

## Standard of Practice: Records Keeping

### Standard of Practice

Naturopathic doctors must create, maintain and keep all records in an ethical, accurate, secure and comprehensive manner.

### Introduction

The intent of this standard is to advise naturopathic doctors with respect to the expectations for record keeping in their practice. This standard applies to written and electronic records and includes appointment records, billing records, patient medical records, dispensary records and clinical equipment records.

### Definitions

**Appointment:** an arrangement to meet a patient for naturopathic service at a particular time and place; this includes meeting on the phone.

**Appointment record:** an account or evidence of scheduled and serviced appointments.

**Billing record:** an account or evidence of payments for services rendered to patients and products sold to patients and the public.

**Dispensary:** a place where products are combined, prepared and/or sold.

**Dispensary record:** an account or evidence of products sold to patients and the public.

**Disposition:** for the purposes of this standard, disposition refers to the disposal of, or the ending of use of equipment.

**Equipment record:** an account or evidence of the purchases, maintenance and disposition of clinical equipment.

**Patient medical record:** an account or evidence of documented patient findings, assessments, diagnoses and treatments.

**Product:** any device and substance that does not qualify as a drug.

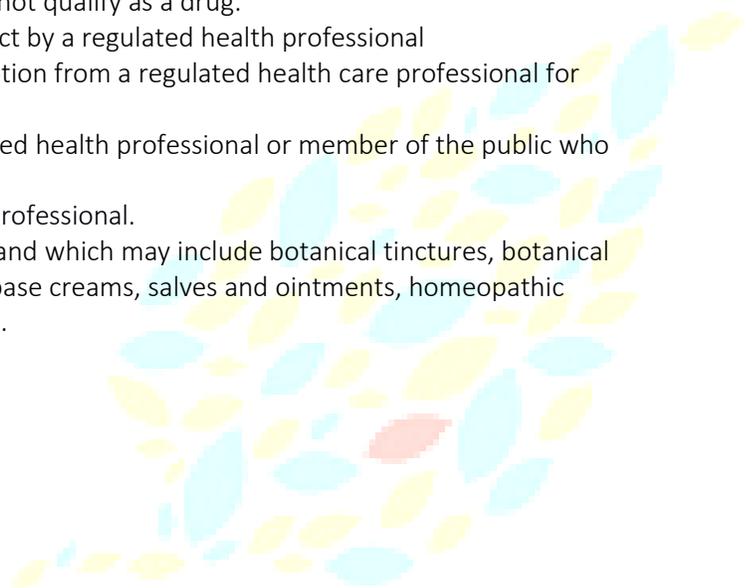
**Prescription:** the recommendation of a product by a regulated health professional

**Public:** individuals who do not have a prescription from a regulated health care professional for the product they wish to purchase.

**Purchaser:** patient, patient of another regulated health professional or member of the public who makes purchases from a dispensary.

**Service:** any work performed by a person or professional.

**Substance:** anything that is publicly available and which may include botanical tinctures, botanical powders or loose herbs, fluid/solid extracts, base creams, salves and ointments, homeopathic remedies, vitamins, minerals and amino acids.



## A. Appointment Records

**Naturopathic doctors must maintain appointment records that are accurate, legible and comprehensive.**

**Naturopathic doctors demonstrate this standard by:**

1. maintaining an appointment record that clearly and legibly identifies:
  - a) naturopathic doctor's name, clinic name, address and telephone number,
  - b) date and time of each appointment,
  - c) name of patient, including at least their first and last name, and
  - d) type and of appointment;
2. ensuring all appointment records are kept securely;
3. ensuring appointment records are made available at patient's request; and
4. keeping appointment records for at least seven (7) years.

## B. Billing Records

**Naturopathic doctors must maintain billing records that are accurate, legible and comprehensive**

**Naturopathic doctors demonstrate this standard by:**

1. ensuring that billing records clearly and legibly record:
  - a) name of treating naturopathic doctor, clinic name, address, telephone number,
  - b) patient's name, address and telephone number,
  - c) date of service rendered,
  - d) services billed,
  - e) products dispensed,
  - f) payment amount and method of payment, and
  - g) balance of account;
2. issuing receipts for all payments;
3. ensuring that receipts provided to patients are clearly itemized by:
  - a) name and registration number of treating naturopathic doctor, clinic name, address, telephone number,
  - b) patient's name, address and telephone number,
  - c) date(s) of service(s) rendered,
  - d) rendered service(s) billed,
    - i) separating fees for naturopathic service(s) from all other fees, and
    - ii) individually listing fees for products, injectable substances, laboratory services, etc., when applicable,
  - e) products sold, and
  - f) payment amount and method(s) of payment;
4. maintaining copies of receipts for all payments;
5. ensuring all billing records are kept securely;

6. ensuring billing records are made available at patient's request; and
7. keeping billing records for at least seven (7) years.

