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| **DEPARTMENT OF HEALTH SERVICES**Division of Public HealthF-02583 (08/2021) |  | **STATE OF WISCONSIN** |
| **OPTIONS COUNSELING RECORD REVIEW TOOL** |
| A standardized Options Counseling process across ADRCs supports a consistent high-quality customer experience. Documentation ensures that any ADRC staff member who interacts with the customer knows all pertinent information to assure that the customer’s goals are being met. Documentation further allows the ADRC to monitor services provided in a systematic manner. The Options Counseling Record Review Tool is designed to assist in quality assurance by monitoring fidelity to the Options Counseling model.General Guidance: This guide incorporates the Options Counseling Record Review Tool and is to be used while reviewing all of the contacts surrounding an options counseling contact.The tool follows the structure of options counseling. Each section outlines key competencies that should occur during that portion of the contact with the customer. Customer conversations do not happen in a linear fashion. For options counseling record reviews, the supervisor should review contacts regarding the entire options counseling process. This may require observation of multiple contacts. Supervisors who use the tool may need to look back at the contact that occurred prior to options counseling, for identifying the need, and after to review the follow-up. It is not a requirement of staff to document in the linear fashion of this tool so supervisors will need to review the notes section for documentation that satisfies each component. Reviewer Guidance:Every contact the ADRC has with a customer, or another person on the customer’s behalf, where information is exchanged is entered into the client tracking database. A contact may occur in person, over the telephone, or via email or written correspondence. In-person contacts may take place in the customer’s home, at the ADRC or another location. For email or written correspondence to constitute a contact information must be given or received. An individual may contact the ADRC multiple times regarding the same subject and each interaction is recorded as a separate contact.For the purposes of Options Counseling record review, records for which ADRC OUTCOMES include “Provided Options Counseling” will be identified. From the identified records, a random sample will be selected. The entire body of documented contacts for a selected options counseling encounter should be reviewed, including the initial contact when it was identified that options counseling was needed and any follow up contacts.All required CLIENT TRACKING, ADRC OUTCOMES, and CALL TOPICS should be documented as specified in the Client Tracking System section of the ADRC Operations Manual.Within CLIENT TRACKING, the “Call Record Notes” element must contain the components listed below. Each component must be rated “met”, “partially met”, “not met”, or “not applicable.” Evaluation:When evaluating the staff’s performance, review any competency that received a score of “Not Met.” If a staff person received a “Not Met” for one or more competencies on the record review tool, supervisors should meet with staff to discuss each of these competency area(s). Supervisors may also choose to review records for patterns in which, perhaps, options counseling, action plans, or follow-ups are declined at an unusual frequency.Supervisors may also assign one or more of the following tasks to increase staff understanding about options counseling: * Staff review of a colleague’s option counseling client tracking notes, which have been previously reviewed by a supervisor and found satisfactory. Utilization of the record review tool during the review will provide an opportunity for recognition of how each step is recorded and to see how and why areas are marked as “Met”, “Partially Met”, “Not Met”, or “Not Applicable.”
* Staff may be encouraged to utilize the client tracking notes template to ensure they are capturing all aspects in their documentation.

Completion of the assigned tasks should occur within a time frame determined by the supervisor, not to exceed four weeks. Upon the completion of the assigned task(s) the supervisor should complete another observation or record review to ensure that competency is now being met. It is not necessary to provide documentation regarding the completion of the assigned tasks to the Office for Resource Center Development. The use of the “Customer Record Identification” and “Dates of Customer Contacts” fields options are for internal use only. This information may help the supervisor to locate the documentation reviewed while discussing the tool with staff.The use of the “Feedback/Notes” and “Additional Comments” fields are useful to document the supervisor’s review and may be used to during the discussion of the tool with staff. |
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| Name – ADRS Specialist  | Customer Record Identification |
| Click or tap here to enter text. | Click or tap here to enter text. |
| Name – Reviewer  | Date of Review |
| Click or tap here to enter text. | Click or tap to enter a date. |

| # | Component/Evaluation | Review Guidance | Feedback/Notes |
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| 1 | Identifies Need for options counseling[ ]  Met[ ]  Not Met | Documentation must include notation of the identified criteria used to determine that options counseling was appropriate for customer. It is not necessary to specifically list one of the options below as long as documentation clearly identifies the need for options counseling.Options counseling criteria: * Limited ability to communicate
* Limited ability to advocate for self
* Limited support system
* Limited capacity to act on information provided
* New or advancing health condition
* Life altering event or situation
* Significant change in circumstances
* Limited financial resources to fund needed services
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| 2 | Identifies Customer Willingness[ ]  Met[ ]  Not Met | Documentation must include notation if options counseling was offered but the customer declined, along with customer’s reason of declining, if the customer shared this information with staff. If documentation includes this information, select ‘Met’.Select ‘Met’ if documentation indicates willingness through documentation that eludes to the scheduling of a visit or the subsequent options counseling notation.Select ‘Not Met’ if the documentation identifies a need for options counseling but there is not documentation regarding a future visit of options counseling and no indication that the customer declined options counseling. |  |
| 3 | Welcome – Confidentiality[ ]  Met[ ]  Not Met | Documentation must include notation that staff informed customer of confidentiality. Select ‘Met’ if documented.Select ‘Not Met’ when documentation does not indicate if staff informed customer about confidentiality.  |  |
| 4 | Discovery – Information on customer’s concerns and needs[ ]  Met[ ]  Not Met | Documentation must include some information about what is and is not working in the customer’s current situation.Examples of what this information may include: * Physical and emotional health and well-being
* Activities of daily living
* Information about urgency of needs
* Observations of customer needs based on direct observations of residence

