* Service-Centered Recording

Chapter 2

* Selection content for the record is the most important recordkeeping decision social workers make. Why
  * Choose what is significant and relevant
  * Balance must be achieved
* Selecting content for the record is more than just a practice skill.
  * It involves a high level of professional judgment

*Introduction

* In preparation their records, practitioners are guided by…
    * Agency mission
    * Accountability structure
    * Recordkeeping policies and procedures
    * Funding sources
    * Mode of service delivery
    * Clientele

*Introduction

* The practitioners know that what the record may become widely known by personnel in the agency, funders, and oversight groups.

Introduction

*The Service-Centered Record

* A contemporary social work record should be, above all, a record of service.
* The Service-Centered Record differs from traditional approached to record keeping.
  * It shifts the focus of the record from information about the client and the worker-client interaction to information that is relevant for understanding and evaluating service delivery.

* The SCR purpose is to demonstrate how services addressed the special characteristics of the client-need-situation, were delivered in accordance with professional standards and agency policies, and were evaluated for their quality, efficacy, and impact.

The Service-Centered Record

* SCR meet the expectation of accountability by high lighting the systematic description and assessment of the client-need-situation…
    * Available resources
    * Service options
    * Client preferences and linking these assessments to the purpose, goals, plans, decisions, activities, progress, impact, and outcome of services

The Service-Centered Record

* SCR differs than the “patient” or “process” records.
    * Patient records focus primarily on the client or consumer

The Service-Centered Record

* SCR differs than the “patient” or “process” records.
  * Process recording focuses on the interaction between the worker and the client, with the goal of understanding the client and strengthening the practitioner’s interpersonal, therapeutic, and analytic skills.

The Service-Centered Record

* SCR differs than the "patient" or "process" records.
  * Their purpose is to support the practitioner's or social work student's professional development through careful attention to worker and client communication via-self-reflection and supervision.

The Service-Centered Record

* In contrast – SCR focus on the basis for substance of, and consequences of all decisions and actions taken in the course of providing services with and on behalf of the client.
  * Information about the client-need-situation and available resources

*The Service-Centered Record

* In contrast – SCR focus on the basis for substance of, and consequences of all decisions and actions taken in the course of providing services with and on behalf of the client.
  * Client preference, agency standards, and best practices that provide the rationale for
  * Service decisions and actions, including the

The Service-Centered Record

*The Service-Centered Record

* In contrast – SCR focus on the basis for substance of, and consequences of all decisions and actions taken in the course of providing services with and on behalf of the client.
  * Purpose, goals, plans, and methods of service and show what impact service has upon
  * The client-need-situation and available resources

* SCR document the foundation for professional judgment and actions to link…
  * Assessments, decisions, actions, and service outcomes, through observation
* SCR document the reasons for and results of service decisions and actions over time.

  Bottom of Page 36

The Service-Centered Record

* In Summary
  * Selected to reflect the basis, substance, and consequences of professional decisions and actions
  * Composed of observations and inference in the form of descriptions and assessments of the client-need-situation and the service tranaction

The Service-Centered Record

* In Summary
  * Grounded in the knowledge, values, and ethics of the professional
  * Grounded in the agency's mission standards of care, and best practice
* The SCR is also attended to facilitate ongoing service delivery. It is a "living and working" document,

*The Service-Centered Record

* Exhibit 2.1 page 38-40
* Agencies and practitioners have considerable discretion about what information to include in records, and they may reasonably decide not to include even some basic elements of content/

Elements of Content

Client Demographics

* Demographic information, which may appear on “intake form or screen, is usually entered into the records early in the service transaction.
  * Information may be gathered and recorded by clerical workers or by client themselves prior to their appointment
  * List of information on take form, page 41

*Opening Summary

Client Demographics

* Demographic information, which may appear on “intake form or screen, is usually entered into the records early in the service transaction.
    * However, with the new laws this information may be deemed private, imprecise, sensitive, or of questionable value

*Opening Summary

* Clients seek or are offered, referred for, or mandated to receive services for a verity of reasons.
* This information can be used in evaluating how the agency is perceived in the community and how clients actually arrive at the agency.
* The reasons for initiating service
  * Presenting problems

