of those provisions apply, or
 - (iii) to confirm or deny the existence of any record subject to clauses 52 (1) (c), (d) and (e).

Providing reasons

- (1.1) A custodian acting under clause (1) (d) shall not act under subclause (1) (d) (i) where doing so would reasonably be expected in the circumstances known to the person making the decision on behalf of the custodian to reveal to the individual, directly or indirectly, information to which the individual does not have a right of access.

Time for response

- (2) Subject to subsection (3), the health information custodian shall give the response required by clause (1) (a), (b), (c) or (d) as soon as possible in the circumstances but no later than 30 days after receiving the request.

Extension of time for response

- (3) Within 30 days after receiving the request for access, the health information custodian may extend the time limit set out in subsection (2) for a further period of time of not more than 30 days if,
 - (a) meeting the time limit would unreasonably interfere with the operations of the custodian because the information consists of numerous pieces of information or locating the information would necessitate a lengthy search; or
 - (b) the time required to undertake the consultations necessary to reply to the request within 30 days after receiving it would make it not reasonably practical to reply within that time.

Notice of extension

- (4) Upon extending the time limit under subsection (3), the health information custodian shall give the individual written notice of the extension setting out the length of the extension and the reason for the extension.

Expedited access

- (5) Despite subsection (2), the health information custodian shall give the response required by clause (1) (a), (b), (c) or (d) within the time period that the individual specifies if,
- (a) the individual provides the custodian with evidence satisfactory to the custodian, acting on a reasonable basis, that the individual requires access to the requested record of personal health information on an urgent basis within that time period; and
 - (b) the custodian is reasonably able to give the required response within that time period.

Frivolous or vexatious requests

- (6) A health information custodian that believes on reasonable grounds that a request for access to a record of personal health information is frivolous or vexatious or is made in bad faith may refuse to grant the individual access to the requested record.

Effect of non-compliance

- (7) If the health information custodian does not respond to the request within the time limit or before the extension, if any, expires, the custodian shall be deemed to have refused the individual's request for access.

Right to complain

- (8) If the health information custodian refuses or is deemed to have refused the request, in whole or in part,
- (a) the individual is entitled to make a complaint about the refusal to the Commissioner under Part VI; and
 - (b) in the complaint, the burden of proof in respect of the refusal lies on the health information custodian.

Identity of individual

- (9) A health information custodian shall not make a record of personal health information or a part of it available to an individual under this Part or provide a copy of it to an individual under clause (1) (a) without first taking reasonable steps to be satisfied as to the individual's identity.

Fee for Access

- (10) A health information custodian that makes a record of personal health information or a part of it available to an individual under this Part or provides a copy of it to an individual under clause 1(a) may charge the individual a fee for that purpose if the custodian first gives the individual an estimate of the fee.

Amount of Fee

(11) The amount of the fee shall not exceed the prescribed amount or the amount of reasonable cost recovery, if no amount is prescribed.

Waiver of Fee

(12) A health information custodian mentioned in subsection (10) may waive the payment of all or any part of the fee that an individual is required to pay under that subsection if, in the custodian's opinion, it is fair and equitable to do so.

¹ Diagnostic and therapeutic procedures must comply with Standard of Practice S-001

² See Standard of Practice S-022.

³ Section 26(1) of the *Personal Health Information Protection Act, 2004 (PHIPA)*.

⁴ Even though records must be kept for a minimum of seven years, there is no limitation on a patient complaint or civil litigation.