



DIVISION OF DEVELOPMENTAL DISABILITIES
Olympia, Washington

TITLE: STATE OPERATED LIVING ALTERNATIVES (SOLA) POLICY 6.03
PROGRAM DOCUMENTATION REQUIREMENTS

Authority: Chapter 388-101 WAC *Community Residential Services and Supports*

PURPOSE

This policy defines minimum standards for *Participant Notes* and *Staff Daily Log Books* used to communicate and document important information essential for participant services and home management.

SCOPE

This policy applies to all State Operated Living Alternatives (SOLA) employees of the Division of Developmental Disabilities (DDD).

DEFINITIONS

Participant means an individual who is receiving residential services and supports provided by the SOLA Program.

Participant Notes means a log in which SOLA staff document information that accurately reflects each SOLA participant's life.

Staff Daily Log Book means a book in which SOLA staff report information that is vital and/or pertinent to home management.

POLICY

- A. Each SOLA program will maintain separate log books referred to as *Participant Notes* and *Staff Daily Log Books*. All documentation in these log books must be made according to the procedures established in this policy.

- B. SOLA staff must treat *Participant Notes* and *Staff Daily Log Books* as official legal records and must not remove, deface, alter, or delete pages.
- C. SOLA staff will receive program documentation training upon initial hire and then annually, or more frequently as needed.

PROCEDURES

A. Participant Notes

1. **Content:** Staff must record information that is important in a participant's life, including, but not limited to, the following:
- Individual Instruction and Support Plan (IISP) goals;
 - Outings or activities;
 - Factual observations;
 - Direct participant quotes that require management's attention;
 - Any request for medical attention;
 - Special health care instructions and health status reports;
 - Medication changes;
 - Participation in daily living activities;
 - Change in participant status (e.g., job/employment status, vacation, significant family changes, etc.);
 - Follow up actions regarding any significant events or situations; and
 - Any unusual situations or circumstances.

Note: *Participant Notes should not be used to communicate among staff or document employee performance issues.* For example, if follow up with a doctor is necessary, it is acceptable to enter: "*MD will be contacted re: increase in seizures noted here*" or "*Follow up with MD resulted in change in prescriptions.*" It is not appropriate to put direct instructions to staff in the *Participant Notes*. For example, a notation such as "*AC2s, please contact doctor re: increase in seizures and let me know what happens*" should be entered in the *Staff Daily Log Book*.

2. Only SOLA employees may document in the *Participant Notes*. See Section C of this policy for rules on how to make entries. All other professionals must report using "SOLA Participant Note Stickers."
3. At the beginning of their shift, Attendant Counselors (AC) must read the *Participant Notes* from the previous three shifts and initial and date that they have done so.
4. Each shift must make at least one entry every day for each participant in the home. A minimum of three (3) entries in a 24-hour period must be made, unless something occurs that requires additional entries.

5. If a staff fails to document, the staff must make a late entry and identify it clearly as a late entry in the beginning of the “comment section” in the *Participant Notes*.
6. Attendant Counselor Managers (ACM) will review all *Participant Notes* weekly to ensure compliance with policy requirements. The ACM must make an entry in the *Participant Notes* that he/she has reviewed the participant’s chart. Refer to *SOLA Documentation Training Guide* for additional guidelines.
7. Any concerns about client services discovered in the ACM’s review must be addressed by the ACM with the appropriate staff working in the participant’s home and other appropriate professionals if warranted. Within three (3) calendar days, the ACM must document in the *Participant Notes* how the client concern will be addressed and make timely entries as to the progress of addressing any concerns indicated.
8. Copies of *Participant Notes* may be sent to the participant’s legal representative upon request.

B. Staff Daily Log Books

1. Content: Staff must record information that is important to house management, including, but not limited to, the following:
 - Changes in participants’ schedules;
 - Special instructions from manager;
 - Scheduled medical appointments;
 - Visiting family members or friends of participants;
 - Pertinent information that was charted in the *Participant Notes* (e.g., “See Jane’s Participant Notes for today”);
 - House and/or vehicle repair issues;
 - Staffing changes;
 - Activity reminders; and
 - Any issues regarding clients’ pets.
2. Staff must make all entries according to the rules for making entries in Section C of this policy.
3. All Attendant Counselors must read the *Staff Daily Log Book* at the beginning of their work shift and initial and date that they have done so.

C. Rules for Making Entries

1. All entries must be neat, legible, and in permanent ink only.

2. When making an entry, staff must ensure that:
 - a. The staff's name is clearly legible;
 - b. The date (month/day/year) and time are noted; and
 - c. They sign their full name and include their job title.
3. In situations involving multiple participants, staff must use only the first name of the participant that they are documenting for and refer to other participants as "housemate(s), "friend" or "another program participant."
4. Staff must make corrections by crossing through errors with one line and initialing the corrections.

D. Archiving Participant Notes and Staff Daily Log Books

1. *Participant Notes* will be removed according to the regional archiving schedule and stored in the SOLA Program office.
2. *Staff Daily Log Books* will be removed monthly and retained in the SOLA Program office.
3. Follow requirements of Chapter 388-101 WAC for record retention.

EXCEPTIONS

No exceptions to this policy may be granted without the prior written approval of the division director.

SUPERSESSION

DDD Policy 6.03
Issued January 2, 2007

DDD Policy 6.03
Issued October 29, 2002

Approved: /s/ Linda Rolfe
Director, Division of Developmental Disabilities

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