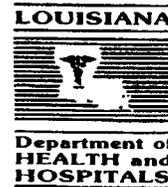




Kathleen Babineaux Blanco  
GOVERNOR

STATE OF LOUISIANA  
DEPARTMENT OF HEALTH AND HOSPITALS



Frederick P. Cerise, M.D., M.P.H.  
SECRETARY

MEMORANDUM

TO: Direct Service Providers of Waiver Programs  
Support Coordination Agencies

FROM: Kathy Kliebert, Assistant Secretary  
OCDD

Hugh Eley, Assistant Secretary  
OAAS

Jerry Phillips, Director  
Medicaid

SUBJECT: Minimum Requirements for Case Record Documentation

DATE: August 31, 2007

Enclosed is information regarding the minimum requirements for documentation of activities during delivery of services. This includes services delivered to all of Louisiana's Medicaid Waiver participants.

There is no particular format required; however, the content and documentation schedules are mandatory. Direct Service Providers that provide both waiver and state plan (Long-Term Personal Care Service) services must provide separate documentation for these services. The Department of Health and Hospitals' Health Standards Section as well as Office of Aging and Adult Services (OAAS), Office for Citizens with Developmental Disabilities (OCDD) and the State of Louisiana Legislative Auditors monitor agencies that work with participants of the identified programs. These requirements are utilized to review the participant's records.

These requirements were previously sent to direct service providers April 3, 2001 by the Bureau of Community Supports and Services (BCSS) per Memorandum BCSS-P-01-007. Direct service providers also received instruction regarding documentation per memorandum BCSS-P-04-015 issued July 23, 2004. The documentation requirements were included in the BCSS Provider Enrollment Orientation training that all waiver direct service providers were required to attend. This information is posted on the Health Standards website at: [http://www.lamedicaid.com/ProviderUpdate/provider\\_update0504.htm#bcss](http://www.lamedicaid.com/ProviderUpdate/provider_update0504.htm#bcss) and is included in the program manuals that are distributed with enrollment packets. Information regarding documentation is also available at the annual Unisys Provider training and per the website at: <http://www.lamedicaid.com/provweb1/ProviderTraining/packets/providertrainingindex.htm>. The policy requirements regarding documentation issued by the former BCSS are still in effect for the programs administered by OAAS and OCDD and monitored by HSS.

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Please make this information available to all staff that work with the Louisiana Medicaid waiver programs. Questions may be directed to the appropriate OAAS or OCDD regional office. . If they are unable to answer your questions, please contact Teresa Frank with OCDD at 225-342-8762 [tfrank@dhh.la.gov](mailto:tfrank@dhh.la.gov) or Janet Thomason with OAAS at 225-219-9939 [jthomaso@dhh.la.gov](mailto:jthomaso@dhh.la.gov)

Training on this subject will be included in the mandatory training for providers that is being conducted by Unisys on September 13, 19, 27 and October 4. Details of this training were sent in a separate memo dated August 27, 2007.

cc: **OAAS Regional Offices**  
**OCDD Regional Office**

## **General Information about Documentation Requirements**

- It is the responsibility of the support coordination agency and direct service provider agency to provide adequate documentation of services offered to waiver participants for the purposes of continuity of care/support for the individual and the need for adequate monitoring of progress toward outcomes and services received. This documentation is an on-going chronology of activities undertaken on behalf of the participant.
- Progress notes must be of sufficient content to reflect descriptions of activities and cannot be so general that a complete picture of the services and progress cannot be drawn from the content of the note, i.e., general terms such as "called the participant" or "supported participant" or "assisted participant" is not sufficient and does not reflect adequate content. Check lists alone are not adequate documentation.
- Service logs must support the activity that is billed and provide enough narrative documentation/information to clearly identify the activity and the participants. OAAS and OCDD allow the support coordinators and the direct service providers of waiver services to utilize the service log to document required "progress notes" and "progress summaries."
- The Department of Health and Hospitals (DHH) offices, OAAS and OCDD, do not prescribe a format for waiver documentation, but must find all components outlined below. The schedule for documentation differs based on each waiver/service system. Please see table for documentation schedule.
- All notes, summaries and service log entries in a participant's record should include:
  1. Name of author/person making entry
  2. Signature of author/person making entry
  3. Functional title of person making entry
  4. Full date of documentation
  5. Signature or Initials indicating review by supervisor if required
  6. Must be legible and if hand written, in ink
  7. Narrative that follows definition for the type of documentation used.

Louisiana Department of Health and Hospitals

**REQUIRED DOCUMENTATION  
FOR  
SUPPORT COORDINATORS**

Support coordination providers will document progress as follows:

- **Service Logs** - Chronology of events and contacts which support justification of critical support coordination elements for Prior Authorization (PA) of services in the CMIS system. Each service contact is to be briefly defined (i.e., telephone call, face to face visit) with a narrative in the form of a progress note. See below. **NOTE:** OAAS and OCDD allow support coordinators to utilize the service log to document "Progress Notes" and "Progress Summary."
- **Progress Notes** - Narrative that reflects each entry into the service log and elaborates on the substance of the contact. (**Note:** The service log may be used for this documentation.)
- **Progress Summary** - Summary that includes the synthesis of all activities for a specified period which addresses significant activities, summary of progress/lack of progress toward desired outcomes and changes to the social history. This summary should be of sufficient detail and analysis to allow for evaluation of the appropriateness of the current CPOC, allow for sufficient information for use by other support coordinators or their supervisors, and allows for evaluation of activities by program monitors. (**Note:** The service log may be used for this documentation.)
- **Discharge Summary for Transfers and Closures** - All transfers/closures will require a summary of progress prior to final closure. (**Note:** The service log may be used for this documentation; the CMIS Closure Summary **MUST** be completed.)

