LAPEER COUNTY COMMUNITY MENTAL HEALTH **Date Issued** 06/12/2006
Date Revised 03/20/12; 10/02/13; 09/02/14; 08/25/15; 07/02/19

CHAPTER	**CHAPTER**	**SECTION**	**SUBJECT**
Service Delivery	02	002	40
SECTION	**DESCRIPTION**		
Records	Record System, Management and Storage		
WRITTEN BY	**REVISED BY**	**AUTHORIZED BY**	
Lauren J. Emmons, ACSW Associate Director	Mandi Brace, Executive Secretary	Lauren Emmons, ACSW CEO	

APPLICATION:

☒CMH Staff	☐Board Members	☐Provider Network	☒Employment Services Providers
☐Employment Services Provider Agencies	☒Independent Contractors	☒Students	☒Interns
☒Volunteers			

POLICY:

Standards and procedures are developed to maintain an orderly and secure system of case record development, maintenance, and storage through a centralized system.

STANDARDS:

A. All written records, either active or inactive, will be kept in a secure location, away from public view, accessible by authorized staff only.

B. All electronic records with confidential person served information shall be maintained in a fashion that is accessible by authorized staff only.

C. Procedures shall be developed which detail the organization, storage, and retrieval of records of persons served.

PROCEDURES:

A. See Policy 02.002.45 entitled "Case Record Organization" for the organization and maintenance of individual person served records.

B. Closed person served files (both hard copy and microfiche) and historic open paper records are stored in a secure location. Closed files are designated by a red dot affixed to the upper right corner of the outside of the file folder. A master list of closed, open and microfiche files will be maintained by medical records support staff.

C. At the time of screening by the regional access department, a case number is automatically generated through the electronic health record. A person served record which has been closed and re-opened maintains the same case number as it was previously assigned.

D. The support staff assigned to medical records duties will be responsible for the organization of files according to the Case Record Organization Policy. It is the primary case holder's responsibility to ensure all documents are appropriately filed or scanned and documents are up-to-date.

E. The secure storage location will be locked at all times when unattended. Keys to medical records in the secure storage location are kept by designated support staff and the Office Manager. In this manner, records can be accessed in case of emergency during regular business hours and after hours.

F. See related policies regarding the procedures for the use of electronic communications.

Removal / Transport of Records:

G. Records may only be removed from LCCMH or a related facility for the following purposes:

1. To comply with a subpoena / court order (see Policy and Procedure relating to Subpoenas for additional information);
2. For relocation to another facility.
3. To aid in continuity of services for the person served;
4. To complete review functions according to the Department of Health and Human Services or accrediting / licensing agencies' guidelines;

5. At the request / direction of the Chief Executive Officer or his designee.

H. Person served records will be logged in/out of a facility prior to being removed / replaced from the facility, using the following steps:

1. Record name of person served, record number, current date, person removing record and anticipated length of absence on record "out" card.
2. Copy "out" card, place original card in appropriate location in file where the chart would normally be located;
3. Give copy of the card to Chief Executive Officer or his designee;
4. Upon return of the file, retrieve "out" card and copy, replacing chart in appropriate location in file.

I. Only the following authorized staff will be allowed to remove records from a facility:

1. The Chief Executive Officer or his designee.
2. The primary staff assigned to the case of the person served.

J. Safeguards / Security of Records while in Transport will be maintained by the following:

1. Copies of records will be used in all circumstances possible, avoiding needless transport of original person served records.
2. Records and/or copies will be accompanied at all times by the person removing the record from the facility, until such time as the record is returned or relocated.
3. All persons served information will be returned or relocated, whenever possible, by the end of the same business day in which it was removed.
4. All records and/or copies will be placed in some type of protective covering, such as an envelope or box, which has been labeled as to the contents prior to being taken from the facility.

5. In no instance will records be left unaccompanied, such as in a car (even when locked).

6. Copies of records of the person served will be destroyed, either by incineration or shredding, as soon as the intended use has been satisfied.

7. In no instance will records be taken home or left in automobiles, etc.

DEFINITIONS:

Person Served Records: Both written records contained in the file of the person served, as well as all electronic records containing confidential information of the person served.

REFERENCES:

Case Record Organization Policy 02.002.45.

Policies relating to electronic communications, data management and information systems.

AB:mgr

- -
This policy supersedes
#06/06023 dated 06/12/2006.
- -