* Means and Reasons for Initiating Service

* Clients seek or are offered, referred for, or mandated to receive services for a verity of reasons.
* The reasons for initiating service
  * Presenting problems
  * Urgent situation
  * More often, the reason for initiating services are ongoing problem rather than an urgent situation

Means and Reasons for Initiating Service

* Clients seek or are offered, referred for, or mandated to receive services for a verity of reasons.
* The reasons for initiating service
  * Sometimes, the means for initiating services are immediately apparent, although the reasons are not

Means and Reasons for Initiating Service

Key Actors

* In the opening summary, records identify key actions in the case.
  * Household members
  * School teachers
  * Court personnel
  * Key actors are those who are directly or indirectly involved in identifying the client's needs or providing information or resources

* Early in the process of exploration, the client’s general eligibility for service needs to be determined. Questions to be considered:
  * Does the client reside in the area served by the agency?
  * Is the client seeking the kind of services the agency offers?
  * If the client does not meet such eligibility standards, he or she may receive a referral to another agency

*Eligibility for Service

* Providing client with information about the agency and the services they may receive.
* The client may be given documents that outline policies on confidentiality, billing insurance, and about the frequency of client-worker contact.

Informed Consent to Initiate Services

* The opening summary may include previous service or information from other agencies

*Informed Consent to Initiate Services

* Services begin with an exploratory process

* Data Gathering and Social History

* Afford the client, family, and significant others an opportunity to "tell their story, "thereby reviewing and sharing their experiences.
* Individualize the client, situation, and relevant environment
* Locate sources of problems and resources for resolving them

Descriptions of the Client-Need-Situation

* Discover strengths and coping abilities as well as needs and limitations
* Identifying cultural issues that may influence problems, needs, resources, services, or outcomes
* Focus attention and services on relevant issues and points of intervention

*Descriptions of the Client-Need-Situation

* Convey pertinent information to other service providers and
* Document the basis for social work decisions and actions, including services within organization and referral for service elsewhere.

* Descriptions of the Client-Need-Situation

* Information Sources

* The worker may gather information from a number of sources.
  * Family members and other members of the client's intimate social network, as well as the records of any previous or ongoing services in the agency....including

Information Sources

- The worker may gather information from a number of sources.
  - Other service providers outside the agency, such as physicians, educators, psychologist, attorneys, and other social workers
  - Records of service provided by other agencies

* The worker may gather information from a number of sources.
  * Other individuals who play a significant role in the client's social environment
  * Tests, reports, and examinations
  * Direct observation

Information Sources

* Many records include a social history, that is, a careful review of the client-need-situation over time. A social history may be brief or extensive. It also may include:
  * Client’s present situation and recent past
  * Family history or over one generation or more

Social History

*Social History

* The Social history is both a process and a product
* The Social history-taking process involves exploration of the clients experiential landscape
  * May review familiar territory in a new way with a worker who is both guide and follower

Social History

* The Social history is both a process and a product
* The Social history-taking process involves exploration of the clients experiential landscape
  * Worker guides the client through areas of interest and concern and responds to information as it is revealed

* As new information surfaces, the worker and client seek linkages and explore the client's thoughts and feelings in some depth (Exhibit 2.2)

*Social History

* The workers guides the client through a focused exploration, examining in some depth the specific factors that knowledge and experience indicate may be of critical importance to the client's particular need-situation.

*Social History

Social History

* The client’s characteristics, and the means and reasons for initiating services
* The client’s interests and expressed concerns
* Theory and research on factors that cause, maintain, remediate, or are in other ways linked to the problem or need

* Knowledge of service process, available resources and the potential effects and outcomes of different approached to service
* Best practice guidelines for service with this client

* The social history-taking process is guided by the agency's or programs accountability structure, clientele, field of practice, and mission

Social History

Social History

* Some agencies leave the selection and organization of information to the discretion of the worker, who may document it chronologically or topically (Exhibit 2.3). However, many agencies have found this approach too time consuming and idiosyncratic.