Select ‘Met’ if documented.Select ‘Not Met’ when documentation does not indicate customer’s current situation. |  |
| 5 | Discovery – Information about what is important to the customer, e.g. strengths, goals, values, and preferences[ ]  Met[ ]  Not Met | Documentation must include some information about things that are important to the customer.Examples of what this information may include: * Customer short and long term goals
* Customer priorities
* Things customer wants and does not want to happen
* Customer stated or observed strengths

Select ‘Met’ if documented.Select ‘Not Met’ when documentation does not indicate information about what is important to the customer. |  |
| 6 | Discovery – Information about customer’s family, friends, lifestyle, and current living situation[ ]  Met[ ]  Partially Met[ ]  Not Met | Documentation must include some information about:* People who are important to the customer and/or the people who currently provide the customer with support.
* Information about current living situation, e.g. feels unsafe at home, concerned about housing, wants to remain living where currently resides, etc.

Select ‘Met’ if documented.Select ‘Partially Met’ if documentation only includes either the people important to the customer or information about the customer’s current living situation.Select ‘Not Met’ when documentation does not indicate people important to the customer and information about the customer’s current living situation.  |  |
| 7 | Discovery – Legal decision maker[ ]  Met[ ]  Not Met | Documentation must include notation of customer’s legal decision maker, if they have one, or if the customer is their own decision maker. Select ‘Met’ if documented.Select ‘Not Met’ when documentation does not indicate if customer is their own decision maker or if they have a legal decision maker.  |  |
| 8 | Decision Support – Information about resources that may meet the customer identified needs and preferences[ ]  Met[ ]  Not Met | Documentation must include list of resources discussed with the customer. Select ‘Met’ if documented. Select ‘Not Met’ if documentation does not indicate resources discussed with the customer. |  |
| 9 | Decision Support – Information regarding the customer’s readiness to move forward[ ]  Met[ ]  Not Met | Documentation must include clear notation if a customer is not ready to create a plan and why they are reluctant or a plan must be documented. Select ‘Met’ if an action plan is documented, as readiness is implied.Select ‘Not Met’ if there is no documentation regarding the customer’s lack of readiness to create a plan and there is no plan. |  |
| 10 | Action Plan[ ]  Met[ ]  Partially Met[ ]  Not Met[ ]  Not Applicable | Documentation must include a copy of the action plan document, indicate in the notes where the plan is saved, or record of each item listed on the plan. Review the action plan or documentation for the following elements.* Customer’s goal
* Support or service to meet goal
* Name of agency or support
* The action that will occur
* Timeline of when action will be completed
* Whom will complete the action

Select ‘Met’ if all information is documented. Select ‘Partially Met’ if only some of the information is documented.Select ‘Not Met’ if there is no documentation regarding the action plan.Select ‘Not Applicable’ if there is clear documentation of the customer’s decision not to develop a written plan. |  |
| 11 | Follow-Up[ ]  Met[ ]  Partially Met[ ]  Not Met[ ]  Not Applicable  | Documentation must include information on at least two of the following:* Customer’s current situation
* Outcomes since last contact
* Steps in the action plan that occurred
* Steps in the action plan that did not occur and why
* Any next steps

Select ‘Met’ if at least two of the above criteria are documented. Select ‘Partially Met’ if only one of the above criteria is documented.Select ‘Not Met’ if none of the above criteria is documented or if a follow-up contact is not documented.Select ‘Not Applicable’ if there is documentation indicating that customer declined follow-up, notation of attempted contacts, or when a customer enrolled or is referred to a LTC program. **There may be situations when the Action Plan may need to be revised and/or options counseling may need continue due to a customer’s situation. In these situations, documentation may move from follow-up back to options counseling or multiple follow-up contacts may occur before conclusion.**  |  |
| 12 | Options Counseling conclusion[ ]  Met[ ]  Not Met | Documentation must indication the conclusion of options counseling and/or follow-up. Select ‘Met’ if documented. Select ‘Not Met’ if documentation does not indicate the conclusion of options counseling and/or follow-up.  |  |
| **Additional Comments:**  |