

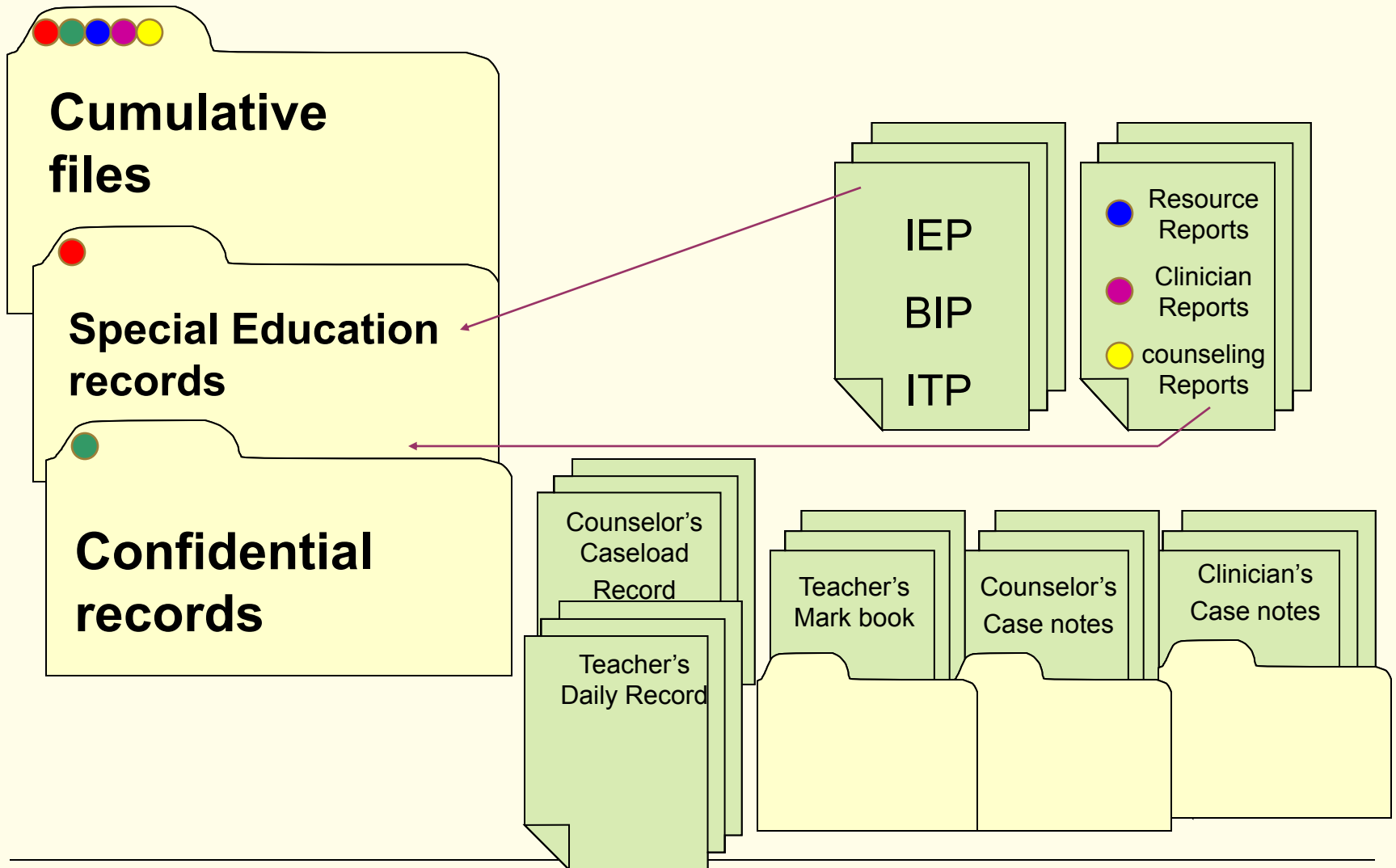
Record Keeping and Personal Notes

CNS 744a



WAKE FOREST
UNIVERSITY

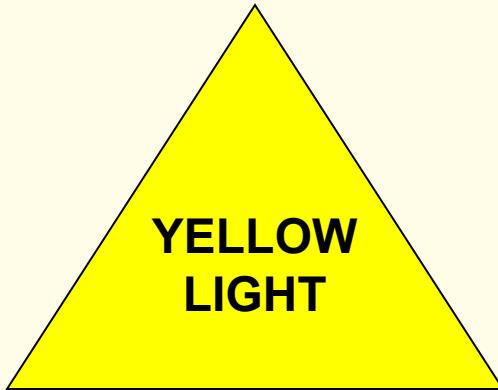
- What do I record?
 - How much do I record?
 - Where do I record?
 - How long do I keep information?
 - What information can I share?
 - To whom can I share information?
 - How do I decide what is confidential and what is shareable?
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**GREEN
LIGHT**

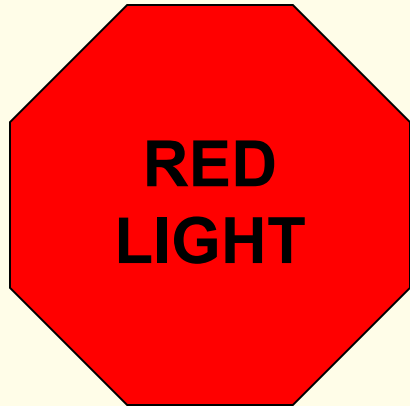
Personal Information can be shared under the following circumstances:

- With written consent
 - To avert or minimize imminent danger to the health or safety of any person
 - To report a child who might need protection under the Child Protective Services
 - By order of the court
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In the following circumstances obtain more information and / or get advice from a supervisor, consultant, or lawyer:

- Consent is not provided or refused but there may be a health or safety issue for any individual or groups
 - To report criminal activity to police
 - Where there is a demand or request to produce information for a legal proceeding
 - When a professional code of ethics may limit disclosure
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Information can never be shared if there is:

- A legislative requirement barring disclosure
 - No consent and no need to know nor overriding health / safety concerns
 - Consent but no need to know nor overriding health / safety concerns
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School boards must have a written policy concerning:

- Retention and destruction of files
 - Security provisions
 - Decision making regarding access requests
 - Process and procedures for culling of files
 - Procedures for confidential destruction of information
 - File transfer
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The school is authorized to collect information that relates directly to what schools do.

Schools provide educational programs and services supporting the pupil's educational progress.

Collect only as much information as needed for the purpose for which it is collected.

When collecting directly from the individual, the person must be informed of the purpose for the collection and authority for the collection must be given along with the name of a contact person.

Educational records show:

- Student achievement
 - Attendance
 - Behavior
 - Testing and assessment
 - School activities
 - Other collected information
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Types of educational records include:

- Cumulative records
- Health records
- Special education records
- Confidential records such as psychological evaluations

These records are done for convenience. They are all part of the educational record.

- Personal notes
