Substance Use Disorder Information System

ProviderConnect NX

Document Routing and Appending Job Aid

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Introduction

With the move to Sage-ProviderConnect NX, additional functionality exists where certain clinical documents can be:

- Routed to a "supervisor" for co-signature/approval/review, and/or,
- Appended.

This guide will demonstrate each process and provide intended workflows for when, and when not to utilize these new Sage functions.

Document Routing is a specific function that allows the author to finalize certain forms, as configured by SAPC, and route or forward the ensuing document to a supervisor for final signature. It is the supervisor's signature that makes the document officially final and valid. Document Routing allows for a more efficient approval workflow for a supervisor's co-signature/approval, or other reasons why the author of a document may want their document reviewed.

Document Routing status can be either Final (accepted and signed by the approver/supervisor), Pending (pending review from the approver/supervisor) or Rejected (reviewed by the approver/supervisor and returned to original author for corrections). Rejected documents are automatically placed in draft status to allow for the author to make necessary changes.

When Document Routing, the term "supervisor" is used when choosing the individual to whom the routed document will be sent for review and approval. However, documents can be routed to other individuals on the document author's team/agency, for any reason. Reasons for routing may include:

- DMC or SAPC Contractual:
    - All Clinical Trainees must route all document routing enabled documents to their **supervisor** for review, approval, and co-signature.
- Agency specific:
    - The agency may require the documents of all new employees be reviewed, approved and co-signed regardless of position; or
    - Staff who do not have the necessary credential to finalize required documents (Medical Necessity Justification Progress Note & Problem List/Treatment Plan); or,
    - A document's author may want someone on their team to review and sign off on a document and document routing provides a way for that individual to send the document to a teammate for review/sign off.
    - In these three examples, the document is being routed to an individual at the agency, whether that individual is the author's actual supervisor, or another staff member at the agency who will "approve" the document.

Within this job aid the words supervisor and approver are used interchangeably, but as noted above, many documents will be routed to the author's actual agency supervisor who is required to review, approve, and co-sign the document.

The **Append Document** function will allow providers to add comments to correct/clarify a finalized document which will become part of the permanent medical record by adding "appended" comments, which will appear at the bottom of the document. Appending a document does not edit the original document. Note that if the appended correction will impact claiming of the service, such as the date of service or duration, those changes will still require the Final to Draft workflow as appended comments will not populate to any of the reports used for billing.

While there are some forms/documents that cannot be routed or appended, such as the ASAM assessments, SAPC has configured most clinical forms/documents to allow for routing, which are identified in this guide.

As a terminology reminder, the following Sage "forms," when opened, create "documents," which, when finalized, can then be routed for approval and/or be appended.

Forms Enabled for Document Routing and Appending

1. Discharge and Transfer Form
2. Drug Testing
3. Patient Medications
4. Problem List/Treatment Plan
5. Progress Note
6. Recovery Bridge Housing Discharge
7. Referral Connections
8. Service Connections Log
9. Youth and Young Adult Screener

Routing a Document to a Supervisor

Historically, when a document required a co-signature, as determined by DMC, SAPC or agency policy, the workflow has been to check the "Draft Ready to Submit?/Draft Complete – Ready for Finalization" box, which would populate to a report or to certain widgets within Sage.

This new document routing process will allow the author of the document to sign and finalize—in a pending approval status—then choose a supervisor to whom to send the document for final review and approval, thus eliminating the need to check the "Draft Ready to Submit?/Draft Complete – Ready for Finalization" box.

As providers begin to utilize document routing functionality, SAPC recommends that providers stop using the "Draft Ready to Submit?/Draft Complete – Ready for Finalization" box as SAPC plans on phasing out this choice in the future.

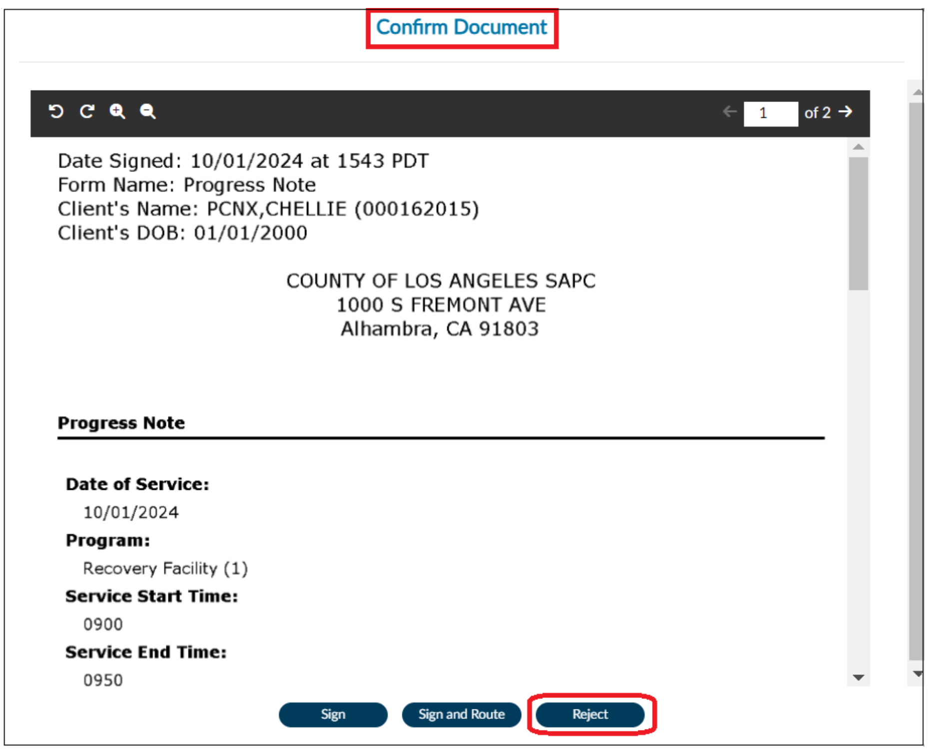
Document Author Workflow – Creating and Submitting a Document for Approval

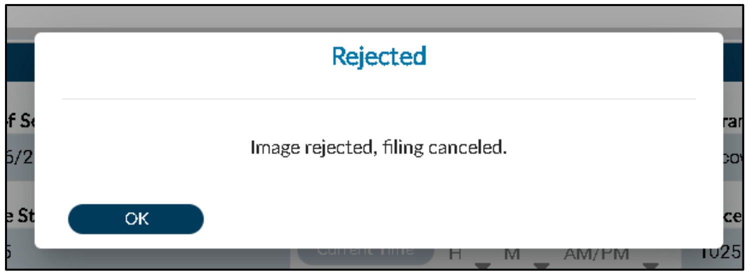
1. To begin the routing process for any of the enabled forms, the writer of the document must first finalize and submit the document. Documents in draft cannot be routed for review. This process

is only intended for completed documents to be routed for final review and signature by a supervisor.

2. Once the document is finalized, the user will be presented with a copy of the document in a tiff image for further review. The header reads “Confirm Document.” Users should review the document thoroughly to ensure no corrections are needed before finalizing and sending for co-signature/approval.

    a. While reviewing the finalized form, if needed corrections are found the user can then “Reject” the document, click “OK” in the pop-up box that appears and then the document will reopen for edits.
        i. Once rejected, the “Final” radio button will remain checked, however, the user can place the form back in draft by clicking the Draft radio button in the Form Status field.
        ii. All fields can be modified at this time, including dates of service.





