

 WRAPAROUND MILWAUKEE POLICY & PROCEDURE	Date Issued: 6/16/99	Reviewed: 12/23/14 By: PE Last Revision: 12/23/14	Section: CARE COORDINATION	Policy No: 007	Pages: 1 of 4
	<input checked="" type="checkbox"/> Wraparound <input checked="" type="checkbox"/> Wraparound-REACH <input type="checkbox"/> FISS <input checked="" type="checkbox"/> Project O-Yeah	Effective Date: 1/1/15	Subject: CLIENT CHART FORMAT		

I. POLICY

It is the policy of Wraparound Milwaukee that all affiliated Agencies providing care coordination services maintain an organized, comprehensive chart on each client that is enrolled in Wraparound Milwaukee and/or who has been a Wraparound Milwaukee client. This chart, along with individual client information maintained in the Wraparound Milwaukee Synthesis Management Information System, is known for purposes of the HIPAA Privacy Regulations as the Designated Record Set. Charts (active and disenrolled) must be maintained in a locked room or file cabinet. It is preferable that the room/cabinet be fireproof.

NOTE: All information/documents entered/uploaded and/or originating in Synthesis do not need to be printed and kept in a hard copy file.

II. PROCEDURE

A. CURRENTLY ENROLLED CLIENT CHARTS

Each Agency must maintain a chart on each of their assigned clients and are expected to keep their charts up-to-date at all times. The chart must be broken down into the following sections and labeled as follows:

- Section 1 - INTAKE / CONSENTS
- Section 2 - ASSESSMENTS / EVALUATIONS
- Section 3 - FISCAL
- Section 4 - CARE PLANS
- Section 5 - LEGAL
- Section 6 - CORRESPONDENCE
- Section 7 - NOTES

The Agency may include more sections within their chart, but no less than those indicated above. The sequencing of the sections in the chart can be determined by the Agency.

Section 1 - INTAKE / CONSENTS

Maintained in Synthesis:

- Authorization to Release/Exchange Information Form
- Consent/Acknowledgement Form
- Medicaid Enrollment Request Form
- Enrollment Confirmation Letter
- Intake Form (Screener's Intake)
- MUTT Consent for Treatment Form
- Disclosure Tracking Log for Protected Health Information (as applicable)

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Records from past hospitalizations (mental health and/or medical)/treatment/therapy
- Any other medical information related to client/family medical history/concerns, documentation of past/recent physicals or healthchecks that were done, information regarding allergies, etc.
- Agency specific Consent for Service forms or Consent for Treatment Forms.

- Agency specific Service Agreements/Contracts
- Agency specific Client/Family Rights Documents
- Initial Assessment/Intake records of current/past inpatient hospitalization or residential placement
- Discharge Summaries from past residential and/or inpatient hospitalizations (as applicable)

Section 2 - ASSESSMENTS

Maintained in Synthesis:

- Child Behavior Checklist (Required at Intake, 6 months, 1 year, 2 years, etc., & Disenrollment).
- Youth Self Report (Required at Intake, 6 months, 1 year, 2 years, etc., & Disenrollment).
- For O-YEAH only - National Outcome Measures (NOMS) (Required at Intake, 6 months, 1 year, 1½ years, etc., & Disenrollment)
- Child and Adolescent Needs and Strengths (CANS) Evaluations

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Strengths/Needs Assessment(s) that are not Synthesis generated
- Psychological Evaluations
- M-Team/School Reports

Section 3 - FISCAL

Maintained in Synthesis:

- Financial Assessment Referral (FAR) - required at the time of Enrollment if the youth is in an out-of-home placement upon entry into Wraparound Milwaukee. Must be done within the first 10 days of enrollment. The FAR form is completed electronically in Synthesis. If the youth goes into an out-of-home placement during enrollment, a FAR must also be completed if not done upon initial enrollment.
- Service Authorization Requests [SAR's].

