UNIVERSITY OF MARYLAND
INSTITUTE FOR GOVERNMENTAL SERVICE & RESEARCH

MARYLAND DEPARTMENT OF HEALTH AND MENTAL HYGIENE

SMART Tip Sheets
Client Consent and Referral

Client Consent and Referral

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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.

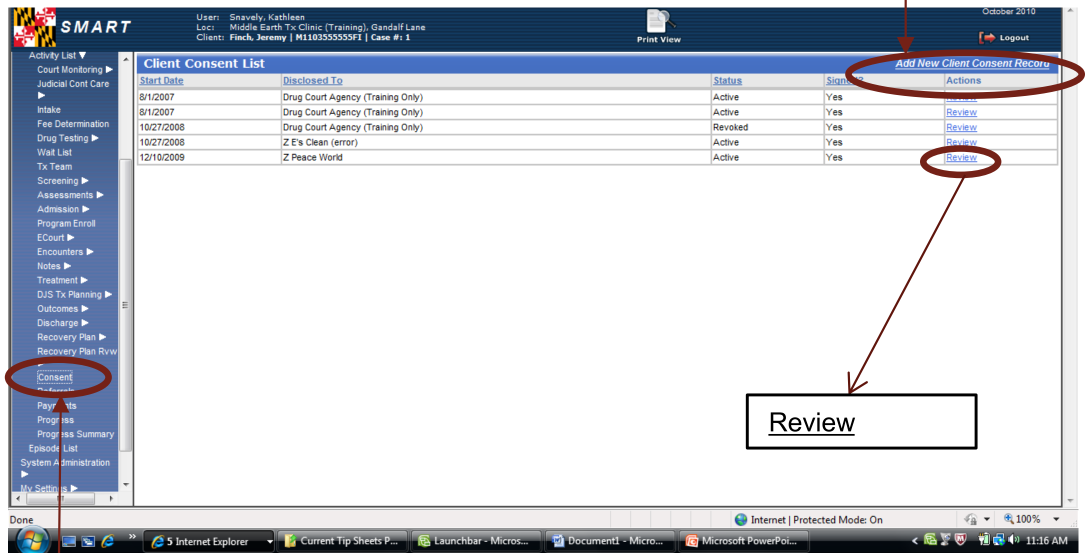
2. Consents are required before sharing any information about a client with anyone outside the agency. In SMART, an independent consent/disclosure must be established before information can be shared.

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 If a client consent has been revoked, it will be noted in the Status.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**.



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**.

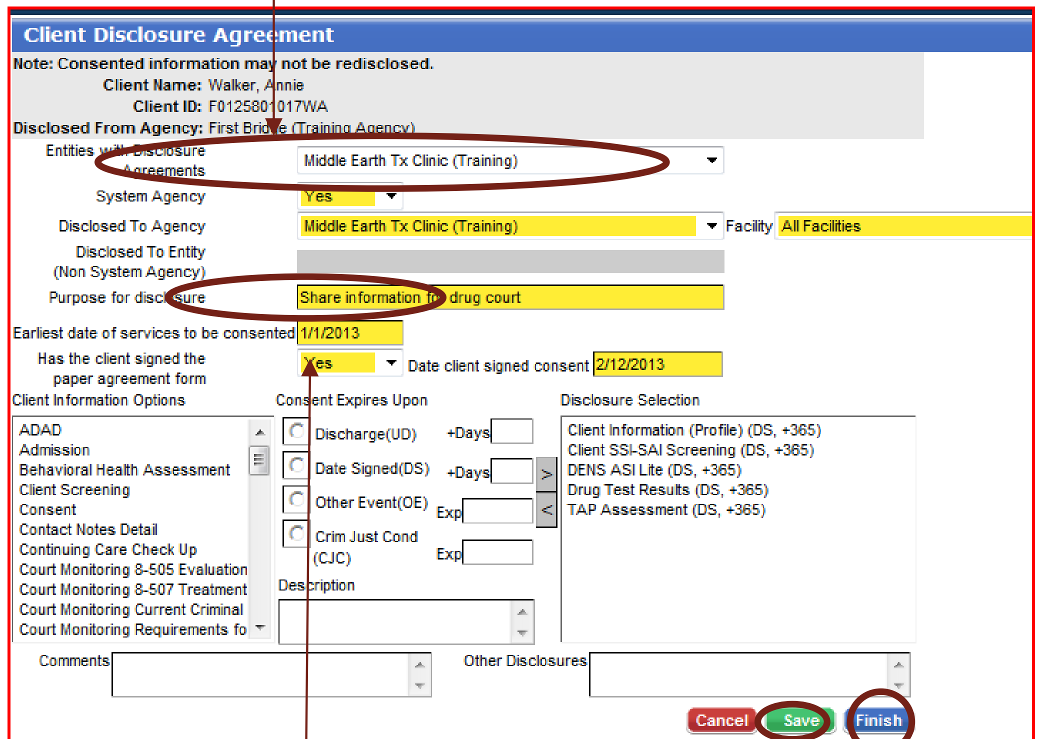
8. **Consent Date**: There are two consent dates. The first is the earliest date of services to be consented. All items in the disclosure selection with an event date on or after this date will share. The date the client signed the consent is the date the client signed, and will pre-fill with the current 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 **<u>Yes</u>** 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 **<u>Save</u>**.

