

SMART Tip Sheets

Client Consent and Referral

Client Consent and Referral

Consent

Referral

Accepting Referrals

This tip sheet focuses on how to share client records and make client referrals using SMART.

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Client Consent and Referral *Consent*

1. **Entry Steps:** Client Profile, Intake. Additionally, if your agency has a standard set of information that is regularly shared with one or all agencies when making a referral, an Agency Disclosure Agreement(s) should be established prior to initiating a client consent.
2. Consents are required before sharing any information about a client with anyone outside the agency. In SMART, an independent consent/disclosure must be established before information can be shared.
3. Generate the client's Activity List. Click **Consent** from the Menu Tree. Existing consents will be listed in the Client Consent List.
4. **Review Existing Consents:** There may be several consents already on record. Click **Review** to review any existing consents. Note: make sure there is no active existing consent with the agency you are about to initiate consent with. If a client consent has been revoked, it will be noted in the Status.
5. To initiate a client consent, click **Add New Client Consent Record** hyperlink.

To create a consent with another agency, sharing your client records, click **Add New Client Consent Record**.

The screenshot displays the SMART software interface. At the top, the user is identified as Kathleen Snavelly, located at Middle Earth Tx Clinic (Training), Gandalf Lane. The client is identified as Jeremy Fiech, with ID M110353553531 and Case #: 1. The interface shows a menu tree on the left with 'Consent' highlighted. The main area displays the 'Client Consent List' with the following data:

Start Date	Disclosed To	Status	Sign	Actions
8/1/2007	Drug Court Agency (Training Only)	Active	Yes	Review
8/1/2007	Drug Court Agency (Training Only)	Active	Yes	Review
10/27/2008	Drug Court Agency (Training Only)	Revoked	Yes	Review
10/27/2008	Z E's Clean (error)	Active	Yes	Review
12/10/2009	Z Peace World	Active	Yes	Review

Annotations in the image include a red circle around the 'Consent' menu item, a red circle around the 'Add New Client Consent Record' link, and a red circle around the 'Review' link in the actions column. A red arrow points from the text above to the 'Add New Client Consent Record' link, and another red arrow points from the 'Review' link in the table to a box labeled 'Review'.

To access the Consent module, click **Consent** from the Activity List.

Client Consent and Referral - Consent

Complete the **Entities with Disclosure**

Agreements. If your agency has a pre-established Agency Disclosure Agreement, it will automatically appear here.

5. **Disclosed To Agency:** Select the agency you will share information with (only one agency per consent is allowed). If you choose a specific facility, only that facility will see this client's data. Therefore, you may wish to leave the default "All Facilities."
6. If you choose to document a disclosure to an agency NOT using SMART, choose "No" for system agency. Nothing will share electronically to that agency.
7. Enter the **Purpose For Disclosure**.
8. **Consent Date:** There are two consent dates. The first is the earliest date of services to be consented. All items in the disclosure selection with an event date on or after this date will share. The date the client signed the consent is the date the client signed, and will pre-fill with the current date but this date may be changed.
9. The **Has the client signed the paper agreement form** field must be **No** until the client has signed the consent. Agencies can use their own paper consent form. However, it is possible to generate one from SMART. Clicking **Yes** is immediately allowed in SMART if the client has already signed the agency's paper form.
10. The **Client Information Options** elements govern which SMART modules will share to the other agency. They may be modified on a client by client basis using the mover boxes to add information to be shared or remove information from being shared. Note: an expiration date must be associated with each body of information selected in the consent.
11. Once the Screen is completed click **Save**.

If your agency has a consent policy setup, select the agency you would like to consent information from in the field **Entities with Disclosure Agreements**. Note: if All Other Agencies is an option in this drop down, select this, and then identify the Agency in the **Disclosed to Agency** field.

Only if there is a signed consent or the client has signed the paper agreement, click **Yes** to **Has the Client Signed the Paper Agreement Form**.

To save your consent and to make a referral using this consent, click **Save**.