 - Reports to Child Protective Services for abuse or neglect
 - In some states, reports from just system agencies about arrests for reportable offenses
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Pupil files may be organized and separated into sub-files by component.

Three components:

1. Cumulative file component
 2. Pupil support file component
 3. Youth justice file component
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- Standard or routine information that schools have on all pupils
 - Behavioral misconduct information including suspensions / expulsions
 - Child custody, guardianship agreements or orders
 - Home-school communications
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- Cross- reference listing identifying the location of all information about a pupil that is held by the school division / district
 - Results of tests administered to most students
 - Individualized Education Plan and / or Health Care Plan, and / or Behavioral Intervention Plan and / or Individualized Transition Plan
 - Up to date notations or referrals to contacts with external agencies
 - Admission advisement concerning whether the student has used or is continuing to use social service psychological / psychiatric or counseling resources
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- Most counselors keep both counseling notes and personal notes
 - May use a code rather than the student's name in both types of notes
 - Counseling notes record interactions with students
 - When seen
 - Reason for session
 - Outcome
 - Follow-up
 - May be used only for students seen individually or in small groups
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- Exists for some students
 - Ongoing counseling information (file not required for one-time only counseling events)
 - Indicates referrals and consultations
 - Includes sufficient information to allow monitoring and evaluation of services and timelines by counselor
 - Includes relevant details to support student's needs
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- Considered equivalent to a teacher's daily record
 - Indicates daily activities (e.g., classroom guidance sessions, career cruising, mediation for single event, suspension transitioning)
 - Shows planned events / sessions for upcoming day / week / month
 - Does **not** contain confidential information; may contain names of counselees that ought to be shared only on a 'need to know' basis
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- Write your notes with the expectation that others will read them with a critical eye
 - Don't alter the record after the fact. Strike out the comment and replace it with correction
 - Be as specific and precise as possible
 - Focus on objective, observable behaviors, and statements
 - Avoid jargon or diagnostic labels
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Include:

