

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT:	PAGE <u> 1 </u> OF <u> 4 </u>
Management of Recovery Services Records	NUMBER: 70-RCV-02
RULE/CODE REFERENCE: 42 CFR Part 2	SUPERSEDES: 70-RCV-02 dated 09/22/14
RELATED ACA STANDARDS: 4-4377	EFFECTIVE DATE: May 11, 2016
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to identify offender alcohol and drug records and their content, storage, and destruction as well as to establish standardized procedures to assure that the appropriate recovery services records accompany offenders involved in intra and inter-departmental transfers.

III. APPLICABILITY

This policy applies to all employees and contractors involved in the development, management, storage and transfer of recovery services records in institutions where recovery services programs exist.

IV. DEFINITIONS

Closed Ended Program - Programs that have a definite start and ending date.

Continuous Admission Program - Programs that allows participant entry at any time.

Recovery Services Clinical File - The offender specific DRC file which contains all Recovery Services Screening Assessments, Diagnoses, Consent to Treatment, Notification of Program Rules and Client Performance Expectations, Notification of Client Rights, Notification of Grievance Procedure, Summary of Confidentiality Law 42 Code of Federal Regulations (CFR) Part 2, Treatment Plans, Progress Notes, Disclosure of Client Information Form, Discharge/Termination Summaries, Certificates, Research Forms and all other documentation pertaining to the inmate participating in recovery services treatment.

Recovery Services Reception File - The inmate specific DRC file initiated at reception that contains all reception recovery services screenings.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to have procedures to maintain, store, and destroy the recovery services records of inmates who have participated in Recovery Services programming.

VI. PROCEDURES

A. Recovery Services Inmate Records

1. Recovery Services inmate records shall be maintained in a secure room in a locked filing cabinet as required by 42 CFR Part 2, Confidentiality of Alcohol and Drug Abuse Patient Records, and other applicable federal privacy laws as long as the inmate remains incarcerated. In case of electronic health records, there shall be adequate firewall protection to assure a similar level of security and confidentiality. If the inmate is released or transferred to another institution, the established individual institution's record transfer plan shall be followed.
2. Recovery services inmate records shall contain the date of admission into any programming component.
3. Recovery services inmate records shall contain an individualized Recovery Services Treatment Plan (DRC5233) that shall be written for each client prior to the first day of a closed ended treatment program. Treatment plans are to be completed for each client within seventy-two (72) hours after entering a continuous admission program. Treatment plans are to be updated every ninety days or at the mid-point of any treatment program of five (5) months or less and at the conclusion of the program. Treatment plans must be formulated, reviewed, agreed upon, and signed by the client within the context of an individual counseling session.
4. Recovery Service inmate records shall contain a Bio-Psycho-Social Assessment (DRC5217) that shall be completed for each client prior to the first day of entering a closed ended treatment program. The Bio-Psycho-Social Assessment shall be completed for each client within seventy-two (72) hours after entering a continuous admission program.
5. Recovery service inmate records shall contain DRC Recovery Services Progress Notes (DRC5208) for each service contact. Progress notes are to be completed within three (3) working days after service contact.
6. The Recovery Services Client Satisfaction Survey form (DRC4435) shall be distributed to every program participant upon discharge or at the end of each treatment program module. The form may be completed anonymously and shall be maintained separate from the client treatment file within the auspices of the Continuous Quality Improvement (CQI) program. Client satisfaction surveys are to be reviewed after each cohort. An annual evaluation of the accumulated client satisfaction survey results will be used to improve service delivery.
7. Recovery Services Discharge Summary and Prognosis Forms (DRC5209) are to be completed within fourteen (14) working days after the termination of services. Those institutions that provide a Recovery Services/AOD Intensive Prison Program (IPP) are to complete the Recovery Services Discharge Summary and Prognosis Forms on the last day of IPP programming.

8. Recovery Services Reception File

Inmates entering a reception center operated by DRC shall have a Recovery Services Reception File or electronic equivalent created.