To exit the Consent module and not make a referral, click **Finish**.

Client Consent and Referral

Consent (cont'd)

13. To generate a SMART consent form for the client to sign, click **Print Report**. The consent will then appear in a PDF format. If the user's agency has its own consent form which governs release of information, the agency may not choose to print the SMART release.
14. Print the consent and obtain the **Client** and **Witness** signatures. A hard copy of the consent may be placed in the client's file.
15. Once the client's signature is obtained, return to the **Consent** screen to change the **Has the Client signed the paper agreement form** answer from **No** to **Yes** then click **Finish**.

Note: By clicking **Yes** and saving the record, the record becomes uneditable and this consent must be revoked and a new consent must be established if any changes must be made. At this point, information has been disclosed to the other agency.

16. **Revocation:** A client may revoke a consent prior to its expiration. To revoke a consent, click **Revoke** at the bottom of the screen. The status of the consent will change to **Revoked** on the **Activity List**.

Note: Revocation is not retro-active. Whatever information that was already shared prior to revocation will continue to be shared.

17. **Create a Referral using this Consent:** Click **Create Referral Using this Disclosure Agreement** hyperlink or go to the menu tree and click **Referrals** and then **Add New Client Referral Record** hyperlink.

SMART Consent Report Generated: 07/30/2010

CONFIDENTIALITY OF ALCOHOL AND DRUG ABUSE PATIENT RECORDS

The confidentiality of alcohol and drug abuse patient records maintained by this program is protected by Federal law and regulations. Generally, the program may not say to a person outside the program that a patient attends the program, or disclose any information identifying a patient as an alcohol or drug abuser unless:

- (1) The patient consents in writing; OR
- (2) The disclosure is allowed by a court order; OR
- (3) The disclosure is made to medical personnel in a medical emergency or to a qualified personnel for research, audit, or program evaluation; OR
- (4) The patient commits or threatens to commit a crime either at the program or against any person who works for the program.

Violation of the Federal law and regulations by a program is a crime. Suspected violations may be reported to the United States Attorney in the district where the violation occurs. Federal law and regulations do not protect any information about suspect child abuse or neglect from being reported under state law to appropriate state or local authorities.

(See 42 U.S.C. Sec. 29002-2 for Federal law and 42 CFR Part 2 for Federal regulations.)
Legal Action Center, (1996) Handbook on legal issues for school-based programs; pp. 71, 72, & 74. New York: Author.

CONSENT FOR RELEASE OF CONFIDENTIAL INFORMATION

I, Hank McCoy, authorize Gilmore Agency (Training Agency) to disclose to House of Steels (Training Agency) the following information:

- Admission (Until Discharge, +30 days)
- DENASL (Until Discharge, +30 days)
- DENASL Assessment (Until Discharge, +30 days)
- Client Information (Profile) (Until Discharge, +30 days)
- Discharge (Until Discharge, +30 days)
- Drug Test Results (Until Discharge, +30 days)
- ECourt Admission (Until Discharge, +30 days)
- ECourt Charge Received (Until Discharge, +30 days)
- ECourt Criminal Justice (Until Discharge, +30 days)
- ECourt Case Management (Until Discharge, +30 days)
- ECourt Discharge (Until Discharge, +30 days)
- ECourt Education History (Until Discharge, +30 days)
- ECourt Employment History (Until Discharge, +30 days)
- Encounter Detail (Until Discharge, +30 days)
- Intake Transaction (Until Discharge, +30 days)
- Miscellaneous Note Detail (Until Discharge, +30 days)
- Treatment Plan (Until Discharge, +30 days)
- Treatment review (Until Discharge, +30 days)

Other Disclosures

The purpose of the disclosure authorized herein is to: Substance abuse treatment

Requested: Account53, Training, 123 Gilmore Street 1 of 2 Confidential and Proprietary

Criteria: Client Name = Hank McCoy // Client ID = M0323689087MC // Agency Name = Gilmore Agency (Training Agency) // Intake Facility = 123 Gilmore Street // Case Number = 1