* The Social History-taking process explored page 52-53.

*Social History

* Most clients who seek or are offered social work services have current or past relationships with service agencies or professionals who have sought to assist them with health, mental health, legal, social service educational work, or other special needs or problems. This information may be used in:

* Ongoing and Past Relationships with…

* Identifying current and past needs and resources
* Identifying sources of information
* Planning and implementing services
* Avoiding duplication of services
* Identifying potential for coordination among services and providers

* Ongoing and Past Relationships with…

* Understanding the client's perception of the current client-need-situation
* Understanding the client's views and experiences with services and practitioners

*Ongoing and Past Relationships with…

* Resources, Barriers, and Unmet Needs

* In response to the problems and needs identified during the exploratory process, the worker and client consider resources and services that are needed, available, and accessible.
* It is important to document what agencies and services were considered, what referrals were initiated, what services were unavailable or inaccessible, which services the client had tried or rejected, and what other barriers may prevent access to existing services. This information is useful in:

* Engaging the client in planning and implementing services
* Demonstrating accountability to the client and the organization
* Providing a rationale for service goals and plans
* Understanding the impact of services
* Documenting emerging needs and inadequacies in community services

Resources, Barriers, and Unmet Needs

Assessment

* Assessments show the worker's thinking process and the bases for service decisions and actions. Assessment are used in:
  * Planning, implementing, and evaluating service
  * Supervision, peer review, and quality assurance
  * Demonstrating accountability to the client, the organization, accrediting bodies, and funding sources
  * Communicating with others in the organizations who are also offering services to the client

* The worker makes sure that their views are clearly separated from descriptions and observation and clearly labeled to show that they reflect the workers appraisal or impressions.
  * Theories of human behavior in the social environment (e.g., the behavior of social systems)

Assessment

* Assumptions underlying a particular approach to practice (e.g., stages of group development or the concept of reinforcement).
* Classifications of behavior developed for use with specific client groups (e.g., as in the DSM)
* Social policy and agency procedures (e.g., guidelines for Medicare reimbursement for skilled nursing facilities or application procedures and eligibility standards for Medicaid)

Assessment

* Previous experience with this and other clients with similar problem needs, and situations

* The worker's appraisal of information about the client-need-situation and available resources is thorough, fair, and nonjudgmental

*Assessment

* Systematic Assessments

* Provide the underlying justification for decisions and actions in the case. The case notes contain specific and relevant description.
* Systematic assessments should also include reference to the criteria used in evaluating the available information and formulating appraisals.
  * Knowledge of social policy, agency procedures, and the availability of social resources

* Systematic Assessments

* Knowledge of social policy, agency procedures, and the availability of social resources
* Knowledge of human development, health and illness, and mental health
* Classification system, such the DSM
* Theories of human behaviors in the social environment
* Knowledge of practice concepts, principles, and interventions

* Standards of practice and best practices
* Evidence of positive effects of specified interventions for the clients need-situation
* Professional values and ethics
* Client resources, as well as access to service and preferences

Systematic Assessments

* Systematic Assessments

* Systematic assessments conclude with the worker's appraisal
* Completing systematic assessments may require several contacts with the client and others over a period of days or weeks

* Social Workers have recognized the importance of assessing and developing client's strengths, not just addressing their problems needs and challenges.

*Assessing Strengths

* Culture factors often play a key role in clients' views of themselves and others, and their definition of need and the situation. Culture effects relationships with:
  * Family
  * Community

Assessing Culture Factors That Affect Services

* Assessing Culture Factors That Affect Services

* Family
* Community
* Social network
* Resources
* Willingness to seek and accept services
* Expectations of services and outcomes

* Interaction and communication with service providers

* Difference in culture between the practitioner and client

* Social workers can demonstrate cultural competence in their records by:

Assessing Culture Factors That Affect Services

* Recognizing the role of culture in the client-need-situation
* Showing knowledge of and respect for the client's culture, community tradition, and values
* Outlining the role culture plays in the client's definition of the need-situation, acceptable service options, and available resources

