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Aged Care Quality and Safety Commission

GOVERNING FOR reform IN AGED CARE

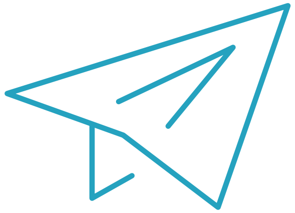
Information Management

Flip Guides have been designed as supplementary supports for the learning modules. The Guides include key messages and insights for your continued reflection.

Need to Know: Information Management

In the aged care sector, information has a myriad of important uses. It can provide key insights to determine strategic decision making, inform risk management approaches, and best practice delivery of safe and high quality care, and ensure providers are meeting their obligations and accountabilities.

It is the role of governing bodies and executives to be acutely aware of, how, why and what information is collected, stored and utilised.



Effective information management can ensure providers:

- Meet their compliance obligations in relation to the management of information
- Make the most informed decisions about individual consumers
- Ensure oversight by the governing body and executive is effective and efficient
- Use the information gathered to inform the design and continuous improvement of the provider's care and services
- Track progress against strategy and strategic objectives
- Manage strategic and operational risks and controls.

Poor information management can result in:

- Decision-making that compromises consumer safety and quality of care due to out-of-date, inaccurate or incomplete data inputs
- Loss or theft of sensitive consumer or provider information
- Breach of confidentiality requirements, privacy rights and other regulations.

To achieve best practice, information management providers must ensure they have effective systems and structures in place in all aspects of information management to ensure that information used is accurate and reliable, complete, consistent and accessible in a timely manner.

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Information Management Obligations & Accountabilities

→ *Read about the obligations listed below on the following pages to learn more about each.*

The collection and management of information in an aged care setting is linked to several legislative and other regulatory requirements.

A list of relevant acts can be found below, it is advised that governing bodies and executives take the time to review their obligations and accountabilities thoroughly.

01 Aged Care Act 1997

02 Records Principles 2014

03 Charter of Aged Care Rights

04 Aged Care Quality Standards

05 Privacy Act 1988

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Information Management Obligations & Accountabilities

01

Aged Care Act 1997:

- Provider requirements for record retention enabling transparent and effective delivery of care and services
- When and how a provider is able to use the personal information of consumers
- That records must be kept in line with the Records Principles 2014 and User Rights Principles 2014
- Definitions of protected information and the penalties resulting from misuse of information.

02

Records Principles 2014:

Providers must record certain information, including records about:

- Care recipients
- Allegations or suspicions of reportable assaults
- The Charter of Aged Care Rights being provided to care recipients
- Service staff influenza vaccinations
- Staff members and volunteers
- Service staff.

03

Charter of Aged Care Rights:

Providers must help consumers understand the Charter and give them a signed copy of the document to acknowledge their agreement to operate in line with its principles.

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Information Management Obligations & Accountabilities

04

Aged Care Quality Standards:

Having complete and accurate records is crucial to demonstrating the organisation is compliant with all of the Aged Care Quality Standards and ensuring a consumer receives safe and high quality personal and clinical care.

For example:

- Standard 2 requires a care and services plan to be documented to reflect the outcomes of assessment and planning for each consumer. Accurate and up-to-date care and services plans are important for delivering safe and effective care and services, as well as positive outcomes for consumers.
- Standard 3 requires complete and accurate records of the care and services delivered. Having no or poor records means there may be very little or inaccurate evidence to demonstrate the provider has given consumers the care they needed and were entitled to expect.

05

Privacy Act 1988:

Broadly speaking, there are 13 Australian Privacy Principles within the Act, which all providers must meet.

To learn more about these principles please take the time to review the Privacy Act 1988.

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The Role of the Governing Body in Information Management

As a provider's information management practices can affect an entire organisation, it is essential that governing body members understand their role in supporting best practice information management.

After reviewing the Information Management online module, please take a moment to reflect on questions about:

- Information managment systems and processes
- Fostering the right culture
- Auditing of information managment and record keeping systems
- Training and guidance
- Maintain oversight and reporting responsibilities

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The Role of the Governing Body in Information Management

Information management systems and processes:

- What initial steps can our governing body take to ensure our providers information management systems and processes are sufficient to support decision making, compliance and consumer care?

Training and guidance:

- What could our governing body do to ensure that the training staff receives on information management is aligned to our strategic priorities and compliance?

Fostering the right culture:

- How can we as a governing body shape a culture that prioritises record keeping and information management compliance?

Maintain oversight and reporting responsibilities:

- What steps could our governing body or management take to improve our current oversight of incidents and risks, supporting ongoing reporting requirements?

Auditing of information management and record keeping systems:

- What steps can we take to ensure our governing body regularly audits our information management processes and what can we implement to ensure this information is presented effectively at a governing body level to support our strategic decision making?