| <b>SCHEDULE OF DOCUMENTATION<br/>for<br/>SUPPORT COORDINATORS</b> |  |   |  |  |                                    |
|---|--|---|--|--|------------------------------------|
| <b>REQUIRED<br/>DOCUMENTATION</b>                                 | <b>PROGRAM</b>                                   |   |  |  |                                    |
|   | <b>EDA</b><br>Elderly & Disabled<br>Adult Waiver | <b>EPSDT, HIV, FTM</b><br>Targeted<br>Populations | <b>NOW</b><br>New<br>Opportunities<br>Waiver | <b>CCW</b><br>Children's Choice<br>Waiver  | <b>SW</b><br>Supports Waiver       |
| <b>SERVICE LOG **</b>   | YES<br>at time of each<br>activity               | YES<br>at time of each<br>activity                | YES<br>at time of each<br>activity           | YES<br>at time of each<br>activity   | YES<br>at time of each<br>activity |
| <b>PROGRESS<br/>NOTE * **</b>                                     | YES<br>at time of each<br>activity               | YES<br>at time of each<br>activity                | YES<br>at time of each<br>activity           | YES<br>at time of each<br>activity   | YES<br>at time of each<br>activity |
| <b>PROGRESS<br/>SUMMARY *</b>                                     | YES<br>at least every<br>quarter                 | YES<br>at least every<br>quarter                  | YES<br>at least every<br>quarter             | YES<br>between 6 <sup>th</sup> & 9 <sup>th</sup><br>month at least;<br>more frequently if<br>indicated | YES<br>at least every<br>quarter   |
| <b>DISCHARGE<br/>SUMMARY FOR<br/>CLOSURE/<br/>TRANSFER</b>        | Within 14 days of<br>discharge                   | Within 14 days of<br>discharge                    | Within 14 days<br>of discharge               | Within 14 days of<br>discharge   | Within 14 days of<br>discharge     |

\* OAAS and OCDD allow support coordinators to utilize the service log to document "Progress Notes" and "Progress Summary."  
 \*\* See program manual for specific documentation requirements.

Louisiana Department of Health and Hospitals

**REQUIRED DOCUMENTATION  
FOR  
DIRECT SERVICE PROVIDERS**

Direct Service providers will document progress as follows:

- **Payroll Sheets**
- **Progress Notes/Service Logs** – Narrative that reflects each entry into the payroll sheet and elaborates on the activity of the contact. *(Note: The service log may be used for this documentation.)*
- **Progress Summary** - Summary that includes the synthesis of all activities for a specified period which addresses significant activities, summary of progress/lack of progress toward desired outcomes and changes that may impact the CPOC and the needs of the individual. This summary should be sufficient in detail and analysis to allow for evaluation of the appropriateness of the current CPOC, allow for sufficient information for use by other direct support staff or their supervisors, and allows for evaluation of activities by program monitors. *(Note: The service log may be used for this documentation.)*
- **Discharge Summary for Transfers and Closures** - All transfers/closures will require a summary of progress prior to final closure.

| SCHEDULE OF DOCUMENTATION<br>for<br>DIRECT SERVICE PROVIDERS |  |                                    |                                       |   |                                    |  |
|--|--|------------------------------------|---------------------------------------|---|------------------------------------|--|
| REQUIRED DOCUMENTATION                                       | PROGRAM                                      |                                    |                                       |   |                                    |  |
|  | EDA<br>Elderly &<br>Disabled Adult<br>Waiver | EPSDT<br>Targeted<br>Populations   | NOW<br>New<br>Opportunities<br>Waiver | CCW<br>Children's<br>Choice Waiver  | SW<br>Supports<br>Waiver           | LTPCS<br>Long Term<br>Personal<br>Care<br>Services |
| <b>PAYROLL SHEET</b>   | YES<br>at time of each<br>activity           | YES<br>at time of<br>each activity | YES<br>at time of<br>each activity    | YES<br>at time of<br>each activity  | YES<br>at time of<br>each activity | YES<br>at time of<br>each activity                 |
| <b>SERVICE LOG/PROGRESS NOTE * **</b>                        | YES<br>at time of each<br>activity           | YES<br>at time of<br>each activity | YES<br>at time of<br>each activity    | YES<br>at time of<br>each activity  | YES<br>at time of<br>each activity | YES<br>at time of<br>each activity                 |
| <b>PROGRESS SUMMARY *</b>                                    | YES<br>at least every<br>quarter             | YES<br>at least every<br>quarter   | YES<br>at least every<br>quarter      | YES<br>between 6 <sup>th</sup> &<br>9 <sup>th</sup> month at<br>least; more<br>frequently if<br>indicated | YES<br>at least every<br>quarter   | N.A.   |
| <b>DISCHARGE SUMMARY FOR CLOSURE/ TRANSFER</b>               | Within 14 days<br>of discharge               | Within 14<br>days of<br>discharge  | Within 14<br>days of<br>discharge     | Within 14<br>days of<br>discharge   | Within 14<br>days of<br>discharge  | N.A.   |

\* OAS and OCDD allow support coordinators to utilize the service log to document "Progress Notes" and "Progress Summary."  
 \*\* See program manual for specific documentation requirements.