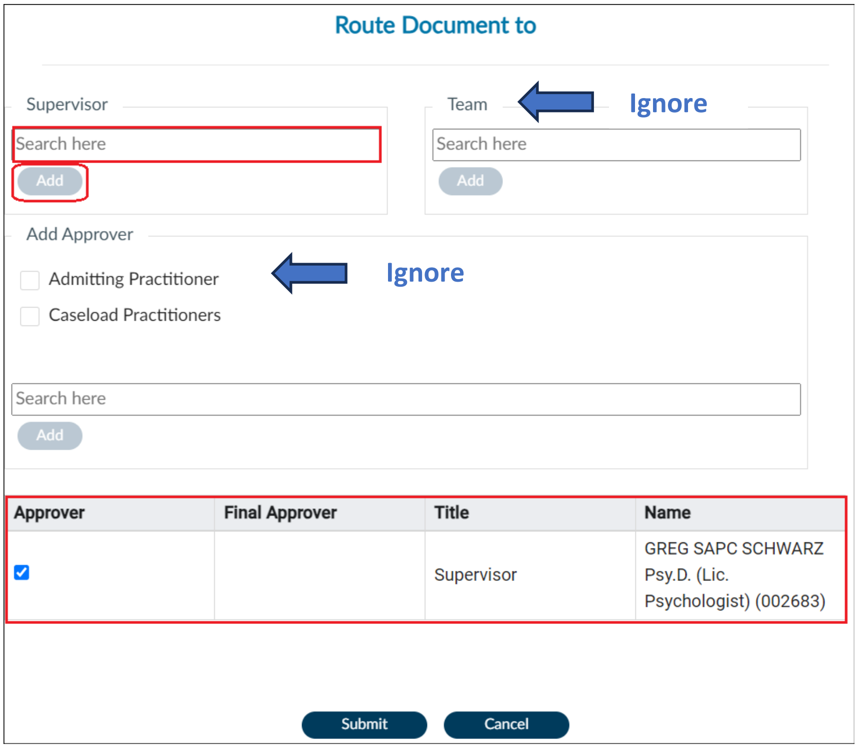
3. If no additional corrections are needed, and document Form Status is “Final” (either initially or after making corrections) **and** the document **DOES NOT** require a co-signature/approval by a supervisor:

    a. Then the user can click “Sign” which will finalize the document as normal.

4. If no additional corrections are needed, and document Form Status is “Final” (either initially or after making corrections) **and** the document **DOES** require co-signature/approval by a supervisor:

    a. Select the “Sign and Route” button which will open a new window to select the supervisor or approver.

    b. Enter the name of the supervisor, last, first, in the Supervisor field, then click “Add.” The person will then show in the Approver box below.

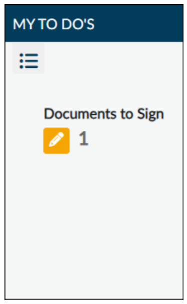


Note:

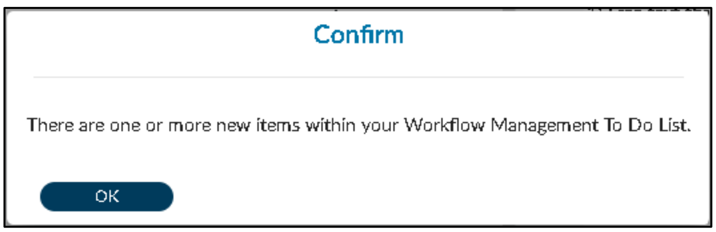
- *Documents can be routed to multiple approvers. When a document is routed to multiple approvers, the document will remain in "pending" status until all of the individuals to whom the document was routed approve the document. For that reason, SAPC* ***does not recommend*** *that users route a document to multiple approvers.*
- *In addition, there is a section to add Team and a section to Add Approver with the check box options of Admitting Practitioner(s) and/or Attending Practitioner(s) as approvers. Users should* ***ignore*** *these sections and the check box choices. The Team and Add Approver with check boxes sections cannot be disabled and should not be used.*

c. With the document routed to the appropriate approver/supervisor, click "Submit."
   i. Otherwise, clicking "Cancel" takes the user back to the Confirm Document tiff image (see above), giving the user the option to "Sign," "Sign and Route," or "Reject" again.

d. Once Submitted, the routed document will automatically create a To Do list item entitled "Documents to Sign" on the myDay view in the My To Do's widget for the supervisor entered as the Approver.

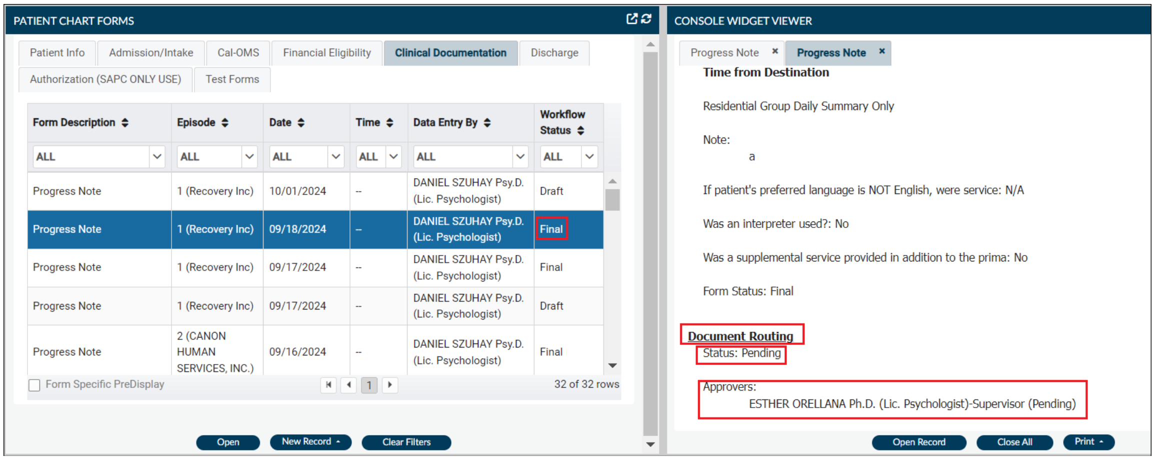


5. The Approver/Supervisor will receive a pop-up message the next time they log into PCNX as follows:



6. A new item on the Approver/Supervisor's My To Do's widget on the MyDay view of PCNX will automatically populate under Documents to Sign with a number corresponding to the number of documents that have been routed to that person.

7. Documents that have been routed (in Pending or Final status) are only visible using the Console Widget Viewer, which is currently on the All Docs/Chart view, and the Client Dashboard (see section below on Author Workflow 2 for how to view a rejected document).
    a. After choosing the routed document from the Patient Chart Forms it will display in the Console Widget Viewer displaying
        i. "Final" Form Status
        ii. "Document Routing"
        iii. "Pending" Status
        iv. "Approvers" to whom the document has been routed.

