

CHAPTER 4

CLIENT RECORDS

REFERENCE CODE	GUIDELINES	CRITERIA	INFORMATION SOURCES
4.1 Records Administration	4.1 The Agency will have and implement written policies and procedures which address the organization, content, compilation, storage, dissemination, accessibility, and disposal of client records.	4.1 (a) Agency will have written policies and procedures which address the organization, content, compilation, storage, dissemination, and accessibility of client records.	<ul style="list-style-type: none"> ● Review of Agency P&P ● Tour of facility ● Review of other documentation
4.2 Confidentiality of Client Records	4.2 The Agency will have written policies and procedures that protect the confidentiality of client records and govern the disclosure of information in the records.	4.2 (a) The conditions under which client information may be disclosed and the procedures for releasing such information are specified in the Agency's Policy and Procedures.	<ul style="list-style-type: none"> ● Review of Agency P&P ● Review of client records ● Refer to the RWGA Policy and Procedure for Confidentiality
		<p>4.2 (b) The Agency will ensure that when clients or their representatives consent to the release of information, written consent is given on a form which includes the following information:</p> <ul style="list-style-type: none"> ● name of the person or entity permitted to make disclosure ● name of the client ● specific information to be disclosed; ● purpose of the disclosure; ● date the consent was signed ● signature of the client/or parent, guardian or person authorized to sign in lieu of the client. ● the expiration date of client authorization (or expiration event) no longer than two years ● description of the Release of Information, its components, and ways the client can nullify it 	<ul style="list-style-type: none"> ● Review of Agency P&P ● Review of client records ● Refer to the RWGA Policy and Procedure for Confidentiality

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4.2 Confidentiality of Client Records	4.2 The Agency will have written policies and procedures that protect the confidentiality of client records and govern the disclosure of information in the records.	4.2 (c) When client information is disclosed, the client record contains the following: <ul style="list-style-type: none"> • the consent to release information • the actual date the information was released • the signature of the staff member who released the information 	<ul style="list-style-type: none"> • Review of Agency P&P • Review of client records • Interviews with staff • Review of other documentation • Refer to the RWGA Policy and Procedure for Confidentiality
		4.2 (d) Under emergency conditions, such as a life-threatening situation or when a client's condition precludes the possibility of obtaining written consent, the Agency will provide pertinent information to the medical personnel responsible for the client's care. The staff member responsible for the release of this information will enter all pertinent information about the transaction into the client record.	<ul style="list-style-type: none"> • Review of Agency P&P • Review of client records • Interviews with staff • Review of other documentation • Refer to the RWGA Policy and Procedure for Confidentiality
4.3 Client Identifying Information	4.3 The Agency will ensure that client identifying information is documented on a standardized form in the client record.	4.3 The following identifying information will be documented on a standardized form in the client record. <ul style="list-style-type: none"> • client name • home address • home telephone number • date of birth • social security number (Required for Medicare/Medicaid or Third party reimbursable services) • gender • race or ethnic origin 	<ul style="list-style-type: none"> • Review of Agency P&P • Review of client records • Refer to the RWGA Policy & Procedure for RW Part A & Medicaid/Medicare /Third Party Eligibility Verification
4.4 Documentation of Unusual Incidents	4.4 The Agency will ensure that unusual incidents are documented in the client record.	4.4 Client record contains documentation of unusual incidents. Unusual incidents may include, but not be limited to, the following: <ul style="list-style-type: none"> • accidents or injuries to clients • treatment complications • death • procedures that place the client at risk or cause unusual pain 	<ul style="list-style-type: none"> • Review of Agency P&P • Review of client records • Interviews with staff • Review of other documentation

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4.5 Client Record Entries	<p>4.5 The Agency will ensure that the client record contains the following:</p> <ul style="list-style-type: none"> • Legible and accurate documentation of all services provided to client • Correspondence regarding treatment and/or services received by the client • Signed and dated notations of telephone calls concerning the treatment and/or services provided to the client • All entries must be legibly signed and dated • Symbols and abbreviations which are approved by the professional staff of the Agency (when used, the Agency must have an explanatory legend) • An assessment of need for services (when applicable) • A plan for continuing care (when applicable) • A discharge summary (when applicable) 	4.5 (a) The client record contains accurate documentation of all services provided to client.	<ul style="list-style-type: none"> • Refer to the RWGA Policy and Procedure for Documentation • Review of client records
		4.5 (b) The client record contains signed and dated notations of telephone calls concerning the treatment and/or services provided to the client.	<ul style="list-style-type: none"> • Review of client records
		4.5 (c) All entries made in the client record are legibly signed and dated and include time expended with or on behalf of the client, when applicable.	<ul style="list-style-type: none"> • Refer to RWGA Policy and Procedure for Documentation • Review of client records
		4.5 (d) The client record contains symbols and abbreviations which are approved by the professional staff of the Agency (when used, the Agency must have an explanatory legend).	<ul style="list-style-type: none"> • Review of client records
		4.5 (e) The client record contains a current assessment of need for services (when applicable).	<ul style="list-style-type: none"> • Review of client records
		4.5 (f) The client record contains a current plan for continuing care (when applicable).	<ul style="list-style-type: none"> • Review of client records
		4.5 (g) Within 3 working days following closure, a summary is entered into the client record. The summary includes the following: <ul style="list-style-type: none"> • Date of and reason for discharge/closure • Summary of all services received by the client and the client's response to services • Referrals made and/or instructions given to the individual at discharge (when applicable) 	<ul style="list-style-type: none"> • Review of client records
4.6 Client Sign-In	4.6 Agencies providing office-based clinical services (e.g. primary medical care, oral health care, mental health therapy, substance abuse treatment, case management services and skilled rehabilitation services) will require each client to sign-in or check-in when accessing clinical services at the agency location.	<p>4.6 (a) Agencies providing office-based clinical services will develop a policy and procedure requiring a sign-in or check-in process for clients accessing clinical services.</p> <p>(b) Agencies will obtain the signature of each client accessing services, or otherwise document client's presence at the agency location by requiring the client to "check-in" prior to accessing services.</p>	<ul style="list-style-type: none"> • Review of Agency P & P • Review of agency's sign-in/check-in documentation