



## RECORDS AND DOCUMENTATION

### COMMUNITY CARE FACILITIES LICENSING PROGRAM

The *Community Care and Assisted Living Act (CCALA)*, the *Child Care Licensing Regulation (CCLR)*, the *Residential Care Regulation (RCR)* and the *Director of Licensing Standards of Practice (DOLSOP)* set the minimum requirements for documenting specific information regarding employees, persons in care and your facility. (Note: Volunteers who do not provide care or supervision to persons in care are counted as employees and records similar to those kept for other employees are required to be kept. Refer to Section 19 of the CCLR and Section 27 of the RCR for more information.) Good record keeping and documentation practices provide evidence that you are complying with the legislation and assist you in meeting the individual needs of persons in your care by:

- Helping you to be prepared and organized in the event of an emergency.
- Demonstrating good hiring practices and ongoing evaluation of staff members.
- Providing necessary and accurate information to all individuals involved in the care of vulnerable individuals.
- Assisting in the management of the facility.
- Tracking and addressing potential health and safety risks.
- Documenting discussion, observations and decisions in the event that a conflict or dispute arises.
- Assisting with liability and risk management issues.

#### Requirements for Residential Care Facilities:

##### Employee Records

As per Section 37 of the RCR, all employees must have criminal records checks<sup>1</sup>, immunization status, character references, record of work history, evidence of regular performance reviews and evidence of the individuals training and skills. The Licensee must also ensure that the persons in care have immediate access at all times to an employee who holds a valid first-aid and CPR certificate that meets the requirements of Schedule C of the RCR. Proof of a valid first-aid certificate should be part of the employee file.

##### Policies and Procedures

As per Section 85 of the RCR, some examples of required policies include an emergency plan to prepare for/mitigate/respond to and recover from any emergency, an assessment of the nature of risks that may result in a person in care falling (Long Term Care), a plan for preventing persons in care from falling (Long Term Care), a plan for responding to falls (Long Term Care), orientation of new managers and employees, continuing education of employees, access to persons in care, monitoring nutrition and medications, admission screening protocols to ensure the facility is able to meet the resident's individual care needs, a record of the individual's height and weight on admission, a record of persons in care's valuables including records of any disbursements, fees charged by the Licensee with receipts provided, complaint process for persons in care and their representatives, use of emergency restrains, responding to reportable incidents and missing/wandering residents.

##### Care Plans

Each person in care is required to have a care plan that must be reviewed annually and include an leisure and recreation plan, behavior interventions, falls assessment, elopement considerations, restraint information and an oral health plan. Each person in care is also required to have a nutrition plan.

##### Medication

As per Section 85(3) of the RCR, a Licensee must keep a copy of each policy and procedure of the medication safety and advisory committee. This may include information on medication errors, adverse reactions and safety and handling procedures.

##### Day to Day Operations and Maintenance

The Licensee should have processes in place to keep documentation on incident reporting, complaint logs, regular monitoring of physical environment, log of non-reportable incidents and posting of weekly menu as per the regulation requirements.

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## **Requirements for Child Care Facilities:**

### **Employee Records**

As per Section 19 of the CCLR, Licensees must have for their employees criminal record checks<sup>1</sup> including the original consent to conduct the check, immunization status, proof of reference checks, proof of training and qualifications. The Licensee must also ensure that the persons in care have immediate access at all times to an employee who holds a valid first-aid and CPR certificate that meets the requirements of Schedule C of the CCLR. Proof of a valid first-aid certificate should be part of the employee file.

### **Policies and Procedures**

A Licensee must have policies and procedures in place to guide employees including an emergency plan to prepare for, mitigate, respond to and recover from any emergency, repayment/refund agreement, a release of child policy, a behavioral guidance policy, food and drink policies, and care and supervision policies.

### **Attendance Records**

Section 57(2)(c) of the CCLR requires daily attendance that should include the time of arrival and departure for each child in care.

### **Care Plans**

As per Section 58 of the CCLR, a Licensee must keep, for each child requiring extra support, a current care plan including any diagnosis and courses of action recommended by health care professions, and the resources that should be made available to the child requiring extra support.

### **Maintenance Inspections**

The DOLSOP for Safe Play Space requires Licensees to keep a log of daily, monthly and annual inspections of their outdoor play areas including any repairs and maintenance completed.

## **Requirements for all Licensed Facilities:**

Both the CCLR and the RCR require records to be kept for each individual person in care, including:

- Name, sex, date of birth, medical insurance plan number and immunization status.
- Date of admission/enrollment in the facility.
- Name and telephone number of person in care's parent or representative, emergency contact person and health care provider.
- A photograph of the individual.
- A record of medication given.
- Any person who is restricted or prohibited access to the individual or may pose a risk to the health and safety of a person in care.
- Consent in writing to call a medical practitioner or ambulance in case of an accident or illness.
- In the case of a child, written permission to release to someone other than the child's parent.

For all licensed facilities, it is important to note that a Licensee cannot withhold, conceal or destroy relevant documentation or records during an inspection or an investigation. All records must be current and kept up to date. Additionally, a Licensee should be familiar with the requirements in the regulations pertaining to how long records should be kept, including keeping all signed original consent forms authorizing criminal record checks for five years and all employee files for as long as the subject of the records is an employee of the licensed facility. Records pertaining to a person in care must be kept for at least two years from the date the person is discharged from the facility. For facilities licensed under the RCR, the Licensee is required to keep a record of any complaints made to them for at least two years. All other records referred to in the pertinent regulation must be kept for at least one year. Refer to Section 60 of the CCLR and Section 92 of the RCR for specific information regarding how long records must be kept.

Licensing Officers are authorized and required under the *Act* and associated regulations to review all records kept at or related to the operation of licensed facilities, and may make copies of those records as part of their monitoring of licensed facilities. Records include patient records, staff/employee records, financial records, etc., i.e. any records related to facility operation that are set out in the legislation. Monitoring by Licensing staff will occur during both inspections and investigations.

<sup>1</sup>Criminal record checks should be completed as set out in the *Criminal Records Review Act*.

Note: Some content of this Infosheet was provided by Northern Health Authority.