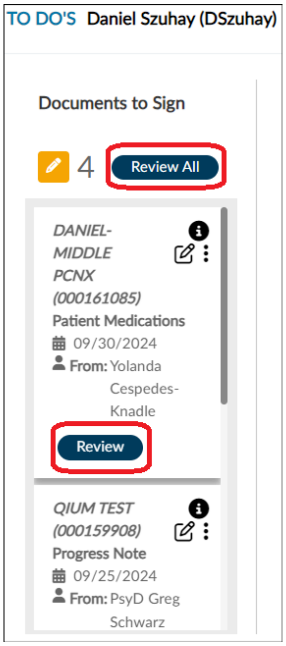


Approver/Supervisor Workflow – Reviewing and Accepting or Rejecting a Document

Reviewing and Accepting a Routed Document

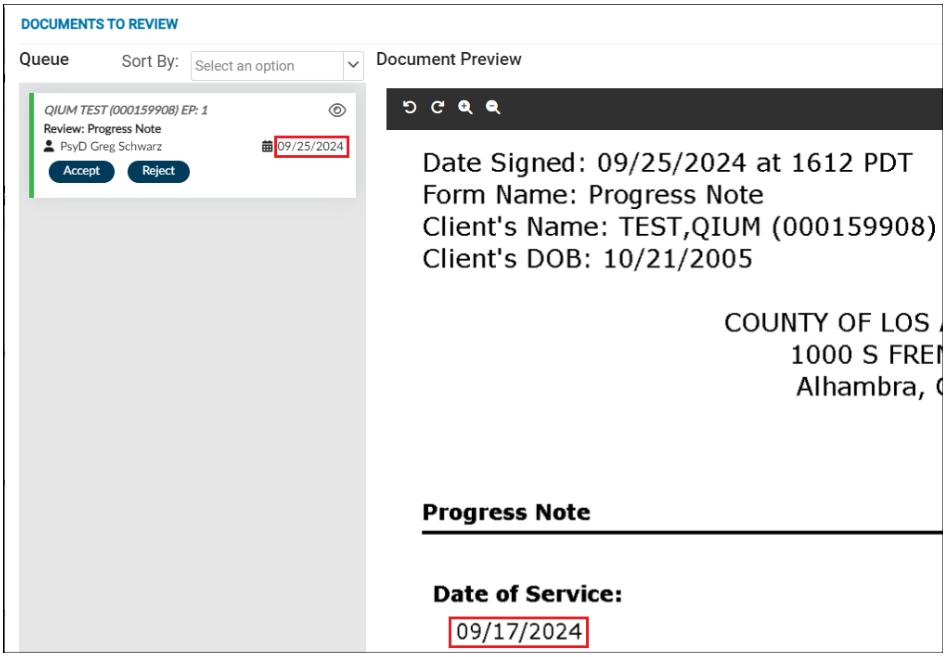
1. To show each document that is pending review and signature, from the My To Do's widget on the MyDay view of PCNX, the Approver/Supervisor can either:
   a. Click on "Documents to Sign" to open the review pane, or
   b. Click on the upper left menu item under MY TO DO's,

The supervisor can then click "Review All" to review all pending documents or click "Review" for each pending document.

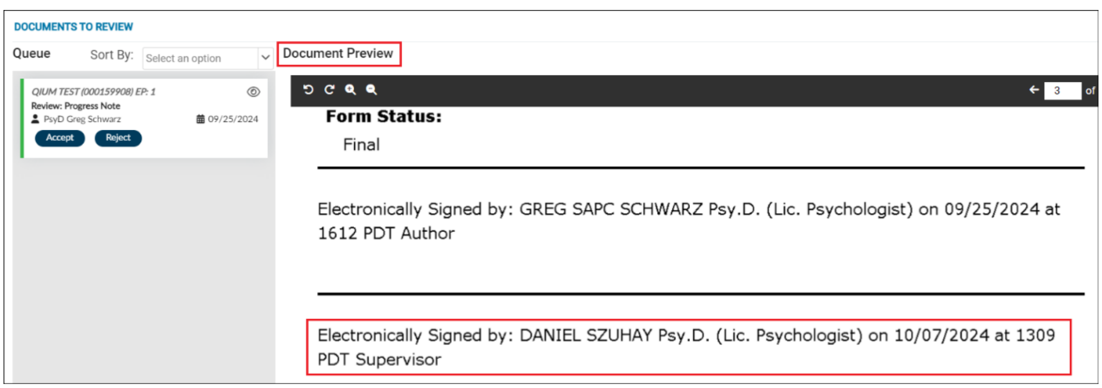


2. Choosing “Review All” or “Review” will load the Document Preview pane with document(s) for review. The document(s) are displayed as tiff image(s).

3. Once opened, within the Document Preview window, the supervisor can review the tiff image of each document. Some points to consider:
    a. The date shown in the “Documents to Sign” for each pending routed document is the date the document was signed and routed, which may be different than the Date of Service.

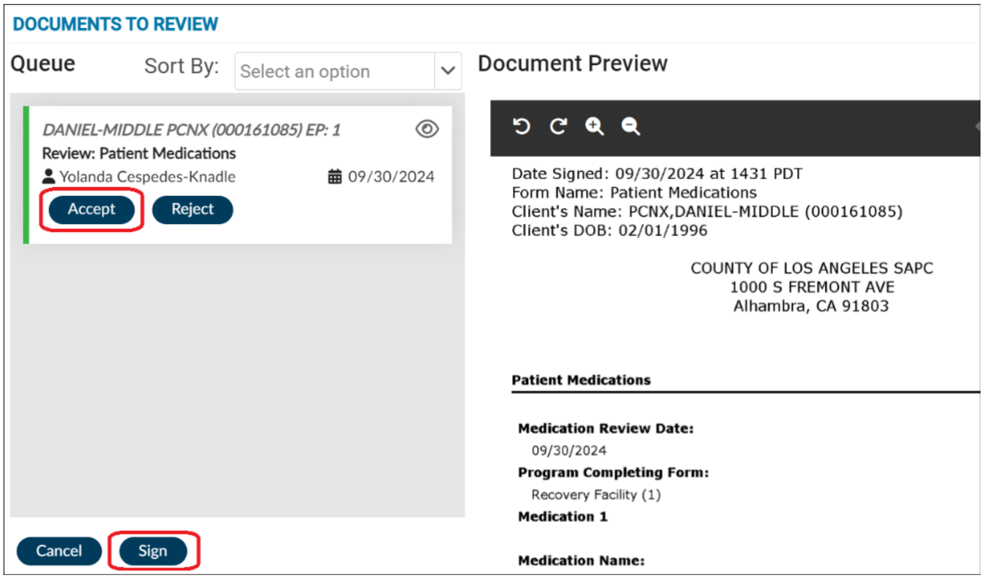


b. When viewing the document to be signed in Document Preview, prior to signing, the Tiff image displays what the document will look like AFTER the supervisor accepts and signs it. The Tiff displayed document image will not actually populate with the approvers electronic signature, date and time until AFTER the supervisor accepts AND signs at this step.



4. When reviewing a document routed for review/signature the approver can either accept and finalize the document or reject the document to send back to the author. When rejecting the document, the supervisor will have to add comments (detailed in the next section).

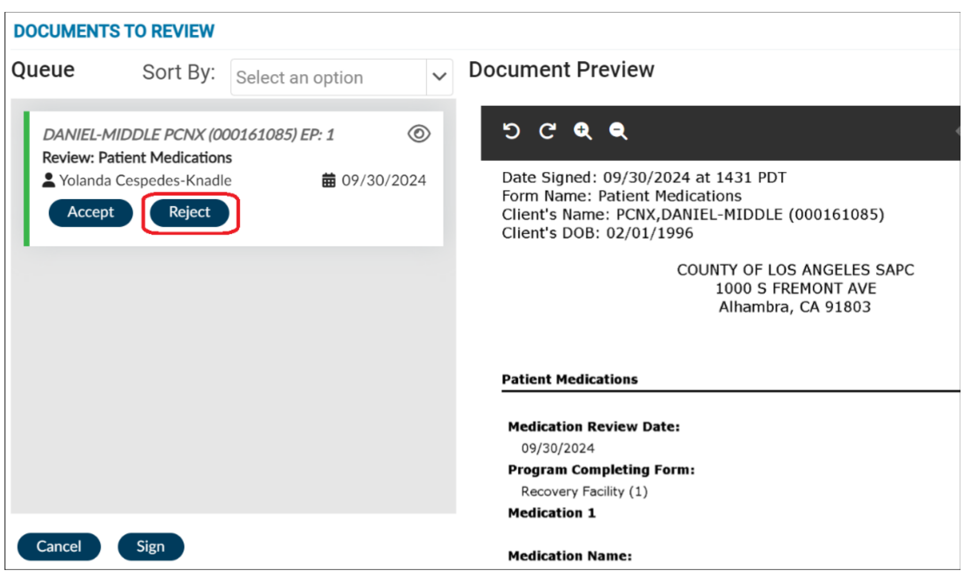
5. To accept and sign the document:
   a. Click “Accept” and “Sign.”
   b. Users must click “Accept” first, then click “Sign”. Accepting verifies that the supervisor approves of the document as shown, while “Sign” actually applies the electronic signature.