SMART Consent Report Generated: 07/30/2010

I understand that my records are protected under Federal regulations governing Confidentiality of Alcohol and Drug Abuse Patient Records, 42 CFR Part 2, and the Health Insurance Portability and Accountability Act of 1996 (HIPAA), 48 C.F.R. Pts. 150 & 154 and cannot be disclosed without my written consent unless otherwise provided for in the regulations. I also understand that I may revoke this consent at any time except to the extent that action has been taken in reliance on it, and that in any event this consent expires automatically as indicated with each disclosure. I understand that disclosure of information to the (Training Agency) may not condition my treatment. I have read and understand the above information and I have signed this consent form. I do not sign a consent form if I am a minor.

Signature of participant _____ Date: 7/30/2010

Signature of witness _____ Date: _____

Signature of parent, guardian or authorized representative when required _____

PERMISSION ON REDISCUSSION OF INFORMATION CONCERNING CLIENT IN ALCOHOL OR DRUG ABUSE TREATMENT

This codebook contains information concerning a client in alcohol/drug abuse treatment, made to the consent of such client. This information is not to be used for any other purpose without the written consent of the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. The Federal rules prohibit you from making any further disclosure of this information unless you have the written consent of the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for the release of medical or other information is NOT sufficient for this purpose. The Federal rules restrict any use of the information to identify, investigate or prosecute any alcohol or drug abuse patient.

Requested: Account53, Training, 123 Gilmore Street 2 of 2 Confidential and Proprietary

Criteria: Client Name = Hank McCoy // Client ID = M0323689087MC // Agency Name = Gilmore Agency (Training Agency) // Intake Facility = 123 Gilmore Street // Case Number = 1

The client can sign the consent form here.

To make a referral using this consent, click **Create Referral Using this Disclosure Agreement**

To generate a paper copy of the consent for the client to sign, click **Print Report**.

SMART User: Snavely, Kathleen Loc: Middle Earth Tx Clinic (Training), Gandalf Lane Client: Finch, Jeremy | M110355555F | Case #: 1

Client Disclosure Agreement

Note: Consented information may not be redisclosed.

Client Name: Finch, Jeremy Client ID: M110355555F

Disclosed From Agency: Middle Earth Tx Clinic (Training)

Entities with Disclosure Agreements

- Disclosed To Agency Z: Peace World
- Disclosed To Entity (Non System Agency)

Purpose for disclosure: Cascaf

Consent Date: 12/10/2009

Has the client signed the Yes

Client Information Options

- ADAD
- Admission
- Behavioral Health Assessment
- Client Screening
- Client SSI-SAI Screening
- Continuing Care Check Up
- Court Monitoring 8-505 Evaluation
- Court Monitoring 8-507 Treatment
- Court Monitoring Current Criminal
- Court Monitoring Requirements to DENASL Assessment

Consent Expires Upon

- Discharge(UD) +Days
- Date Signed(DS) +Days
- Other Event(OE) Exp
- Crm Just Cond (CJC) Exp

Disclosure Selection

- Client Information (Profile) (UD, +1)
- Drug Test Results (UD, +1)
- ECourt Case Management (UD, +1)
- ECourt Criminal Justice (UD, +1)
- Intake Transaction (UD, +1)

Comments

Other Disclosures

Buttons: Finish, Revoke

Top right button: Create Referral Using this Disclosure Agreement

When complete, click **Finish**.

If information was shared incorrectly, click **Revoke**.

