

The information in this Practice Support checklist is intended to provide general guidance to assist registrants in identifying issues and options that should be considered, and implementing strategies to address issues, resolve problems and improve practice, with respect to a particular aspect of psychology practice. No checklist can anticipate all variables that might be relevant to a specific professional decision or circumstance, but the checklist can provide general guidance to registrants dealing with the identified practice issue. Registrants are also invited to contact the Practice Support Service with any questions.

Readers are advised that documents provided by the Practice Support Service are not legal advice, and do not supplant any applicable legislation, the College's Code of Conduct, its Indigenous Cultural Safety and Humility and Anti-racism Standard, or any other official College communications or professional standards. While an effort has been made to be comprehensive, the information in this checklist is not exhaustive, and the College makes no warranty or representation as to its currency, completeness or accuracy. The College accepts no responsibility for any errors or omissions, and expressly disclaims any such responsibility.

This checklist does not establish standards, limits or conditions for registrants' practice for the purposes of the Health Professions Act, and it is not intended to impose mandatory requirements to the extent that such requirements are not established under the Code of Conduct or the Indigenous Cultural Safety and Humility and Anti-racism Standard. In the case of any inconsistency between this checklist and any Code standard or the Indigenous Cultural Safety and Humility and Anti-racism Standard, the Code standard or Indigenous Cultural Safety and Humility and Anti-racism Standard governs. The final decision on the course of action to be taken in any practice situation is made by the registrant, and checklists are not intended as a substitute for the professional judgment and responsibility of the registrant. Exclusive reliance on checklists is imprudent, as every practice decision depends on its own particular circumstances.

This document may not be copied in part. Registrants wishing to copy it in its entirety must keep this disclaimer attached and must identify it as a College of Psychologists of B.C. Practice Support document. For ease of reference, select Code standards are indicated in brackets following checklist items. Registrants are obligated to consider any other Code standards and legislation that may be relevant to a specific practice situation. All references to the Code of Conduct and other legislation is current to the date indicated at the beginning of each checklist.

Record Keeping Checklist

The following checklist is intended to assist registrants in ensuring their record keeping practices are consistent with Code of Conduct requirements. Relevant Code Standards are included in brackets behind the checklist categories.

- My practice record for each client contains: **(4.2, 4.3, 4.4, 4.5, 4.6, 4.7, 4.8, 4.11, 6.2, 7.19, 12.2, 13.6, 13.10, 13.11, 13.12)**
 - the name of and contact information for the client, and other identifying information as appropriate;
 - the presenting problem or purpose of the consultation;
 - the date and substance of each professional service, including relevant information on original informed consent and emergent informed consent issues such as when changing a service originally agreed to, interventions, progress, and termination;
 - notes related to any interviews conducted as part of an assessment service;
 - notes related to any observation sessions conducted as part of an assessment service;
 - any test results or other evaluative results obtained, and any basic test data from which results were derived;
 - a copy of all reports prepared as part of the professional relationship;
 - notations and any results of formal consultations with other service providers;
 - copies of emails, texts, and any other communications with the client or related to the client's file;
 - a copy of all documents relied upon in the course of providing the service or, if the registrant is prevented by legal or contractual circumstances from keeping copies of documents and the records are held by an institution, the identification and location of all of documents relied upon;
 - a clear description of any agreements entered into by the client, including the service to be provided, anticipated uses of information obtained, limits of confidentiality, their acceptance of risks and benefits of a proposed course of action, their acceptance of a supervised service, their acceptance of an innovative service, etc.;
 - any releases or consents signed by the client;
 - any informed assents obtained for the service;
 - the fee arrangement; and
 - a clear record of all fees billed and received, including:
 - the identification of the service provider and the service recipient;
 - the date, nature, and unit fee of the service provided;
 - the total charged and the payment received;
 - the date and source of payment; and
 - any other information needed by the client to obtain insurance reimbursement.
- If I am providing services to two or more clients who are related to each other, I will: **(4.2, 5.9, 6.3, 18.1)**
 - carefully determine whether the unit (e.g., the couple or the family) is my client and all of my records are appropriately contained within a single file, or the nature of the service and/or legal considerations require me to consider creating and maintaining separate files for each of the parties; and
 - ensure my informed consent process includes clear information regarding my record keeping in the case and how I will handle any future requests for release of information.

- My record keeping practices will reflect a consideration of: **(13.1, 13.2, 13.3, 13.4, 14.1, 14.2, 14.3, 14.4, 14.5, 14.6)**
 - o the length of time for which I need to maintain my records, including:
 - o seven years past the date of last service for adult clients;
 - o seven years past the date a child reaches the age of majority for minor clients;
 - o whether legal requirements specify that I must keep records for a longer period of time than capture by the previous two bullets; and
 - o whether in my professional view the circumstances are such that I should appropriately keep the records for longer than specified in the previous bullets.
 - o the location of my records, including that:
 - o my records are under either my sole control, the control of another appointed registrant, or in a professional storage facility obligated to provide confidential and secure storage;
 - o my records are secured and access to them is strictly limited;
 - o electronic records are password protected and reasonably secure from loss, tapering, interference, and unauthorized use or access;
 - o confidentiality of my records is maintained at all times, including while they are being created, stored, disposed of, accessed, transferred, or copied;
 - o contingency planning, including:
 - o I have named a professional executor who will take control of my practice records in the event of my unexpected incapacity or death;
 - o I have provided my professional executor with all of the information needed to take control of my records, whether electronic or hardcopy; and
 - o I have ensured that my personal executor/family/whoever is relevant is aware of the requirement that my professional executor take control of my records in the event of my incapacity or death.

- If my records are part of a common filing system, such as in a multidisciplinary setting, including when I am working as part of a professional team, I will: **(6.14, 7.18, 14.8, 18.1)**
 - o exercise care when placing information in a common file in order to ensure my opinions, reports, findings, and/or recommendations are not misunderstood by members of other disciplines;
 - o work with my employer to develop written policies and procedures that ensure maintenance, storage, and access to my practice records complies with privacy legislation and the *Code of Conduct*;
 - o in the event of a conflict between institutional/organizational requirements and my obligations under the *Code of Conduct*, clarify the nature of the conflict, make known the conflicting obligation and my commitment to complying with the Code, and to the extent feasible seek to resolve the conflict in a manner that permits full adherence to the Code;
 - o educate others in the setting as appropriate regarding my obligations under the *Code of Conduct* and privacy legislation, and require a confidentiality agreement for others who may come into contact with my practice records;
 - o establish written policies and procedures for handling, copying, and destroying psychology practice records to protect their confidentiality;
 - o ensure a written succession plan is established to cover practice records in the event of my departure from the setting;
 - o include information regarding record keeping and relevant confidentiality issues in the setting as part of obtaining informed consent with prospective clients; and
 - o assume responsibility for the appropriate management of any psychology tests purchased under my name and qualifications, including by ensuring written policies and procedures exist for storage and handling in accordance with contractual obligations, privacy legislation, and the *Code of Conduct*, and ensure the policies take into account future changes in psychology staffing, and educate others in the setting regarding requirements for maintenance and storage of test materials and test results.