- a. This file shall be generated by recovery services reception staff and contain at minimum the Recovery Services Screening and results and the Recovery Services Authorization to Disclose/Release Recovery Services information to Offender Risk Assessment System form (DRC2293).
- b. The Recovery Services Reception Files located at reception centers shall reside in the Recovery Services Department or electronic equivalent until notification of the transfer of the inmate to his or her parent institution.

9. Recovery Services Clinical File

In addition to the Recovery Services reception file, inmates entering into Recovery Services treatment shall have a Recovery Services Clinical File established.

- a. This file shall be generated by Recovery Services staff.
- b. The Recovery Services Reception File shall be included in the Recovery Services Clinical File under the screening section or electronic equivalent.
- c. The Recovery Services Clinical File shall reside in the Recovery Services Department or electronic equivalent until notification of the inmate release or transfer to another institution.
- d. The Recovery Services Program shall follow DRC policy 07-ORD-11, Confidentiality of Medical, Mental Health and Recovery Services Information, 42 CFR Part 2, and other applicable federal privacy laws for confidentiality of recovery services inmate records.

B. Recovery services inmate clinical records shall include, but are not limited to, the following:

1. Bio-Psycho-Social Assessment (DRC5217 or electronic equivalent)
2. DRC Recovery Services Consent to Treatment (DRC5212 or electronic equivalent)
3. DRC Recovery Services Notification of Rules and Client Expectations (DRC5215 or electronic equivalent)
4. DRC Recovery Services Client Rights Policy (DRC5210)
5. DRC Recovery Services Grievance Procedures Acknowledgement (DRC5213 or electronic equivalent)
6. Summary of Federal Confidentiality Laws and Regulations (DRC5211)
7. Recovery Services Treatment Plan (DRC5233 or electronic equivalent)
8. DRC Recovery Services Progress Notes (DRC5208 or electronic equivalent)
9. Authorization to Disclose/Release Recovery Services Information to Offender Risk Assessment System (DRC2293 or electronic equivalent)

10. DRC Recovery Services Disclosure/Release of Client Information (DRC5214 or electronic equivalent)
 11. DRC Recovery Services Discharge Summary and Prognosis (DRC5209 or electronic equivalent)
 12. Certificate of Completion (DRC4111)
 13. Summary of Participation (DRC4161)
 14. Recovery Services Screening Application (DRC4254 or electronic equivalent)
 15. Referral to Recovery Services (DRC5502)
- C. If the inmate is transferred, the Recovery Services Reception File and/or the Recovery Services Clinical File shall remain intact and accompany the inmate to the institution.

Related Department Forms:

Recovery Services information to Offender Risk Assessment System	DRC2293/DMHAS7178
Certificate of Completion	DRC4111/DMHAS7195
Summary of Participation	DRC4161/DMHAS7179
Recovery Services Screening Application	DRC4254/DMHAS7181
Client Satisfaction Survey	DRC4435/DMHAS7183
Initial Medical, Mental Health and Substance Use Screening	DRC5170
Recovery Services Progress Notes	DRC5208/DMHAS7184
Recovery Services Discharge Summary and Prognosis	DRC5209/DMHAS7185
Recovery Services Client Rights Policy	DRC5210/DMHAS7186
Summary of Federal Confidentiality Laws and Regulations	DRC5211/DMHAS7187
Recovery Services Consent to Treatment	DRC5212/DMHAS7188
Recovery Services Grievance Procedures Acknowledgement	DRC5213/DMHAS7189
Recovery Services Disclosure/Release of Client Information	DRC5214/DMHAS7190
Recovery Services Notification of Rules and Client Expectations	DRC5215/DMHAS7191
Bio-Psycho-Social Assessment	DRC5217/DMHAS7192
Recovery Services Treatment Plan	DRC5233/DMHAS7197
Referral to Recovery Services	DRC5502/DMHAS7196