Client Consent and Referral Referrals

1. The client disclosure agreement allows you to create a referral for the client. Users will now see that many of the fields on the referrals screen are pre-populated.
2. The easiest way to create a referral is to click the hyperlink on the consent form to “**Create referral using this disclosure agreement.**”
3. **Referred By** column: Select a **Reason** for the referral from the drop down box. Select **Yes** or **No** for **Is Consent Verification Required?** and **Is Consent Verified?**. Enter any comments you wish to share with the agency you are making the referral to in the **Comments** box.
4. **Note:** DPP A&P Traffic Unit, please enter the referral source in the comments section.
5. **Referred To** column: Enter the Facility, the Staff, the Program, and the Appointment Date (if known). Review the **Consents Granted** to ensure this is the correct consent.
6. Click the **Save** or **Finish** button.
7. Once you have clicked the **Finish** button the referral is automatically sent, and you will be taken to the **Client Referral Link** screen.
8. Referrals coming into and leaving your agency can be tracked by accessing **Referrals** from the **Agency** section of the menu tree (**Referrals In** or **Referrals Out**).

The screenshot shows the SMART Client Referral for Finch, Jeremy. The form is divided into several sections:

- Referred By:** Agency (Middle Earth Tx Clinic (Training)), Facility (Gandalf Lane), Staff Member (Snavelly, Kathleen), Program (), State Reporting Category (), Reason (Drug Court Referral), If Other (), Is Consent Verification Required? (Yes), Is Consent Verified? (Yes).
- Referred To:** Signed Consents (Z Peace World), Agency (Z Peace World), Facility (Hope Street), Staff Member (), Program (Outpatient Treatment), State Reporting Category (), Non-System Agency (), Non-System Modality (), Non-System Specifier (), Appt Date (), Consents Granted (), Consent Date: 12/10/2009, Disclosure Domains: Client Information (Profile) (UD, +1), Drug Test Results (UD, +1), ECourt Criminal Justice (UD, +1), ECourt Case Management (UD, +1), Wake Transaction (UD, +1).
- Comments:** A text area for entering comments, highlighted with a red circle.
- Referral Status:** Referral Created/Pending.
- Projected End Date:** 11/22/2010 11:26 AM.
- Buttons:** Cancel, Save, and Finish (circled in red).

A red arrow points from the 'Comments' section to the 'Finish' button.

Enter the referral source in the **Comments** section and other comments (DPP A&P Traffic Unit are required to enter referral source here)

When the Referral screen is complete, click **Finish**.

Client Consent and Referral

Accepting Referrals (Referrals In)

1. Accepting client referrals is considered an Agency function. Click 'Agency' from the left menu tree.
2. To view referrals made to your agency, click **Referrals In**. To begin, select the Referral Status Codes and move them to the Search Criteria box (using the arrow). Then click **Go**. This will generate a list of clients referred in to your facility by status code.
3. To view a referral, click **Review** next to the appropriate client.
4. This will generate the **Referral** screen displaying the referral information, including any comments entered by the referring agency.
5. To accept a referral, select **Placed/Accepted** for **Referral Status**. Enter the **Appointment Date** and status (if known). Or you may select another **Referral Status**.
6. **Note:** If the client already exists in your agency, select **Rejected by Program**. This removes the referral from the Referrals Created/Pending list, and you will still be able to view the consented information by the referring agency.
7. To view the information the referring agency agreed to share with you, use the scroll bar to view consented information under 'Consents Granted'.
8. Click **Finish**. This will take you immediately to the Client Profile screen. Once a case is accepted, follow the procedures for entering client data in your agency.

Select the Referral Status Codes you would like to display and move it to the Search Criteria box, then click **Go**.

Actions	Client ID	Client Name	DOB	Created Date	Referring Agency/Facility	Referred To Modality	Referral Status	Ref to Facility	Referral Comments
Review	M1222345544FI	Finch, Jeremy	12/22/1934	10/14/2008	Z Peace World/Driver Street	I - Outpatient Treatment	Referral Created/Pending	Gandalf Lane	

Referral Status: **Referral Created/Pending**

Projected End Date:

Created Date: 10/14/2008 10:05 AM

Select a **Referral Status**. If you wish to accept the referral, select **Placed/Accepted**. If the client already exists in your agency, select **Rejected by Program**, to avoid creating duplicate clients.

Types of information consented to your agency can be viewed here.

Click **Finish** when done.