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 **<u>Yes</u>** to **Has the Client Signed the Paper Agreement Form**.

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

To exit the Consent module and not make a referral, click **<u>Finish</u>**.

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.

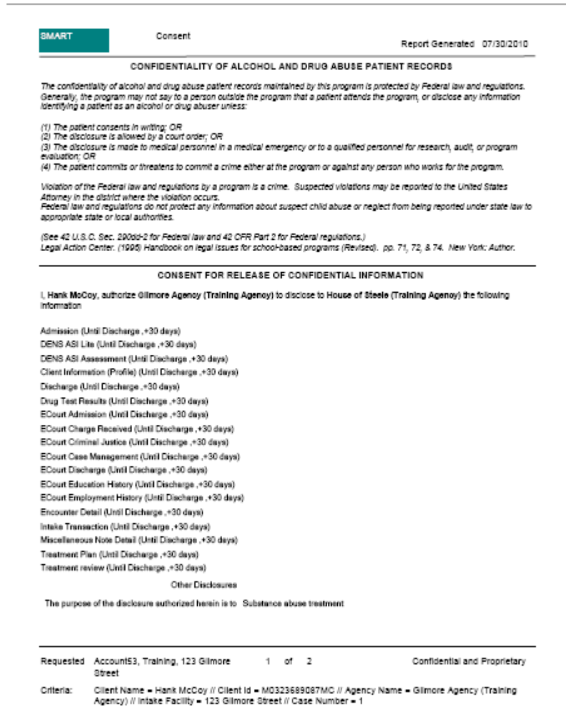
14. Print the consent and obtain the **Client** and **Witness** signatures. A hard copy of the consent may be placed in the client's file.

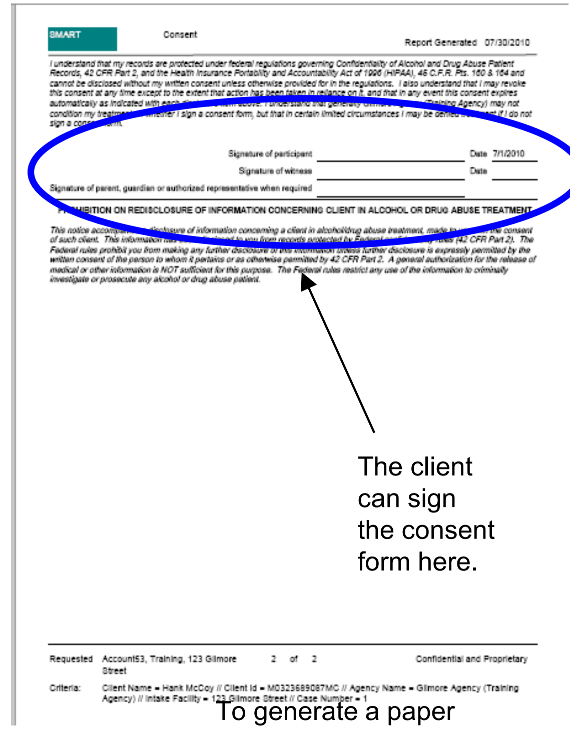
15. Once the client's signature is obtained, return to the **Consent** screen to change the **Has the Client signed the paper agreement form** answer from **No** to **Yes** then click **Finish**.