Best Practice Information Management

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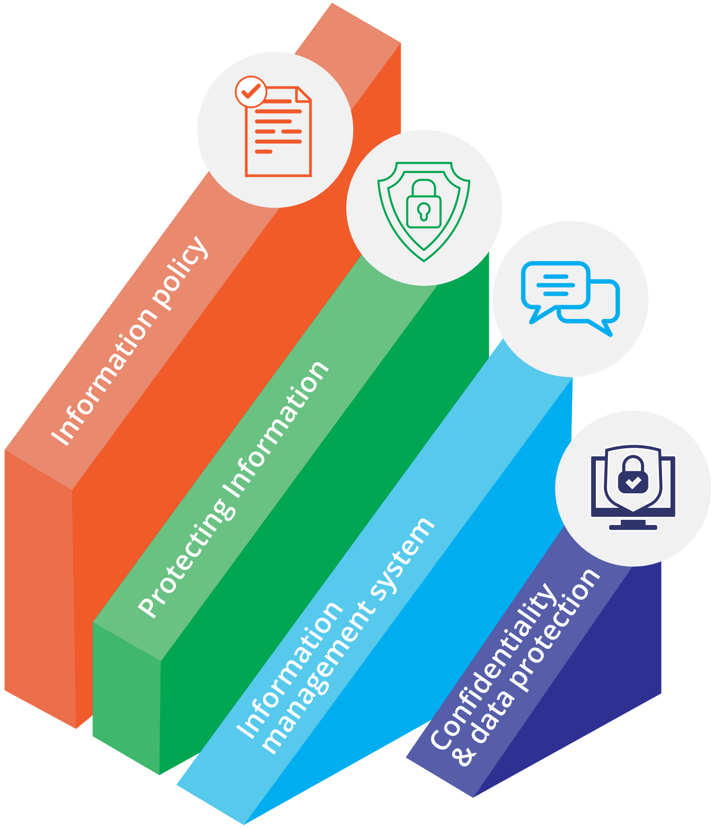
Whilst the different nature and size of a provider may affect how information is managed, the core components of best practice information management are the same. Governing bodies and executives need to be aware of these components and regularly assess their organisation's capability to deliver each component.


Information policy
Protecting information
Information management system
Confidentiality & data protection

→ *Read more about each of the core components on the following pages.*

Best Practice Information Management (continued)

Information policy:

- Regularly assesses information management policy effectiveness and alignment to organisational requirements.
- Information management policy clearly articulates:
  - Roles and responsibilities for record keeping and information management
  - Procedures for record keeping, including which items are to be recorded and when/how
  - Procedures for disposal and/or destruction of records (such as security bins, disposal schedules, etc.)
  - Compliance requirements for relevant legislation and standards
  - Expected actions where an information or data breach occurs, including any external reporting obligations
  - Consequences of policy non-compliance
  - How consumers can access information about themselves held by the provider
  - Details on protection of client information.

Best Practice Information Management (continued)

Protecting information:

- Governing bodies and executives, management and workforce are aware of the following tenets of information protection as well as their individual roles and responsibilities
  - Confidentiality: Information is managed in an information management system and is only able to be accessed by authorised persons for approved purposes
  - Integrity: There is assurance that information has been created, amended or deleted in line with authorised means and is correct and valid (as outlined in the information policy)
  - Availability: Authorised persons can access information reliably and when required. This includes consumers being aware of how they can access their own information.

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Best Practice Information Management (continued)

Information management system:

- It is essential that providers have a compliant information management system that enforces restrictions on the access, retention and disposal of records as per the provider's information management policy.
  - Access: To remain compliant with legislation, a provider's Information Management System (IMS) should restrict access to personal or sensitive information to an 'as needs' basis. In addition, consumer-facing information should be provided in ways that effectively communicate information,
    in particular, to those who may have cognitive, sensory, literary or language barriers.
  - Retention: The IMS should:
    - Support the archiving of critical information
    - Have clear labelling and naming conventions in place to improve accessibility
    - Periodically be backed-up to support file retention compliance
    - Support requirements as outlined in a provider's information management policy.

  Disposal: Information should be stored and disposed of in alignment with any legislative compliance obligations.

Best Practice Information Management (continued)

Confidentiality and data protection:

- Governing bodies and executive should be assured that:
  - Access to sensitive or personal information is restricted to the appropriate staff and consumers
  - Use of multi-factor identification for data access is in place
  - There is a disaster recovery plan in place for any loss or destruction of records, which has been tested
  - Software approaching end of life has a replacement found
  - Anti-virus and firewall software is in place
  - There are strong password requirements with regular password changes
  - Information is backed up every 4 months
  - Regular penetration testing is occurring to identify any data breach vulnerabilities.

Additional Resources

- Aged Care Act 1997
- Aged Care Quality Standards
- Record Keeping Fundamentals for aged care providers
- Records Principles 2014
- User Rights Principles 2014
- Charter of Aged Care Rights
- Charter of Aged Care Rights – Video
- Privacy Act 1988
- Australian Privacy Principles quick reference
- Notifiable data breaches