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Copies of MCFI Provider Applications and Tax Forms
- Receipts for discretionary and other Wraparound funded items
- Copies of Wraparound Medicaid Card (Forward Card) and/or Other Insurance Coverage
- Fast: Notification of Change Form
- SSI Documentation

Section 4 - CARE PLANS

Maintained in Synthesis:

- Plan of Care (POC)/Future Plan.
- POC/Future Plan Attendance Signature Sheet
- POC Domain Review Checklist
- Out-of-Home Care Authorization Requests
- Day Treatment Prior Authorization Form

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Residential Treatment Care Plans (*not monthly Progress Reports*)
- Individualized Education Plans (IEP's)
- Wraparound Milwaukee Facilitator Reviews

Section 5 - LEGAL

Maintained in Synthesis:

- Court Orders/Docket Sheets
- Court Extension/Revision Reports
- Court Letter – Progress Report
- Juvenile Justice Risk Assessment/Progress Report
- TPR / Adoption Reports/Requests
- Notice of Change of Placement Form
- Wraparound AWOL/Temporary Placement Status Report
- Temporary Physical Custody Orders (*Wraparound only*)
- Wraparound Critical Incident Reports

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Request for ER Foster Home Study
- Network Agency Incident Reports
- Foster Home License/Documentation
- Capias/Apprehension Requests/Warrants
- Permanency Plans (*Bureau submitted Permanency Plans should be filed in hard copy. Permanency Plans for youth on Delinquency Orders are entered in Synthesis*)
- Temporary / Permanent Guardianship Orders
- Legal Custody Orders
- Birth Certificates

Section 6 - CORRESPONDENCE

Maintained in Synthesis:

- Disenrollment Documentation Forms
- O-YEAH Disenrollment Letter
- Family Satisfaction Surveys
- Care Coordinator Change Letters
- Referral Form for Provider of Wraparound Services

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Central Staffing Papers
- Provider Service Logs (i.e., mentor, parent assistant, tutor logs, etc.)
- Copies of any Audits/Reviews

Section 7 - NOTES

Maintained in Synthesis:

- Care Coordinator/Transition Specialist Progress Notes
- Consultant Plan of Care Review Notes

Other forms (if not uploaded into Synthesis) that should be filed under this section:

- Care Coordination Agency Staffing Notes
- *Provider Network Service Provider Progress Notes*

B. DISENROLLED CLIENT CHARTS

All Wraparound Milwaukee/O-YEAH client charts must be retained until the client becomes 19 years of age or until 7 years after treatment has been completed, whichever is longer. These charts must be retained at the Agency until such time that an Agency no longer provides care coordination services for Wraparound

Milwaukee and/or the Agency arranges for the chart to be maintained by Milwaukee County. If a Care Coordination Agency no longer provides Care Coordination services for Wraparound Milwaukee, then the charts must be brought to Wraparound Milwaukee upon the Agency's departure from the Provider Network.

C. PROPER DISPOSAL OF CLIENT RECORDS (PHI-Protected Health Information)

As defined in the HIPAA privacy and security regulations, PHI is protected health information (*including demographic information*) that:

- Is created, received, maintained or transmitted in any form or media.
- Relates to the past, present or future physical or mental health or condition of an individual, the provision of health care to an individual, or the payment for the provision of health care to an individual.
- Identifies the individual, or provides a reasonable basis to believe that it can be used to identify an individual.

Under the HIPAA privacy and security regulations, health care and related records containing PHI must be disposed of in such a manner that they cannot be reconstructed. This includes ensuring that the PHI is secured (*i.e., rendered unusable, unreadable or indecipherable*) prior to disposal of the records.

To secure PHI, providers and their business associates are required to use one of the following destruction methods approved by the DHHS:

- Paper, film, labels or other hard copy media should be shredded or destroyed such that the PHI cannot be read or otherwise reconstructed.
- Electronic media should be cleared, purged or destroyed such that the PHI cannot be retrieved according to National Institute of Standards and Technology Special Publication 800-88 Guidelines for Media Sanitization.

Health care and related records containing personally identifiable data must be disposed of in such a manner that no unauthorized person can access the personal information. For the period of time between a record's disposal and its destruction, providers and their business partners are required to take actions that they reasonably believe will ensure that no unauthorized person will have access to the personally identifiable data contained in the record.

Any covered entity provider or provider's business associate who violates federal HIPAA regulations regarding the confidentiality and proper disposal of health care and related records may be subject to criminal and/or civil penalties.

III. DESIGNATED RECORD SET / ENTIRE CLIENT RECORD

Wraparound Milwaukee defines the Designated Record Set to be those items identified in Sections 1 through 7 of the "Client Chart Format" Policy or the "Entire Client Record" and all individual client information including enrollment, clinical and payment related information that is maintained in the Wraparound computer application known as Synthesis.

Note: *Client Charts (current or disenrolled) must be accessible at any time for Wraparound Milwaukee, Department of Health & Human Services, State of Wisconsin, or Federal auditing/reviews.*

Reviewed & Approved by: Bruce Kamradt
Bruce Kamradt, Director