- Client's name
 - Date
 - Referral information (from, to)
 - Interagency contacts and results
 - Other contacts and results
 - Signature of counselor
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- Presenting problem or concern
- Main points or main issues discussed
- Relevant information on interventions
- Long-term / short-term goals
- Indications of progress
- Plans / 'homework'
- Actions taken
- Appendices (e.g., drawings, letters, tests)

The record should show that reasonable, ethical steps have been taken.



CONFIDENTIAL COUNSELNG REFERRAL

Date: _____

Student Name: _____

STATUS: CRITICAL Urgent as soon as possible

Is the student aware of this referral? yes no

Referral by: self name _____
 peer name _____
 teacher name _____
 administrator name _____
 parent name _____
 other name _____

AREA OF CONCERN:

Academic
 school achievement school leaving attendance
 course change/timetable study skills subject area concern
 test taking preparation scholarships post-secondary requirements

Behavior
 classroom returning from suspension social skills mediation

Career
 making a career/educational choice CHOICES/Bridges/Career Cruising/inventory session
 resume writing portfolio

Personal
 stress friendship social/emotional
 finances/money health conflict resolution
 self-esteem home relations peer pressure
 gang mental health weight
 sexuality housing

Abuse
 harassment bullying
 physical emotional
 sexual verbal
 drug/alcohol/substance self

Other: _____

Additional information: _____

Notes: see reverse side

- Purpose – why has the client come today; what is presenting need
 - Intervention – what was your response to the client's presenting need
 - Effect – what was the outcome of today's session; what are next steps
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Personal notes:

- Memory aids
 - Impressions of student or session
 - Not considered part of the educational record
 - Must remain in sole possession of counselor; if shared, no longer confidential
 - Should be secured such as in a locked file cabinet
 - Caution if keeping on computer – unless can absolutely guarantee that no one can access the program or break through the firewalls
 - Caution in keeping on portable media such as disk or flash drive
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Cases such as abuse reporting, warning a potential victim, a suicidal child and other high risk situations:

- Document in writing what you did and why you did it
 - Consult with your site and university supervisor
 - Explain with whom you consulted and the problem-solving done
 - Know federal, state, and local laws and regulations
 - Know school system guidelines and policies
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All recorded information about a pupil that is either generated or received by school division/district staff is in the custody, or under the control of the school division / district.

The information comprising the pupil support file and the school counseling case files should be secure.

- Family Educational Rights and Privacy Act
 - Federal law applies to all schools that receive federal money
 - Among other guidelines, the law limits who has access to records and specifies the personally identifiable information that can be disclosed without informed consent or what constitutes public or directory information
 - All states and school districts have incorporated FERPA into state laws and local policies
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- Parent, guardian, or pupil
 - Staff access:
 - To the extent that the information is necessary to assist in the educational progress or schooling of the pupil
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Adapted from Linde, L. (2011). Ethical, legal, and professional issues in school counseling. In B. T. Erford (Ed.) *Transforming the school counseling profession* (3rd ed.) pp. 70-89. Upper Saddle River, NJ: Pearson and Martin, L. (n.d.) *Record keeping and note taking for school counselors*
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