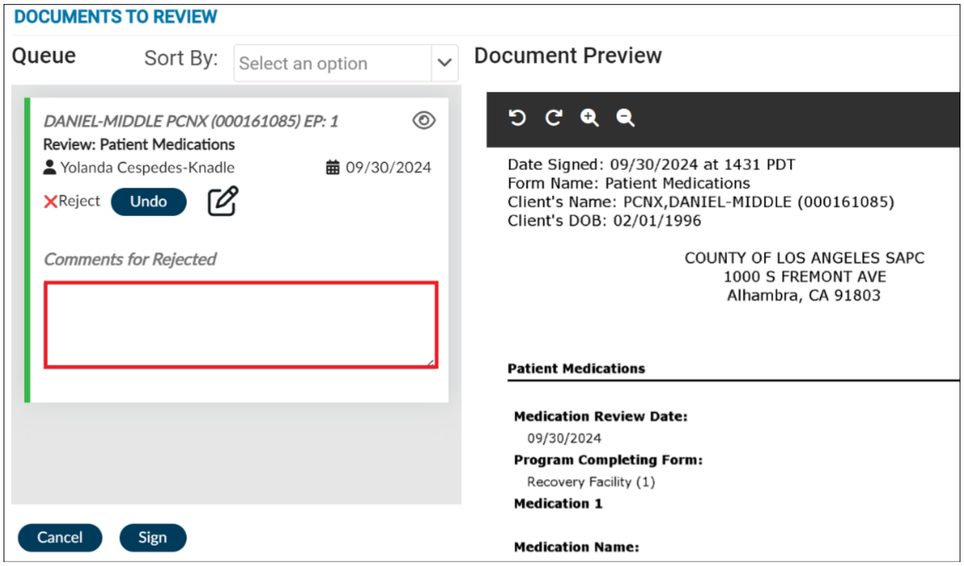
c. Once signed the document will be removed from the Supervisor's "Documents to Sign Icon."

Reviewing and Rejecting a Routed Document

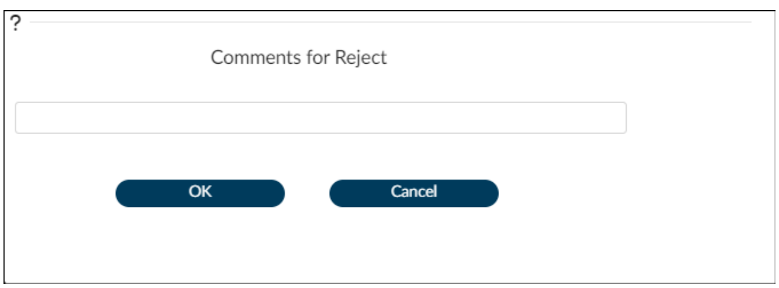
1. To reject the document:
    a. Click "Reject."



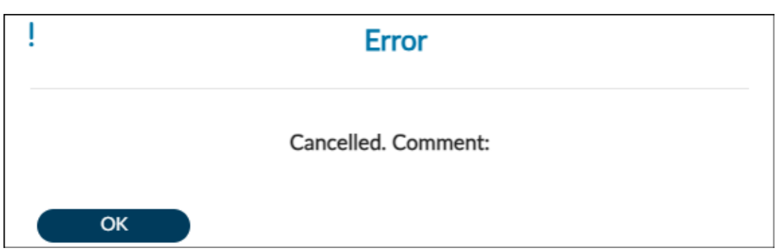
    b. After Rejecting, **a comment must be added**. The comment can be added in the box "Comments for Rejected." Then click "Sign." Note, that clicking "Sign" does not in fact sign the document, rather clicking "Sign" while rejecting the document completes just the rejection process for the supervisor.



c. If the supervisor does not add a comment before clicking "Sign" while rejecting, then another box will appear in which a comment will need to be added. Once a comment has been added, click "Ok."



d. Otherwise click "Cancel," which will display the following:



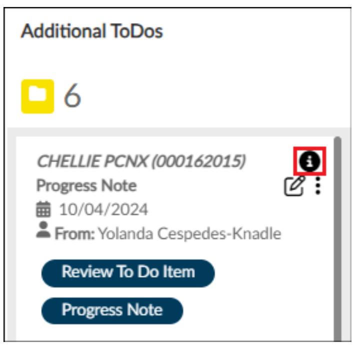
e. Clicking "Ok" will cancel the entire review/approval process and take the user back to the My To Do's widget on the MyDay view leaving the document in the supervisor's "Documents To Sign."

Document Author Workflow 2 – Revising and Resubmitting a Rejected Document

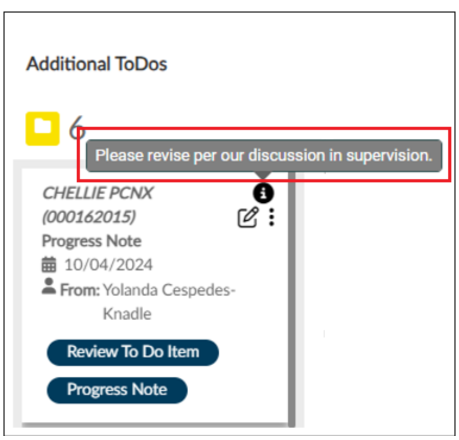
1. After the document has been rejected by the supervisor:

   A new To Do item will populate on the original author's To Do's under Additional ToDo's. The Additional ToDo's contain documents that have been routed and then rejected by a supervisor AND documents that have never been routed to a supervisor and have just been left in "Draft" Form Status.

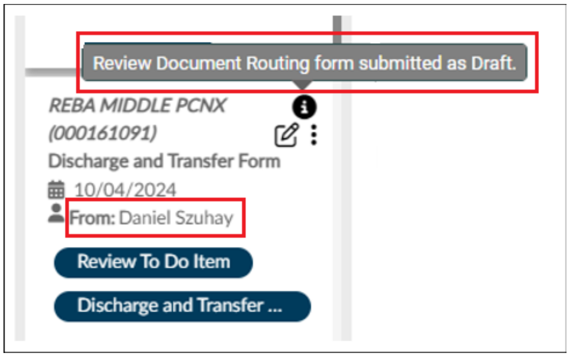
2. From the Additional ToDo's, the user can distinguish between which documents have been rejected and which have never been routed to a supervisor and remain in "Draft" Form Status by hovering the mouse over the lower-case "i" in the top right corner.



   a. If the document was routed and then rejected by the supervisor, when the user hovers the mouse over the lower-case letter "i" the comments written by the supervisor when they rejected the document will be displayed:



   b. If the document was never routed for a supervisor to review/sign and was just left in "Draft" Form Status, then the words "Review Document Routing form submitted as Draft" will be displayed due to the document having been routed to the user's ToDo widget. Another way to tell an Additional ToDos is left in Draft is the name in "From" will be the name of the user instead of the supervisor who rejected the document. (see below).



3. From the documents in the Additional ToDo's that were routed and rejected, the user can:
    a. Click on the "Review To Do Item," which will display the comments written by the supervisor for the rejected document (see 4 below).

