



CLOSING A CONSUMER'S RECORD PROTOCOL

OVERVIEW:

The protocol establishes the criteria to close a consumer's chart and explains the proper way to close a chart.

STANDARDS OF CARE:

- The Department works to ensure that all consumers actively engage in services that support their treatment plans; therefore, a treatment team may not close a consumer's record until they can demonstrate that efforts to engage the consumer have failed.
- The goal is to close the chart when it becomes clear that the consumer does not want or need services.

DEFINITIONS:

- **Active consumer:** A consumer who is receiving services.
- **Closed:** Termination of the Department's services provided to a consumer.
- **Days:** In the context of this protocol refers to calendar days.
- **Form:** In the context of this protocol refers to the Chart Closure form.
- **Lead Clinician:** Predominant service provider.
- **New Consumer:** A consumer who has had an intake but has not received services or a consumer who is on a wait list for an intake.

PROTOCOL:

Criteria to Close a Consumer's Record:

The consumer's lead clinician will close a consumer's chart when a consumer:

1. Has relocated off island for more than ninety (90) days.
2. Has deceased.
3. Is incarcerated more than one (1) year or sentenced for incarceration for more than one (1) year and not receiving ongoing services at DMHSA.
4. Does not need further treatment, as verified in writing by the consumer's treatment team (i.e., completed treatment, does not have a mental health diagnosis, stable, etc.).
5. Is no longer eligible/ requires services not provided by the Department.

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6. Chooses other non-DMHSA outpatient provider/services.
7. Has not responded or been located by required outreach efforts after a missed appointment.
8. Has not requested or been provided services for a continuous period of ninety (90) days.
9. Has refused all Department services/chose to disengage at this time.

Outreach Activities:

- If a consumer misses an appointment, the efforts to connect with the consumer should be immediate, and not last longer than two (2) weeks.
- In most cases, the chart is closed after three (3) unsuccessful attempts to reach the consumer.
- For outreach activities, staff is only allowed to use the phone number and/or address the consumer authorizes at intake.

Outreach Activity Requirements for New and Active Consumers:

1. The designated secretary will make a telephone call by the end of the day of the first (1st) missed appointment.
2. If the consumer does not answer the phone, the secretary must make one (1) more phone call attempt within five (5) days from the first phone call attempt, before sending the letter.
3. If the consumer does not answer the phone or the authorized phone number is not working, a letter will be sent by the secretary to the consumer's authorized address within five (5) days of the attempted phone call.
 - a. The letter will indicate that if the consumer fails to respond within fifteen (15) working days from the date on the letter, their chart will be closed. A copy of the letter shall be placed in the consumer's chart.

Outreach Requirements for Consumers who are Homeless:

1. A designated treatment team member shall attempt to locate the consumer within seventy-two (72) hours of the first (1st) missed appointment.

Documentation

- When a treatment team or treating clinician has determined a consumer meets one (1) or more of the criteria for chart closure, the lead clinician shall complete the chart closure form.
- The lead clinician shall turn in the completed chart closure form to medical records.

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- Medical records will place the form in their designated 'close chart' tray, pull the chart and place the original copy of the chart closure form on the top right side of the chart and complete their procedure for closing the chart.

QUALITY MANAGEMENT:

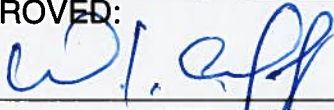
A designee from medical records shall track:

1. The number of charts closed.

Each treatment team shall track and report monthly:

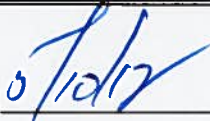
1. The number of their consumers who have had a ninety (90) day lapse without services.
2. The average number of days it took them to close a chart.
3. The number of their consumers who re-engage in services when they are contacted via outreach activities.

APPROVED:



Wilfred Aflague
Director

Date:



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CHART CLOSURE FORM

Consumer Name: _____ **D.O.B:** ___/___/___ **MR#:** _____

Date Chart is Closed: ___/___/___

Lead Clinician: _____

Reason for Chart Closure (check all that apply):

- Chose other outpatient services
- Chose to refuse/disengage at this time
- Deceased
- Incarcerated
- Moved/Relocated
- No further treatment needed
- No longer eligible/ requires services not provided by the Department
- Not requested or provided services within 90 days
- No response to outreach efforts/unable to contact
- Other: _____

Date of missed appointment: ___/___/___

	Summary of Outreach Attempts: NA=Not Authorized NR= No Response a=attempt
New/Active Consumer	<input type="checkbox"/> Phone a#1 Date: _____ <input type="checkbox"/> NA <input type="checkbox"/> NR Response: _____ <input type="checkbox"/> Phone a#2 Date: _____ <input type="checkbox"/> NA <input type="checkbox"/> NR Response: _____ <input type="checkbox"/> Letter Date: _____ <input type="checkbox"/> NA <input type="checkbox"/> NR Response: _____ Comments: _____ _____ _____
Homeless Consumer	<input type="checkbox"/> Visit a#1 Date: _____ <input type="checkbox"/> NA <input type="checkbox"/> NR Response: _____ Comments: _____ _____ _____

If the consumer is contacted and they respond by refusing treatment:

Consumer's Reason: _____

Disposition:

The consumer meets one or more of the established chart closure criteria and the consumer's chart should be closed.

Name: _____

Signature: _____ Date: ___/___/___

→**Routing:** The *lead clinician* will turn in the completed chart closure form to medical records.

→**Routing:** *Medical Records* will place the original form on the top right side of the chart.