Assessing Culture Factors That Affect Services

* Describing special efforts to overcome language or other communication barriers
* Describing special efforts to overcome cultural barriers in the relationship, agency, or environment
* Noting when the client has had opportunities to discuss her or his preferences and values

Assessing Culture Factors That Affect Services

* Showing how the client's preferences and values have been incorporated into service arrangements, goals, plans, and referrals
* Illustrating continuing efforts to identify cultural barriers and assets as well as monitor services for cultural biases and strength

* Assessing Culture Factors That Affect Services

* Social workers assess clients for risk of danger or harm in compliance with the law, agency policies, and standards of ethical and competent practice.
* Sometime agency protocols require that all clients with certain characteristics be assessed for risk at intake.

*Risk Assessment

* Social work records sometimes include specialized assessments associated with a field of practice, client –need-situation, or approached to intervention.

* Specialized Assessment

Decisions and Actions Taken

* The records should document responses to each issue identified in the initial assessment
* Any risk, crises, or urgent situation that is identified during the initial assessment process requires some action (or the decision to take no action), in compliance with relevant policies, laws, and standards of practice

Decisions and Actions Resulting from Initial Assessment

Service Options

* Other issues identified in the initial assessment call for a deliberative process, through which the worker and client identify available resources and consider various service options

*Service planning

Service Options

* Even when clients come to an agency with an identified problem and for a specific service, the practitioner has the responsibility to discuss costs, limitations, alternatives, potential risks and benefits, and possible outcomes with them.

*Service planning

Service Options

* Screening may show that clients do not meet eligibility standards for particular programs.
* All this information, and the client's response to it, should be documented in the records, along with the criteria that are used for selecting among various options.

*Service planning

Service Options

- The primary criterion for selecting among service options should be…
  - Quality
  - Effectiveness
  - Potential for alleviating the assessed problem or need

Service planning

* Social work records document the purpose, goals, and plans for all service delivered with and on behalf of the client.
  * The purpose of service is the reason for providing services and should be derived from the assessment of the client-need-situation and available resources while considering the client's preferences and expectations

Purpose, Goals, and Plans of Service

* Purpose, Goals, and Plans of Service

* Service goals and plans are more specific statements of what services are intended to accomplish and how they will proceed
* Consider also the anticipated benefits and any possible unintended outcomes of risks that may be associated with receiving services, realizing goals, or implementing plans

* The record should also document any factors that may stand in the way or otherwise affect the kind, quantity, and quality of services to the client
* This information is used in:
  * Implementing service and evaluating its impact
  * Documenting adherence to accepted standards and procedures

Purpose, Goals, and Plans of Service

* Promoting continuity of service
* Accountability, supervision, and peer review

*Purpose, Goals, and Plans of Service

* Clarity of purpose gives structure to the service transaction and to the record.
* The purpose of service is a statement of its overall objectives
  * Purpose of service must fall with the scope and mission of the agency and the service program

Purpose and Service

* Purpose and Service

* A statement of purpose unifies the record and forms the basis for:
  * Locating appropriate points of and approached to intervention
  * Establishing a plan of service
  * Communicating with other professionals who are also involved in service delivery

* Evaluating the impact of service

*Purpose and Service

* Goals

* Goals are specific statements of intended outcomes

Plans

* The Service plan specifies the actions the worker, the client, and others will take to fulfill the purpose of service and realize the stated goals.
* The records should explain
  * Standards of care

- Referrals to other agencies and providers
- And may include family and community members

* The plan is also used in:
  - Demonstrating adherence to agency policy and procedures

*Plans

* Facilitating supervision, consultation, and peer review
* Communicating with others who are providing service to the client
* Evaluating service implementation

Plans

* The record of the plan of service is most useful if it:
  * Is up to date
  * Covers the ongoing and subsequent phases of service
  * Is specific enough to be implemented by another service provider if needed
  * Is open to review and evaluation

Plans

* It is important at the outset of service for the worker and client to decide not only on the direction services are to take bit also on hos they will assess whether services are moving forward and in the intended direction.

