

**Saskatchewan Association of Naturopathic Practitioners
Policies and Procedures**

Record Keeping – *Adopted April 5, 2009*

PURPOSE

This policy clarifies requirements for financial, medical, computer data storage, hard copies, and other records by all Registrants.

APPLICABILITY

This policy applies to all Registrants of the Saskatchewan Association of Naturopathic Practitioners (SANP)

PROCEDURES

1. An appointment book, electronic or written, must be kept and retained for a period of at least seven (7) years, which clearly and legibly identifies the date, patient name and type of service scheduled.
2. Separate patient financial records shall be kept for naturopathic services provided, either as a written record or as a computerized file. Financial records must contain the date of service, payment received from all sources, and balance of accounts to date. The patient's name, address, and telephone numbers shall be permanently inscribed on this record.
3. Each patient shall be given an itemized receipt for each visit where naturopathic services were provided. Such a receipt shall include all services related to naturopathic treatments, as well as the practitioner's name and registration number.
4. Separate health records shall be kept for naturopathic services, either as a written record or as a computerized file. Health records will include:
 - a. the patient's name, address, telephone number, date of birth, and sex
 - b. all office consultations, telephone consultations, examinations, treatment and progress notes, including the date, and the name of the patient on each page;
 - c. chief complaints and secondary complaints, relevant medical history, diagnostic tests, and relevant physical exam findings;
 - d. assessment;
 - e. referrals to outside doctors and/or health care providers, and
 - f. treatment plan.
5. It is recommended by the SANP that a signed Consent to Diagnose and Treat form be kept in the file.
6. All records noted herein for both active and inactive patients, shall be retained for seven (7) years. For computerized records, it is necessary to keep copies on separate diskettes or back-up tapes in a safe place for seven (7) years.
7. A patient will be deemed to be an "inactive" patient when:
 - a. her/his treatment is completed; or

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- b. the registrant or patient has indicated that the patient will no longer be an active patient.
8. Patients, or their legal representatives, are entitled to copies of the patient files, however, **the Registrant must always maintain the original files** unless requested by the SANP during the investigation of a complaint.
9. In the event of the death of the registrant, the responsibility for the maintenance of the records rests with the estate, which is obliged to maintain those records as above. In the event the estate sells the practice to another registrant, those original records are transferred to that registrant, and must be maintained as above. It is the responsibility of each registrant to ensure that there is an orderly preservation of the patient files arranged in the event of her/his death. It is also the responsibility of the registrant to ensure that in the event of her/his death, their legal representative will notify the SANP immediately.
10. If the registrant moves out of town, province, or country, and closes her/his practice and does not sell it to anyone else, s/he must maintain the original of all patient files for the seven (7) year minimum.
11. If the registrant sells her/his practice, all of the original records are transferred to the registrant who is purchasing the practice who will maintain those records as set out above. All patients, and the SANP, must be notified that the practice is being sold so that any patient who requires copies of her/his record can obtain them. The SANP must be notified of the sale and in whose care and control the original records will be maintained and preserved.
12. If the registrant retires, or closes her/his practice and does not sell it to anyone else, s/he must maintain the original of all patient files for the seven (7) year minimum. The SANP must be notified of such retirement or cessation of practice, and be provided with a forwarding address for a minimum of seven (7) years.
13. In the event of a share practice/partnership/associateship practice, by the terms of the written agreement which must be made between the registrants, the patient files are either the responsibility of the registrant or the primary registrant of the practice. All patients must be made aware that other practitioners may have access to their patient file. The patient can then decide if s/he wishes to have another practitioner have access to her/his file.
14. In all cases, **a forwarding address of where the records are available must be provided to the SANP** for a minimum of seven (7) years from the date of the last day of practice of the registrant.
15. Files must be destroyed by shredding or other manner to render them illegible.
16. It is a recommendation of the SANP that, prior to destroying the files after the seven (7) year period, the patient be contacted to determine if they would like to have the file.

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17. Patient files for minors must be retained by the Registrant for 7 years following the client's 18th birthday, regardless of the date of the last visit.
- For example, if a child last saw you when she was 5 years old, you are responsible for keeping that file for 7 years past the child's 18th birthday, or for a total of 20 years beyond the date of the last visit.
 - Files for all adult clients must be retained for 7 years following the date of their last visit.