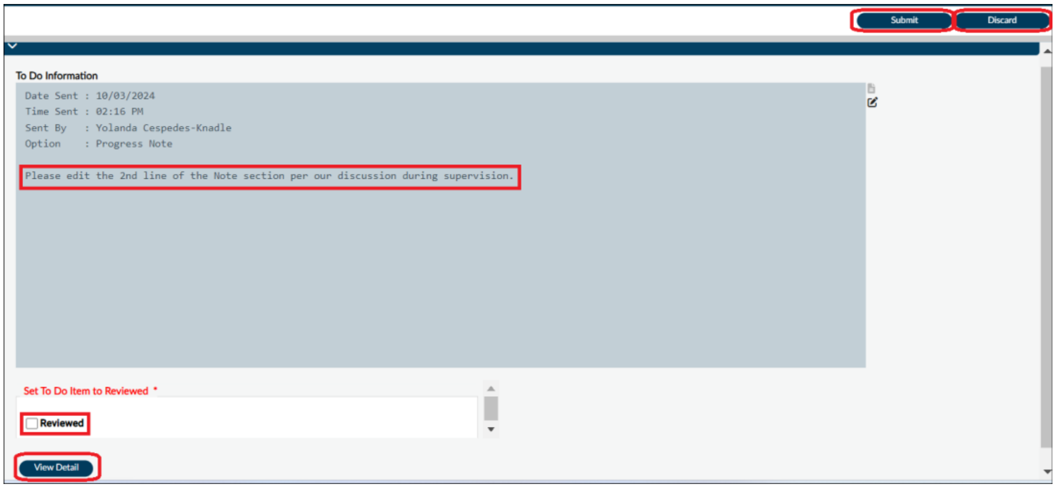
       Note that typically in SAPC trainings we discourage users from clicking on "Review To Do Item." However, with documents that have been routed and rejected there are only 2 ways to see comments left by the supervisor regarding the rejection, one described above by hovering the mouse over the lower-case "i" and the other by clicking on "Review to Do Item."

    b. Click on the "type" of rejected document (e.g. "Progress Note" in the example above) to be taken to the document, which will have reverted back to "Draft" Form Status for modification (see 5 below).

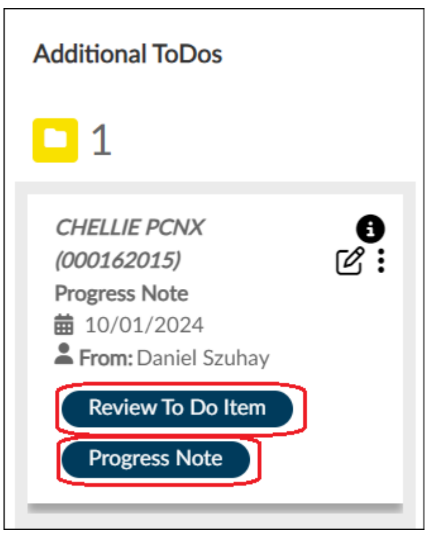
4. When the author clicks on "Review To Do Item" the author can see the comments written by the supervisor for the rejected document.
    a. Clicking on "Discard" will close this window, sending the user back to the To Do's list.

5. Clicking on "Reviewed" and then "Submit" removes the document from the user's Additional ToDos list with the document remaining in draft. This may result in the document not being finalized in a timely manner **and the rejection comments will no longer be viewable.**

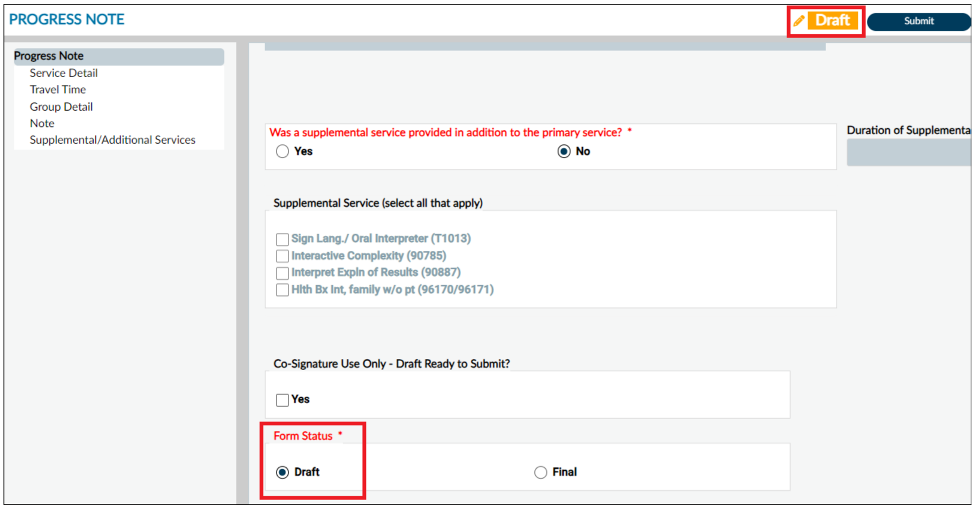
a. Clicking on "View Detail" will open up a new window displaying a txt version of the document.



6. By clicking on the "type" of rejected document (e.g. "Progress Note" in the example below):

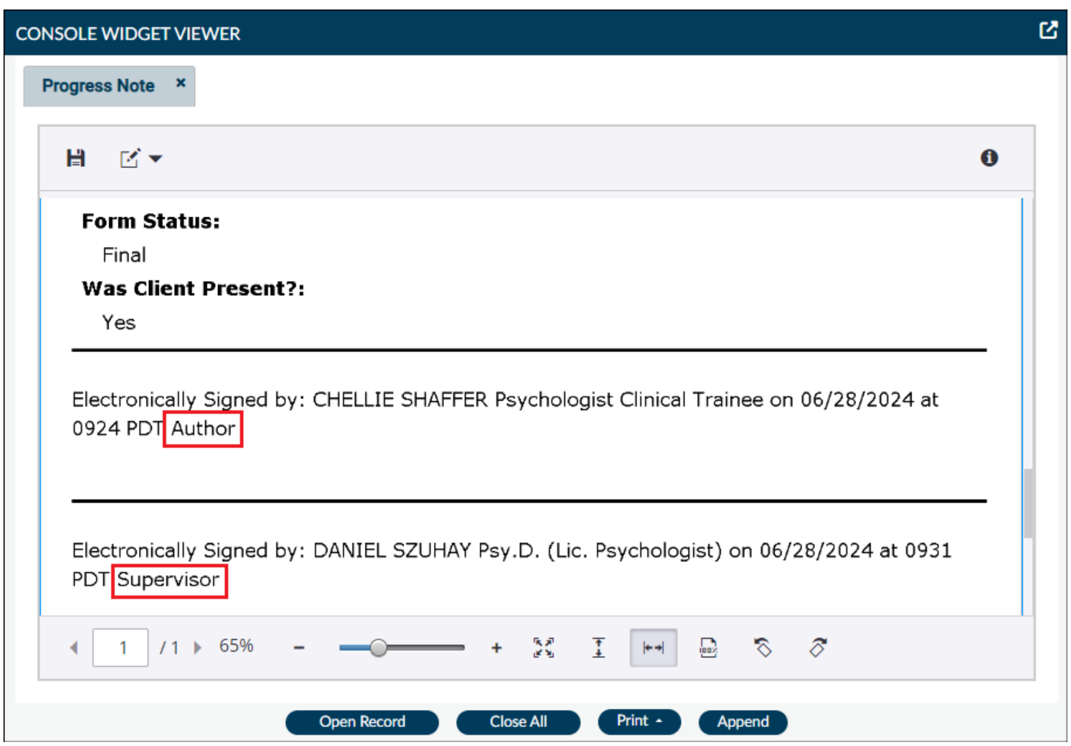


the user will be taken to the document, which will have reverted back to "Draft" Form Status for modification.



7. Once corrections are made the document will have to be re-finalized, re-submitted, and re-routed back to the supervisor for approval again.

8. Once a document has been successfully routed and approved, the electronic signatures for both the author of the document and the supervisor/approver will show on the document in the Console Widget Viewer in All Docs/Chart view, or the Progress Note Printout.



Appending Finalized Documents in Sage

Appending allows the user to update the content of clinical documentation easily without the need for a helpdesk ticket. With the **Append Document** function providers can add comments to correct/clarify a finalized document which will become part of the permanent medical record by adding "appended" comments, which will appear at the bottom of the document. Appending a document does not edit the original document.