* Indicators of Movement toward Completing Plan, Realizing Goals

* Such indicators should be tailored to the specific purpose, goals, and plans in the case. Indicators should:
  * Accurately measure the intended outcomes of service
  * Contribute to the service process, and be meaningful, feasible, and acceptable to the client

Indicators of Movement toward Completing Plan, Realizing Goals

* Client may take action roles in the planning
* In selecting indicators, it is useful to include:
  * More than one indicator for each goal
  * More than one source of information
  * Measure that gauge intermediate changes as well as ultimate outcomes
  * Milestones in the implementation of the service plan

*Indicators of Movement toward Completing Plan, Realizing Goals

* Using a variety of indicators and sources of information can help surface movement or stability in complex client-need-situations from varying perspectives. Indicators may include:
  * Direct observations of the client's performance in specific environments

*Indicators of Movement toward Completing Plan, Realizing Goals

* The client's self-report of thoughts, feelings, or attitudes
* Brief instruments in which the client responds to queries about a specific symptom or pattern of behavior
* Client memoranda about their through, feelings, or actions in the natural environments
* The practitioner's impressions of the client's responses

* Indicators of Movement toward Completing Plan, Realizing Goals

* Initial and subsequent discussions and agreements about termination should be documented in the record.

Agreements Regarding Termination of Service

* Client-Worker Contract

* The contract usually includes
  * General agreements as to the goals, plans, and methods of service
  * Specific agreements regarding, scheduling of meetings, fees, tasks, and actions to be undertake by the worker and the client

* When the contract is verbal, a brief statement of its major components should be documented, including, where applicable:
  * Who participated in decision making
  * What decision were made
  * Who has agreed to do what and when
  * How the contract may be revised

*Client-Worker Contract

Interim Notes

* Once the plan of service is in place, interim notes describe and assess the client-need-situation and the service transaction at regular intervals. Notes may be…
  * Brief or extensive
  * Notes sometimes call progress notes, page 74

* Interim notes often document an assessment of the status of the client-need-situation at a particular point in time.
* Interim notes should always document descriptions of service activities

Interim Notes

* Interim notes need not include a detailed report of all activities with and on behalf of the client
* On occasion a practitioner might choose to document a specific interaction in some detail…

*Interim Notes

* Progress in implementing the service plan
* Movement through successive stages of a treatment process
* Impact of service on the client-need-situation

* Interim notes also include the worker's assessment of the process and progressive of service

*Interim Notes

Special Materials

- Social Records may include a variety of special materials, such as:
  - Legal documents
  - Agency forms
  - Worker-client contacts
  - Consents, documentation about releases and transfer information

* Reports and records from other agencies and practitioners
* Letters and message from clients

Special Materials

* Records include forms that document the client's (or others' acting on the client's behalf) authorization for actions to be taken by the agency and practitioner. These forms are often called, "informed consents" or "authorizations."

Consents

Consents

* For a consent to be "informed," it must meet the following standards:
  * The client is competent to make judgments and enter into agreements
  * The actions to be taken have been thoroughly explained

* The client (or other decision maker) authorizes the agency and practitioner to take specific actions
* The client (or other decision maker) has been informed as to how the consent may be revoked
* The client (or other decision maker) has been appraised about any consequences that may result from the decision to give or withhold consent

Consents

*Consents

* Prior to seeking written consent to provide services, the agency and practitioner should inform the client about the:
  * Types of problems, needs, and clientele served
  * Specific programs and services offered
  * Extent and limits of confidentially

* Extent and limits of confidentially
* Costs, billing, and eligibility guidelines
* Agency’s affiliations and the practitioner’s qualifications
* Length and frequency of service contracts
* Making and canceling of appointments
* Potential benefits and any risks of receiving services

*Consents

Consents

* The practitioner should also provide any other information that may assist the client in deciding whether to enter into the service process.
* To consent to a release of information, the client must know:

* What information is to be released
* To whom
* How the information is to be used
* The potential benefits and risks of releasing or failing to release the information

* There is no longer "Blanket consents."