    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.

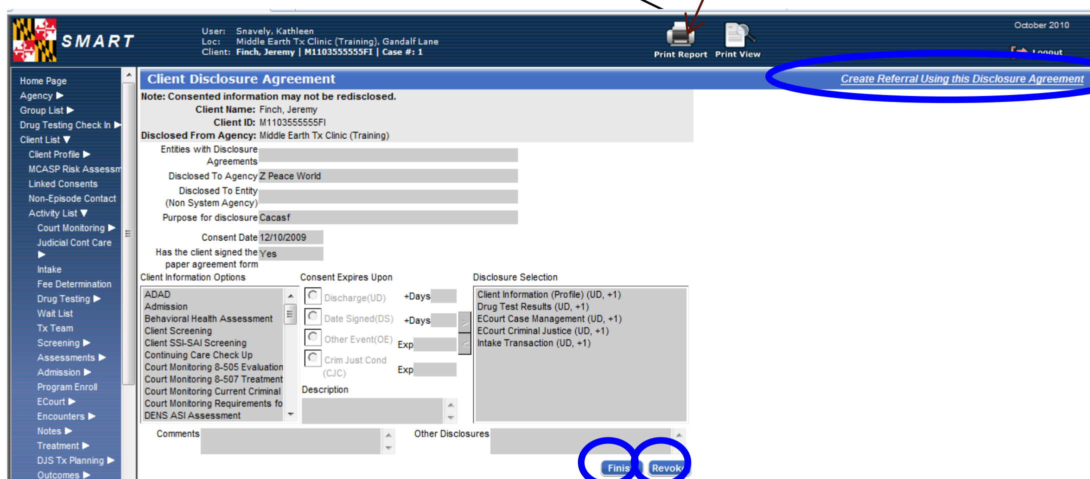




The client can sign the consent form here.

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

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



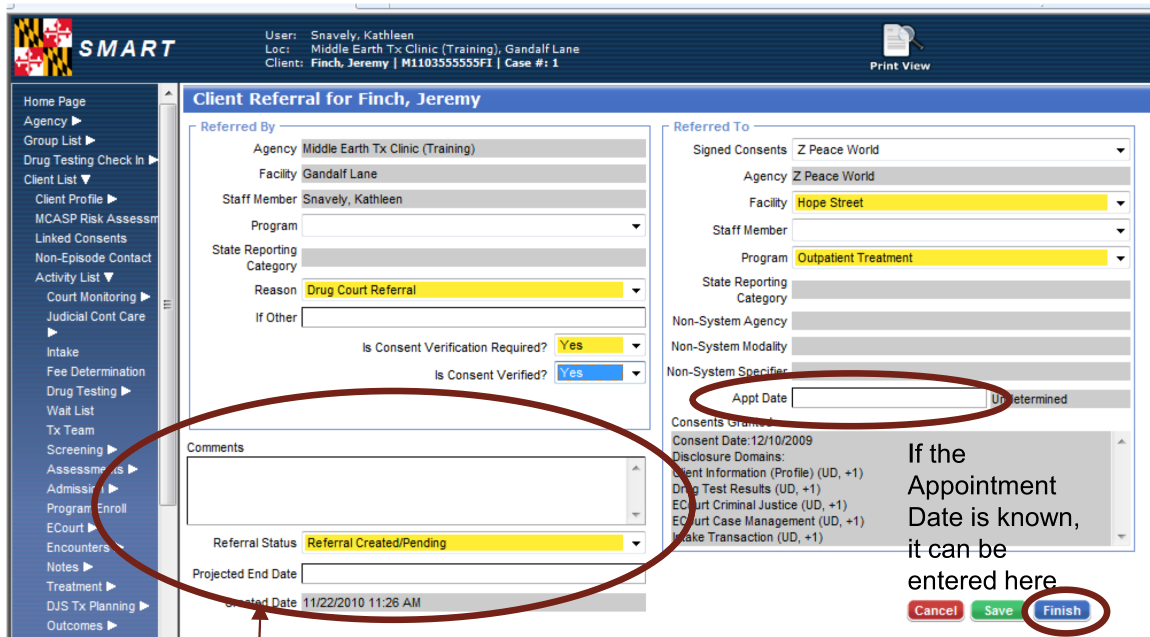
When complete, click **Finish.**

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**).



