Standard Operating Procedure

Subject: Case Note Standards	Effective Date: October 2015
Responsibility: Corporate QA	Revision Date: March 2019
To: Program Managers	SOP No.: QA-003

Purpose:

To define company policy regarding case note entry for all program participants, to include the frequency of case note entry and KRA minimum standards. Case notes can also be referred to as case narratives or case records. This SOP applies to all programs contractually required to enter case notes, and those where the Program Manager or senior management has deemed case note entry as necessary for effective case management.

Procedure:

The primary function of case notes is to document a participant's experience throughout the time they are in the program. Case notes should demonstrate a chronological history of the customer's program participation.

<u>Frequency</u>
Case notes should be made regularly in order to maintain a proper record of a participant's activities.

The following are general guidelines to assist staff in identifying how often case notes should be entered:

1. All major programmatic milestones should be accompanied by a case note. These include, but are not limited to:
    a. Program Enrollment
    b. The start of an activity such as training, OJT, Work Experience, etc.
    c. Attainment of program benchmarks
    d. Interviews
    e. Certifications
    f. Partner referrals
    g. Barrier mitigation
    h. Monetary transactions such as incentives or supportive services
    i. Program exit

2. If you communicate with the customer regarding the program, a case note describing the communication should be entered. The communication can be via email, telephone, in person, etc. Some examples include:
   a. Missing an appointment
   b. Meeting with the customer regarding their progress in the program
   c. Reviewing and addressing barriers to successful program completion

3. When in doubt, document the circumstance in a case note.

Each program may have different requirements, which are set by the client. However, KRA requires a maximum of 30 days between case note entries.

Case Note Standards

All case notes should be clear, relevant, and useful. Case notes should not be redundant or repetitive, overly subjective, or impersonal. You are telling the story of the customer and each story is unique. Case notes should be individualized to define the customer, the situation or needs, the services or outcomes, or any other pertinent information.

Case notes should include the following elements

1. Background statement
2. Reason for the case note
3. Observation statement
4. Content statement
5. Results statement
6. Impression statement
7. Plan statement

The most important thing to remember is that if you do not document it, it did NOT happen.

Confidential/Protected Information

From time to time, you may discuss confidential, private, or even information legally protected under the Health Insurance Portability and Accountability Act (HIPAA). This type of information includes, but is not limited to:

1. Medical information (HIPAA)
2. Domestic issues of a sensitive nature
3. Criminal records or pending litigation
4. Information the customer requests to be kept confidential, as allowable by law or program requirements

KRA requires that legally protected information receive additional protective measures, and not be entered into a case note in the administrative (State and/or local) information management system. If it is necessary to document the information for programmatic reasons, do so on a paper case note form.

It is KRA's policy to keep all confidential, private, and legally protected information in a separate file that is locked and maintained by the Program Manager or his/her designee.

Refer any questions regarding this SOP to the Corporate Quality Assurance Manager.

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