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| **Policy Name:**  | **Client Records – Missing or Lost Charts**  | **Date Revised:**  | **2/2020** |
| **Purpose:** | **Protocol Responding to Missing or Lost Charts**  | **Board Approval:** |  |

**Policy:**

Greater New Beginnings staff shall make all diligent efforts to locate any missing/lost clinical record and, when necessary, document and reconstruct a replacement clinical chart.

**Procedure:**

In the event a client chart is unable to be located, the Greater New Beginnings (GNB) staff member must immediately notify the Head of Service and the Executive Director/Administrator. Once the Head of Service is aware that the chart is no longer held by GNB, such as in the case of a clinical chart that is stolen or vandalized, the Head of Service shall immediately notify Quality Assurance Compliance Manager, Operations Manager, and Executive Director/Administrator.

The Head of Service will then complete an Incident Report, including documentation of notification to the police and any other relevant parties. Additionally, a phone notification will be made to the associated county’s Quality Assurance Department within 24 hours of the loss and to the associated county’s Program Manager within 7 days of the loss. These phone notifications will be documented within the Incident Report.

If the Head of Service believes that the chart has only been misplaced but is still in the custody of Greater New Beginnings, and if the chart is not located as part of routine processes within 7 days, the Head of Service or designee shall conduct a thorough search using logs or computer data to help locate the clinical chart. Additionally, the Head of Service will notify all clinical program staff at the location regarding the lost chart and seek their assistance in attempting to locate the record.

If the chart is not located within an additional 7 days, the Head of Service shall report the clinical record as lost by notifying GNB’s Quality Assurance Compliance Officer to determine, based on the particular circumstances around the loss of the clinical chart, the possible need for notification to the client that his/her chart is missing.

The Head of Service will then consult with the Executive Director/Administrator to determine if there is a need for any HR disciplinary actions to be taken as a result of the clinical chart being missing, and if so, follow up with those actions.

In any case in which the chart is not recovered or found, GNB will create a replacement clinical chart. This will be accomplished by recreating or reprinting all forms required for treatment and billing, to include (as applicable) items such as consent forms, treatment plans, informing materials, financial forms, assessments/reassessments, mental health notes. A notation will be made in the front of the chart and in a progress note that the chart was reconstructed due to “Lost” status and the date on which the record was reconstructed. All time spent reprinting or recreating documents will not be billed to any funding source.

In addition, the Head of Service or designee will oversee the writing of a summary of treatment/ condition to date. The summary shall include information from whatever sources the Head of Service deems relevant, including information from the psychiatrist and the care coordinator or therapist.

In the event that the chart is eventually found, the Head of Service or designee will combine the reconstructed record into the original clinical record and write a non-billable progress note reflecting this action.