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

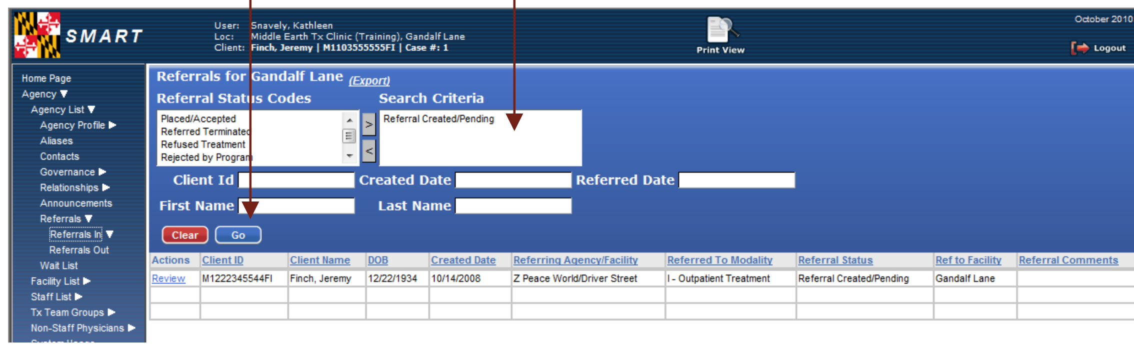
When the Referral screen is complete, click **Finish.**

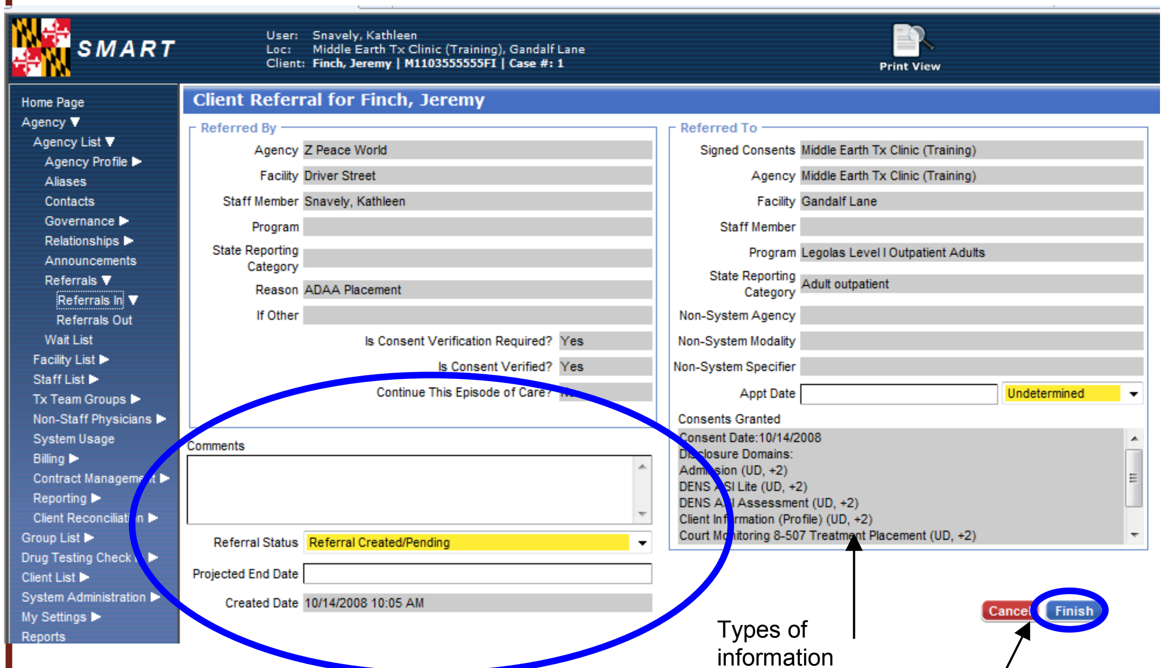
Client Consent and Referral

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**.





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.