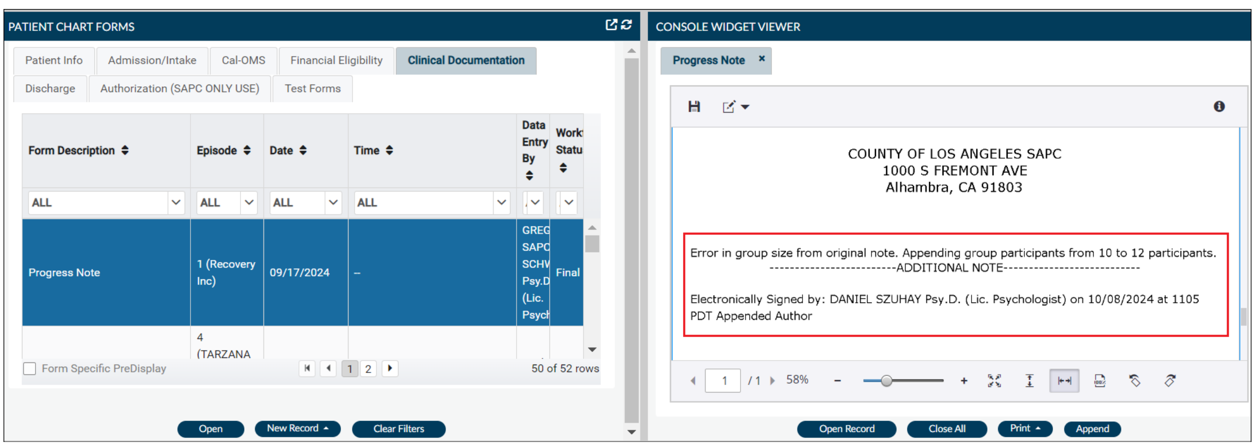
If the appended correction will impact claiming of the service, such as the date of service or duration, those changes will still require the Final to Draft workflow as appended comments will not populate to any reports, including reports used for billing.

Suggested uses for appending include:

- Correcting or adding information to the content or narrative of clinical documents
- Correcting number of members in a group (as this is no longer required on a claim)

Documents that require the signature/finalization of an LPHA can only be appended by an appropriate LPHA.

Appended comments can be viewed in the Console Widget Viewer in All Docs/Chart view and Client Dashboard. Thru the Console Widget Viewer the appended comment is displayed, along with the author of the appended comment and date and time document was appended at the bottom of the document. A document can be appended multiple times.



Recommended Workflow

SAPC recommends that the user utilize the All Docs/Chart view and Console Widget Viewer to append a document since using this method is easier and when the Append Document Form opens, a number of fields will be prepopulated. This recommended workflow is detailed below.

Only documents created and finalized after the append function is enabled in Sage can be appended (TRAIN – June 2024, and anticipated in LIVE – October 21, 2024). Finalized documents are:

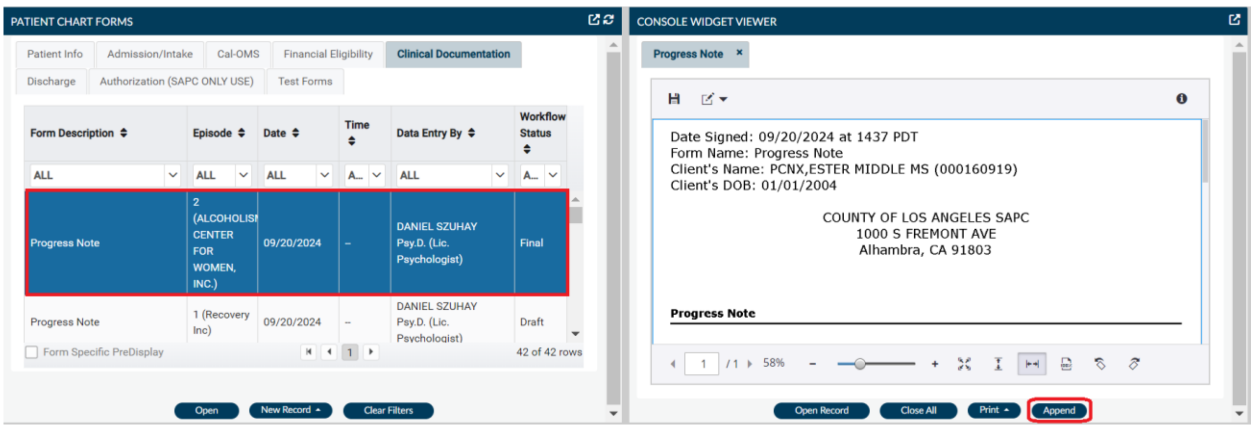
- Documents finalized and NOT routed for supervisor approval, or

- Documents finalized, routed for supervisor approval, and approved.

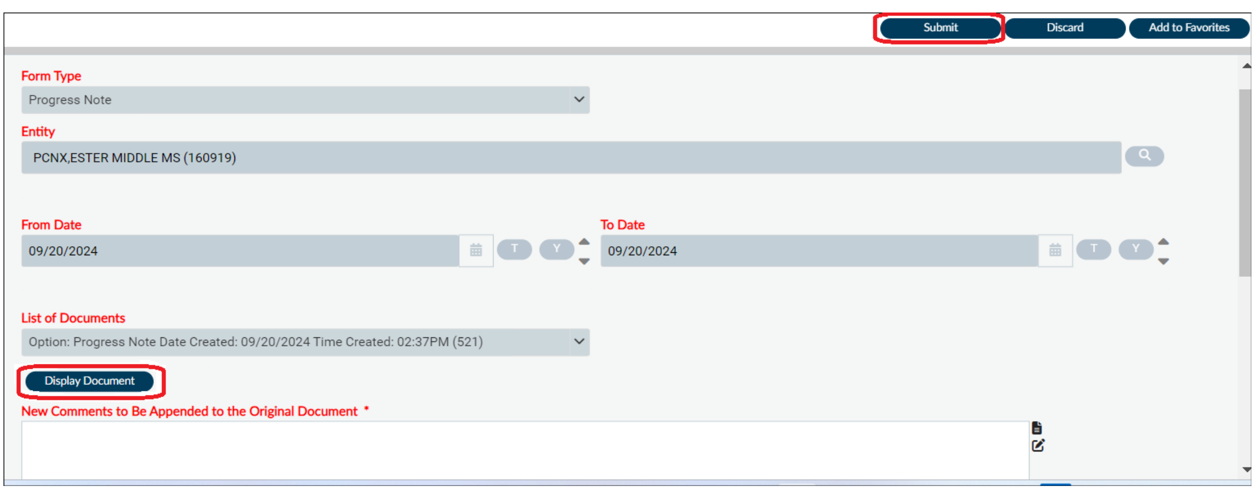
Documents in “Draft” Form Status or finalized, routed for approval but pending supervisor approval cannot be appended.

For quicker access to append documents, the user will use the All Docs/Chart view. This will prepopulate and lock all necessary information to the Append form to ensure the correct document is being appended.