### C. Dispensary Records

**Naturopathic doctors must maintain dispensary records that are accurate, legible and comprehensive.**

#### **Naturopathic doctors demonstrate this standard by:**

1. ensuring that dispensary records legibly and accurately document:
  - a) purchaser's name,
  - b) purchaser's phone number,
  - c) product(s) purchased,
  - d) date of purchase, and
  - e) name of prescribing health care professional, when applicable;
2. documenting and maintaining an inventory of products purchased or received, including date of receipt;
3. maintaining a log containing a record of distribution of each product sold to enable the naturopathic doctor to issue a recall of any sold product;
4. maintaining a record of any product recalls or alerts provided by the manufacturer or Health Canada;
5. ensuring all dispensary records are kept securely; and
6. keeping these records for at least seven (7) years.

### D. Patient Medical Records

**Naturopathic doctors must maintain patient medical records that are accurate, legible and comprehensive and kept in a safe manner.**

#### **Naturopathic doctors demonstrate this standard by:**

1. documenting all entries related to patient care either in a paper or electronic patient medical record;
2. ensuring that all patient medical records contain:
  - a) entries written in English,
  - b) chart entries that are recorded as soon as possible after the patient interaction,
  - c) a legend of abbreviations or codes when other than generally accepted medical abbreviations are used,
  - d) subjective information provided by the patient or their authorized representative,
  - e) relevant objective findings,
  - f) results of any examinations,
  - g) an assessment of the information and any diagnosis,
  - h) proposed treatment plan, including prescriptions and diet and lifestyle recommendations,
  - i) relevant communications with or about the patient,

- j) relevant information obtained from re-assessment, and
- k) indication of the author and date of each entry;
3. documenting the following information related to the delivery of treatment:
  - a) name and strength of all products administered,
  - b) dosage and frequency,
  - c) date of administration,
  - d) method of administration, and
  - e) how treatment was tolerated;
4. ensuring that no changes are made to previous entries in a patient medical record;
5. ensuring any addendums to a patient medical record is initialed and dated;
6. ensuring that when patient medical records are created and maintained on **paper**, the following criteria are met:
  - a) all written entries are made in indelible ink,
  - b) the patient's name or patient number is recorded on each page,
  - c) all written entries are clearly legible,
  - d) there are no blank spaces on the page or blank pages between entries,
  - e) all pages are in chronological order and dated,
  - f) a consistent format is used for recording the date,
7. ensuring that, when patient medical records are created and maintained **electronically**, the following criteria are met:
  - a) the system provides a visual display of the recorded information,
  - b) the system provides a means of accessing the record of each patient by the patient's name,
  - c) the system maintains an audit trail that:
    - i) records the date and time of each entry for each patient,
    - ii) preserves the original content of the record if changed or updated,
    - iii) identifies the person making each entry or amendment, and
    - iv) is capable of printing each patient record separately;
  - d) the system provides reasonable protection against unauthorized or inappropriate access;
  - e) the system is backed up at least each practice day and allows for the recovery of backed-up files or otherwise provides reasonable protection against loss of, damage to and inaccessibility of records; and
  - f) files are encrypted if they are transferred or transported off-site;
7. ensuring all patient records are never left unattended in an unsecured location;
8. storing all patient medical records in such a manner that a specific file can be easily identified and retrieved;
9. maintaining a separate patient medical record for each patient;
10. ensuring all patients are made aware that other health care professionals may have access to their patient medical records and patients may choose to decline that access;
11. appropriately transferring patient medical records to another naturopathic doctor in Alberta in the event of sale of practice, transfer of practice, retirement from practice or similar circumstance in accordance with **CNDA Standard of Practice: Termination and Transfer of Care**;

12. notifying patients in writing as to how they can obtain access to their patient charts when their charts are to be transferred;
13. ensuring all patient medical records are kept securely;
14. ensuring patient medical records are made available at patient's request; and
15. ensuring patient medical records are maintained and accessible for a minimum of:
  - a) ten (10) years from the date of last record entry for an adult patient; and
  - b) ten (10) years after the date of last record entry for a minor patient, or two years after the patient reaches or would have reached the age of eighteen (18), whichever is longer.

## E. Clinic Equipment Records

**Naturopathic doctors must create and maintain appropriate records of the purchase, maintenance, and disposition of clinical equipment requiring servicing.**

### Naturopathic doctors demonstrate this standard by:

1. documenting and maintaining an inventory of equipment purchased or received, including date of receipt;
2. documenting the date and nature of service or maintenance on equipment;
3. documenting the date of disposition of equipment;
4. ensuring all clinical equipment records are kept securely; and
5. maintaining these records for a minimum of five (5) years after disposition of the equipment.

### Expected Outcomes

Patients are satisfied that:

- all records pertaining to their care with naturopathic doctors are created ethically, accurately and comprehensively, and
- all records pertaining to their care with naturopathic doctors are maintained and kept securely.

### Related Documents

*Health Professions Act*

*Naturopaths Profession Regulation*

CNDA Code of Ethics

CNDA Standard of Practice: General

CNDA Standard of Practice: Transfer and Termination of Care

