

CATHOLIC CHARITIES
AGENCY POLICIES AND PROCEDURES

Policy Name:	Case Records
Domain:	Program Administration 5.1
Policy Location:	www.archindy.org/intranet/shared/cci/index.html
Effective Date:	1989
Dates of Revision:	01/01; 04/03; 04/09; 8/12; 11/15; 2/19; 10/20; 12/23; 2/24
References:	Security of Information; Confidentiality and Privacy Protection

POLICY: Catholic Charities case records contain sufficient, accurate information to identify the client, support decisions about interventions or services and document the delivery of services. Catholic Charities maintains a case record for each person or family in all applicable programs.

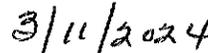
PROCEDURES:

1. Case records comply with all legal requirements and must contain information necessary to provide services including:
 - a. demographic and contact information.
 - b. the reason for requesting or being referred for services.
 - c. up to date assessments.
 - d. the service plan, including mutually developed goals and objectives.
 - e. copies of all signed consent forms.
 - f. a description of services provided directly by Catholic Charities or by referral.
 - g. routine documentation of ongoing services.
 - h. documentation of routine supervisory review.
 - i. discharge or aftercare plan entered upon termination of service.
 - j. recommendations for ongoing or future service needs and assignment of after care or follow-up responsibility if needed.
 - k. a closing summary entered within 30 days of termination of service.
2. The Case record contains essential legal and medical information, including as applicable:
 - a. order for and results of psychological, medical, toxicological, diagnostic, or other evaluations.
 - b. documentation of all prescribed and over-the-counter medications including copies of all written orders for medications, when applicable.
 - c. special treatment procedures, allergies, or adverse treatment responses.
 - d. court reports, documents of guardianship or legal custody, birth or marriage certificates, and any legal directives related to the service being provided.
3. Case record entries are made by authorized personnel only and are:
 - a. specific, factual, relevant, and legible.
 - b. kept up to date from intake through case closing.
 - c. completed, signed, and dated by the person who provided the service.
 - d. signed and dated by supervisor when appropriate.

4. Progress notes comply with legal requirements and are entered at least quarterly or monthly for individuals receiving protective services, out of home care, day treatment, or frequent or intensive counseling/treatment.
5. At case closing, case records are reviewed by authorized personnel and summarized notes, personal observations, and impressions expunged.
6. Case records concerning specific services that Catholic Charities rendered to adult clients shall be retained for no less than seven years from the last date of service or greater if the retention time is required by a designated funder or sanctioning body.
7. Case records concerning specific services that Catholic Charities rendered to a minor client shall be retained until the minor client reaches 8 years of age, or alternatively no less than seven years from the last date of service, or whichever period is greater. Adoption records are maintained permanently.
8. Case records unless mandated by law would be disposed of in a manner that protects privacy and confidentiality in the event of a program's closure.
9. Case records that are the subject of any pending litigation or other claims will be retained pursuant to the prior expressed written instructions of an authorized representative of Catholic Charities and its legal counsel.



David J. Bethuram
Executive Director



Date