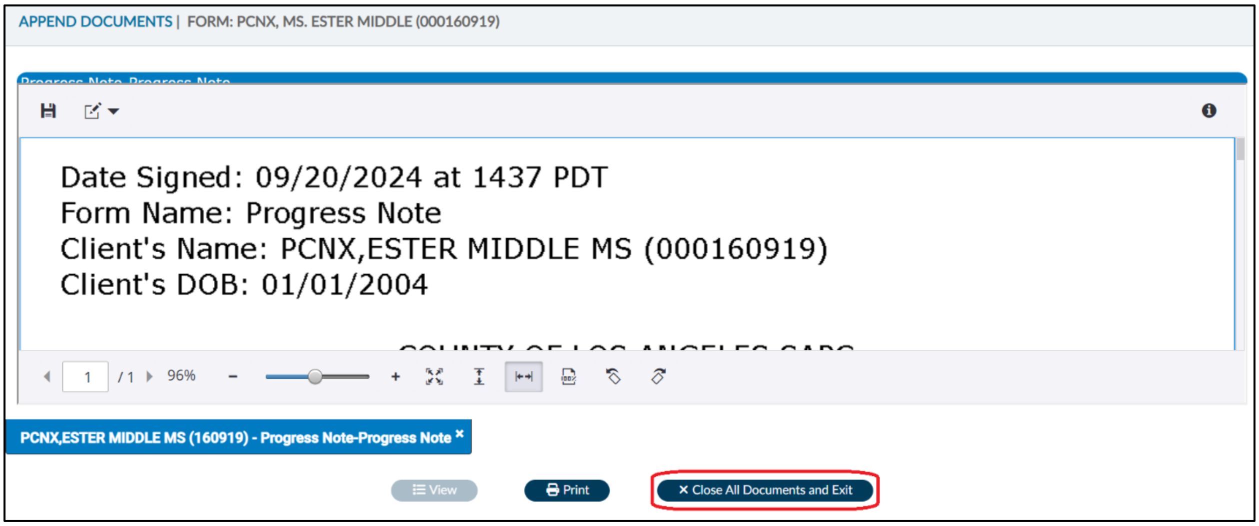
1. From the All Doc/Chart View, choose the Clinical Document tab in the Patient Chart Forms widget.
2. Double click on the document the user would like to append which will display the document in the Console Widget Viewer to the right.
3. To append the document, click on “Append.”



4. When the user clicks on “Append” the user will be taken to the Append Documents form with the first 5 fields prepopulated and locked from changes.



5. Enter the appended information into the “New Comments to Be Appended to the Original Document” field, which is a required field and click on “Submit.”
6. Prior to appending, to view the document being appended for additional review or to verify the correct document was chosen, click the “Display Document.”
    a. This will display the document, as seen below.
9. To close the open document, click on “Close All Documents and Exit.”



Append Documents Form

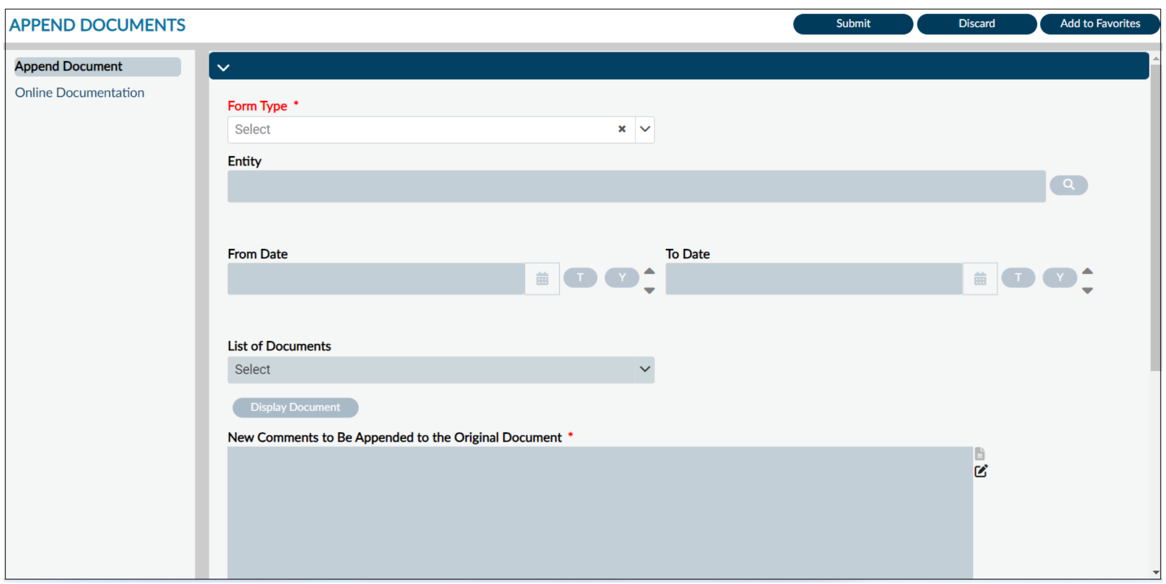
The Append Documents form is comprised of six (6) fields, Form Type, Entity, From Date, To Date, List of Documents, New Comments to Be Appended to the Original Document. The Append Documents form allows a user to append a finalized form.

Field	Description
Form Type (Required)	A drop-down menu of append-able forms. Not all forms listed in the drop-down menu are applicable. The user would only be appending the forms listed on page 2 of this job aid: 1. Discharge and Transfer Form 2. Drug Testing 3. Patient Medications 4. Problem List/Treatment Plan 5. Progress Note 6. Recovery Bridge Housing Discharge 7. Referral Connections 8. Service Connections Log 9. Youth and Young Adult Screener
Entity (Required)	Patient name (Last, First) or PATID

From Date (Required)	The From Date refers to the date the document was created, not Date of Service. Choose the earliest creation date.
To Date (Required)	The To Date refers to the date the document was created, not Date of Service. Choose the latest creation date
List of Documents (Required)	List of Finalized documents that match the Form Type chosen within the From/To Dates
New Comments to Be Applied to the Original Document (Required)	Text field into which amended comments can be entered

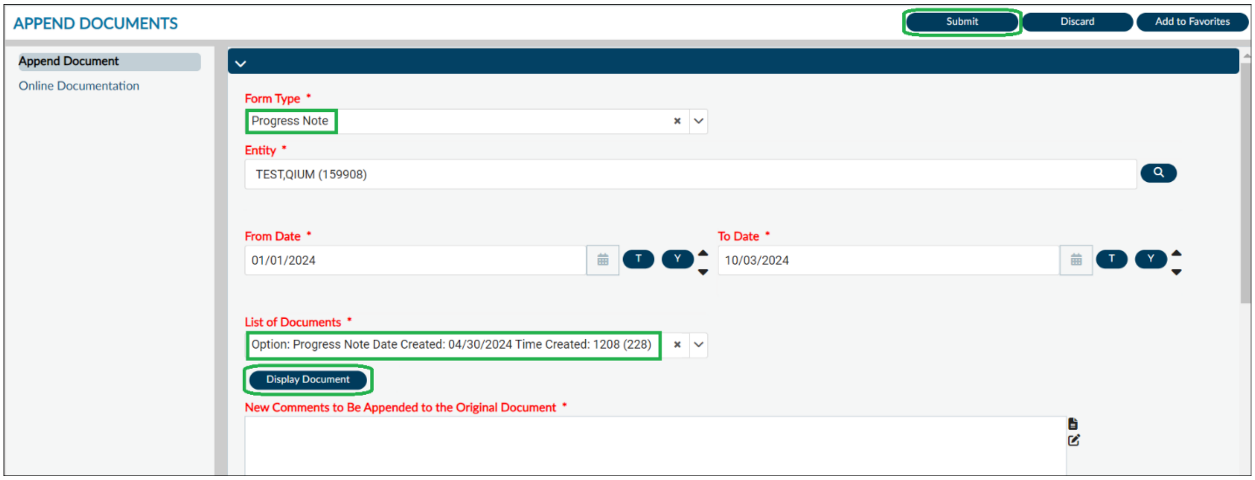
When using the Append Documents form, the user will need to find the document to which the user would like to append, which involves knowing quite a bit about that document, including its creation date. For this reason, SAPC recommends appending documents utilizing the All Docs/Chart view and Console Widget Viewer.

When the user first accesses the Append Documents form the only field name in red text (Required) and for which an entry may be made is "**Form Type*"** (see below).



As a field is completed, the next field name becomes red with an asterisk (REQUIRED) and the user is then able to make a choice within that field. Below is an Append Documents form illustrating choices made for the first 5 fields.