*Consents

Accounting of Disclosure of Information

* HIPPAA Privacy Rule…documentation should include:
  * The date of disclosure
  * The names and addresses of the individuals or organizations that receive the information
  * A copy or description of the information that was disclosed

* A copy of the request for disclosure or a statement of the reasons for the disclosure

* Accounting of Disclosure of Information

Critical Incidents and Emergencies

* Urgent situations impacting the client and affecting services require full and immediate documentation.
* Example of critical incidents include:
  * A client threatens or attacks another person
  * A client is threaten, attached, or mistreated

* Example of critical incidents include:
  * A client threatens or attacks another person
  * A client is threaten, attached, or mistreated
  * A client threatens suicide
  * A client reports that he was the victim or perpetrator of child abuse

Critical Incidents and Emergencies

* Example of emergencies
  * A client is arrested for shoplifting
  * A client is involved in an automobile accident
  * A day care provider loses her license
  * A family is evicted from their home

*Critical Incidents and Emergencies

* Critical Incidents and Emergencies

* Critical incident and emergency reports should include, at minimum, the following information
  * The date, time, setting, and participants involved
  * A complete description of what occurred, with diverging views attributed to their sources

* The date, time, setting, and participants involved
* A complete description of what occurred, with diverging views attributed to their sources
* An appraisal of the situation, with criteria used
* Decisions and actions to be taken, including alternatives

*Critical Incidents and Emergencies

* Plans for follow-up and continuing review
* Regular updates until the urgent situation is resolved

* Critical Incidents and Emergencies

Periodic Service Review

* Review of documents determined by the agencies
* Service reviews are documented in the record for the purpose of accountability. Content should include:

Periodic Service Review

* The date, names of participants, and subjects addressed
* A review of service activities and movement
* Recommendations for changes in the assessment of the client-need-situation
* The alternative service options considered

Periodic Service Review

* Recommendations for changes in the purpose, goal, plan, or measure of service outcome
* The level of consensus among participants
* Any other recommendations or plans

* Records should include a closing summary, which documents the reasons for terminating services and the status of the case at termination.
  * A brief description and analysis of the client-need-situation from opening to termination

Closing Summary

Closing Summary

* A brief description and analysis of the client-need-situation from opening to termination
* A brief review of the purpose, process, goals, and activities
* An in-depth analysis of the process and outcomes of service and its impact on the client-need-situation

* Any referrals or plan for additional services
* Follow-up

* The closing summary is prepared after services are terminated

Closing Summary

* Reasons for Terminating Services

* Reasons for terminating services
  * By plan or may end as the result of independent client action
  * Client has met goals and completed plans
  * Client no longer wishes to receive services or has completed or been discharged from the program

*Reasons for Terminating Services

* Reasons for terminating services
  * Client moves, loses interest in the process, becomes angry or disillusioned with the practitioner or no longer has the resources to continue
  * Review pages 86-88

*Follow-up

* Some practitioners and agency routinely follow-up on closed cases via mail, e-mail, or phone calls.
* Documentation of follow-up contacts between the client, practitioner and agency are used in:

* Demonstrating the practitioner’s ethical commitment to clients
* Demonstrating the practitioner’s and agency’s accountability
* Evaluating the outcome of service plans and goals
* Evaluating the impact of services on the client-need-situation

Follow-up

*Follow-up

- *Supporting continuity of service, should the client need additional services in the agency or elsewhere

*Follow-up reports should contain:

- *Information about who initiated the contact
- *The current status of plans or goals that were the focus of services

*Follow-up

* Follow-up reports should contain:
  * Information about who initiated the contact
  * The current status of plans or goals that were the focus of services
  * Any recommendations for further service
  * Any any actions take with or on behalf of the client

* Follow-up

* Sometimes follow-up contacts are initiated by the client
  * The worker must assess whether the client wished only a brief contact
  * Or is seeking an ongoing relationship or additional services

* Information should be guided by several criteria
  * Information should be selected to demonstrate accountability and support practice
  * The interest of efficiency and to protect client privacy
  * Records that are “service –centered.”

What should be Excluded from Records

*What should be Excluded from Records

* Some information should not be included
  * Information that is interesting but not directly pertinent
  * Judgmental language
  * Records that support professional development
  * Practitioners personal notes