Documentation

If it isn't written down, it didn't happen!"

Bernie Strand, MSW, CSAC

Goals for the training:

To understand the role and value of complete and accurate documentation in effective client care

Objectives:

1. To appreciate the importance of comprehensive documentation of services delivered to ATR Ohana clients

2. To standardize the collection and documentation of sufficient information to be able to track the client and collect six (6) month GPRA follow-up

3. To be able to create a professional quality billable Encounter Note

Who cares?

- ATR Ohana Staff
- ADAD administrators
- SAMHSA CSAT (grant compliance)
- Services Accountability Improvement System (SAIS)
- Other WITS Users (update contact info!)
- The client
- The courts (client record = legal document)

Good Documentation Ensures:

Accountability

Reimbursement

Communication

the A.R.C. that keeps your program afloat!

Accountability

- Event tracking
  - Who, what, when, where, why, & how
  - BOTH electronic and hardcopy files
- Responsibility
  - Client, provider, ADAD, SAMHSA
- Compliance
  - Legal, statutory, grant mandates
- Responsive to needs
  - Wellness and recovery are collaborations
- Professionalism
  - Corrections must be single line-through
  - Date and initials of person making the correction
  - Do not erase, delete, or cover up the original information

Accountability

- Ethical practices support:
  - Wellness and recovery efforts of client
  - Effective interventions
  - Client choice
  - Healthy boundaries
    - Client decides how they will use opportunity
      - Inaction is also a decision
    - Provider decides how to use agency resources
      - Looking for the win-win situation
    - ADAD decides how to implement ATR Ohana
      - What is reasonable, affordable, and manageable
    - SAMHSA CSAT decides who to fund
      - Funding follows the data

Reimbursement

- Specify exact fee for exact service
- Verifies services were delivered to client
- Allows all to follow the money trail
- Track outcomes to defend that taxpayer money has been well-spent

Communication

- Engage the client in GPRA efforts
  - Explain the $ for the next client may depend on Hawaii's compliance with GPRA collection
  - Client has a role in helping!
  - Emphasize that data is de-identified
  - Inform client of Incentives for prompt compliance
    - $20 for compliance before six (6) month anniversary
    - $10 for compliance on anniversary or after anniversary as long as it is collected within the window of opportunity (60 days)

- Stay connected with clients to measure outcomes (GPRA)
  - No less than three (3) collateral contacts
  - As much contact information as possible
  - Use legal, personable, tenacious client tracking strategies
  - Deliver earned incentives at the time the six (6) month GPRA follow-up is collected and document in WITS ASAP!

Communication

- Recovery Plan
  - What are the client’s strengths?
  - What service(s) will improve the client’s efforts?
  - Does the client have enough ATR Ohana resources (about $1,000 total for four years) to cover everything the client wants?
  - What are the client’s priorities?
  - What is each party’s (client and staff) responsibility?
  - What does the client choose as “good enough” improvement?

Communication

- Seamless continuum of care
  - Common goal
  - Armed to advocate for clients
  - Minimize duplication of effort
  - Recognize and intervene when client at risk

- Supports client choice
  - Reduce anxiety
  - Knowledge is power
  - Informed decisions
  - Informed consent

Communication

- Defend agency practices
  - Connect client outcome with tactics used
  - Share the good news about what works
- Evidence-Based Practice
  - Best Practice
    - Reliable
    - Valid
  - Emerging Best Practices
    - Promising early results
- Improve efforts
  - 10 years experience? or
  - One year of experience, repeated 10 times?
- Celebrate successes
  - Measures client improvement
  - Justifies funding
  - Changes attitudes

Kinds of Documentation

(The following are only a few examples. QA presentation will discuss kinds of documentation more in-depth.)

- Agency generated (enrollment forms, expectations, sign-in logs, etc.)
- ADAD and ATR Ohana required forms (Notice of Privacy, Authorization Checklist, Certifications, etc.)
- Federal requirements (consents, GPRA, etc.)
- Client documents (worksheets, correspondence, etc.)
- Electronic record (WITS, computer files, etc.)
- Fiscal records (WITS, balance sheets, cancelled checks, etc.)
- Encounter Notes – claim for payment
- Miscellaneous Notes – not a claim for payment

WITS Client Record

- If it is a data field in WITS, ask the client for the information.

- If the client provides the information, enter it in WITS.

WITS Format Consents

- Ask the client to consent to communication between your agency and all important members of their support network that are identified.
- Each consent must be registered in WITS electronically.
- Each consent must be in printed form and be signed by the client.
- Electronic consent is one-direction. From your agency TO the other agency.
- Clients must separately consent in writing for the other agency to share information back to you.
- Multiple agencies listed on a single consent is not valid

Important Parts of the Note:

- Date service delivered
- Time client contact started and ended
- Service (sub-)category
- Where the service occurred (office, beach, etc)
- Staff delivering the service
- Staff documenting the contact
- What happened during the contact, include details unique to the client?
- How is what happened related to recovery goal?

Documentation must comply with HIPAA and 42 CFR, Part 2

- Keep written documentation secured inside the client's file
- Original hand written or typed notes become part of the permanent record in addition to information entered into WITS
- Assure that access to client information, in WITS or in hardcopy files, is restricted to staff with "need to know".

(More about HIPAA and 42 CFR, Part 2 documentation requirements will be provided during QA presentation.)

Communication

How will we know when to close the client's ATR Ohana funded episode of care?

- Close the client's WITS episode when:
  - All services at your agency have been completed.
  - The client does not choose to use your agency's services (by actively refusing or by failing to engage face-to-face with your staff despite tenacious efforts).
  - When the client determines that he/she is sufficiently "well".
  - When the client's ATR Ohana budget has been exhausted.
- What other services might benefit the client?
  - Will the client consent for everyone to work together?
  - Will the client allow consent and referral to other support services that may be helpful?
- Document in WITS the details of the decision to close the client's episode of care.

Effective documentation is the framework for your A.R.C.

Accountability, Reimbursement, and Communication:

- Keeps your agency “on and even keel.”
- Keeps your agency “financially afloat.”
- Manages “the flood” of paperwork generated by client referrals.
- Assures that “all hands are on deck” and everyone know their job.

Case Example