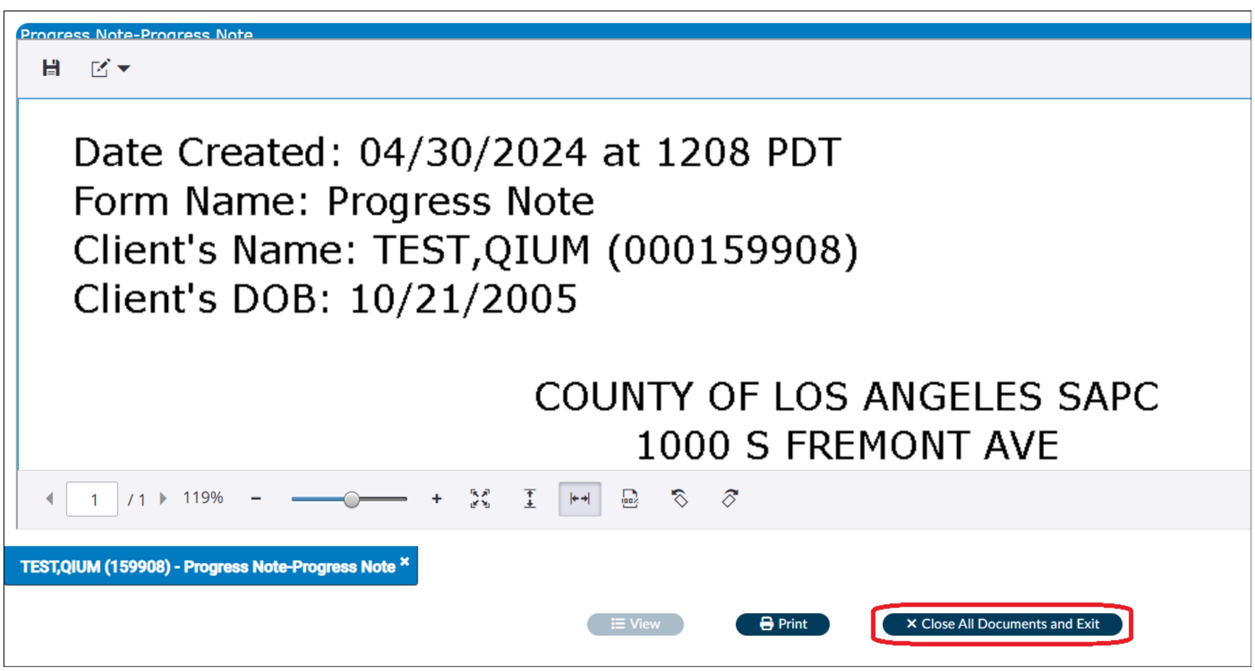
The "List of Documents" field will display a drop-down menu of all finalized documents associated with chosen "Form Type" field within the chosen "From Date" – "To Date" range.



In the example above, for "Form Type" Progress Note was chosen and the document displayed in the "List of Documents" is a finalized Progress Note with a creation date of 4/30/24, which was created during the chosen "From Date" – "To Date" range.

To append the document, enter the appended information into the "New Comments to Be Appended to the Original Document" field and then click "Submit."

The documents displayed in the drop-down menu for the "List of Documents" field are listed in reverse chronological order such that the newest created documents will show up first. To view the document chosen from the "List of Documents," choose "Display Document." This gives the user the option to review the document prior to appending, see below.



To close the open document, click on "Close All Documents" and Exit.

Updated Reports and New View/Widgets

With document routing being enabled, 2 reports have been updated and a new View with 9 widgets has been created that displays the status of documents that are in Draft form Status and/or finalized/pending supervisor approval.

Updated Reports

- Progress Note Status Report
- Documents in Draft and for Co Signature
  - As of October 15, 2024:
  - 5 of the nine forms are populating the report:
    - Discharge and Transfer Form
    - Drug Testing
    - Patient Medications
    - Progress Notes
    - Recovery Bridge Housing Discharges
  - The following 4 forms are in development to be added to the report:
    - Problem List/Treatment Plan
    - Referral Connections
    - Service Connections Log
    - Youth and Young Adult Screener

More information can be found in the Guide to Reports.

New View/Widgets

- Document in Draft and for Co Signature View
  - Progress Note in Draft, Routed, Rejected – 1 Month
  - Problem List/Treatment Plans in Draft, Routed, Rejected – 1 Month
  - Drug Test in Draft, Routed, Rejected – 1 Month
  - Discharge/Transfer in Draft, Routed, Rejected – 1 Month
  - RBH Discharges in Draft, Routed, Rejected – 1 Month
  - Youth/Young Adult Screen in Draft, Routed, Rejected – 1 Month
  - Patient Medication in Draft, Routed, Rejected – 1 Month
  - Referral Connections in Draft, Routed, Rejected – 1 Month
  - Service Connections in Draft, Routed, Rejected – 1 Month

More information can be found in the Guide to Widgets.

Troubleshooting

Document Routing

If a document was routed to the wrong person, create a Sage Helpdesk ticket to Modify a Medical Record

1. In the Justification free text box:

- Indicate the routing needs to be reassigned, and
- Specify who the document was routed to (by name) and who it needs to be reassigned to (by name) (e.g. a supervisor is unexpectedly out and the document that requires review/signature can then be reassigned by the helpdesk)

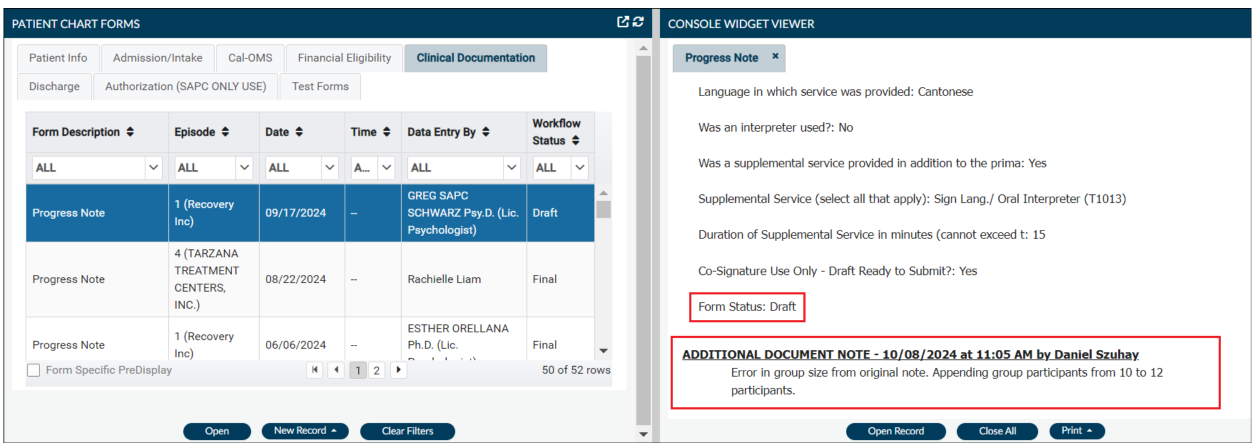
Appending a document

Open a regular Sage Helpdesk ticket explaining the issue with appending.

Final to Draft Requests for Appended Documents

When a document that has been finalized with appended comments needs to be reverted from Final to Draft, special considerations should be considered prior to submitting and finalizing that document again.

1. After the document has been reverted from Final to Draft the appended comments will be viewable ONLY in the Console Widget Viewer in All Docs/Chart view.



2. The appended comments should be incorporated into the document prior to finalizing again. **Important Note**: User will not be able to see the appended comments on the form when they re-open it. Users will have to copy the appended comments into Word or open both the form and the console widget at the same time.
3. The appended comments will disappear once the document is finalized again.