Clarification 3:  
Progress Notes and Timeframes

Clarification of Personalized Recovery Oriented Services (PROS) progress notes and timeframes for completion.

Guidelines

Progress notes are a key element to recovery. Each individual’s record must contain progress notes that are reflective of the individual’s recovery. Progress notes must:

- Report advancement toward goals, symptom reduction and functional improvement;
- Identify the services provided (consistent with the Individualized Recovery Plan (IRP)) and describe progress made toward functional improvement and attainment of goals;
- Create the informational framework for the PROS program and the individual to review and update the assessments and especially, the IRP;
- Provide an ongoing record of the participant’s progress toward his or her goals; and
- Provide documentation to demonstrate that services are delivered as defined in the IRP, so that Medicaid billing is supported.

Progress notes must be dated and signed by a clinical member of the PROS program staff. In addition to the monthly requirement, a progress note must also be completed for any significant event and/or unexpected incident.

Although not a requirement, a quality progress note should include:

- the signature of the PROS participant
- the source of the information.

Progress Note Timeframes

- Progress Notes must be completed, at a minimum, once a month. The month is defined as the calendar month. Therefore, one progress note in each calendar month must be completed.
- For purposes of complying with the monthly requirement, a progress note must be completed no later than the last day of the month.
- For the month of enrollment, a completed and signed Screening and Admission Note may be used as the Progress Note.

Regulatory Requirements

The regulations explain the necessary criteria for the documentation of individual growth toward accomplishment of each of the objectives by providing a summary of progress at least once a month. This summary describes the individual’s participation in the personalized services, both group and individual, to assist in the realization of each of the objectives related to each of the goals. [14. New York Codes, Rules and Regulations (NYCRR).§ 512.8.c]
Progress notes

A. Progress notes shall be maintained for each individual and shall be dated, signed by a clinical member of the PROS program staff, and indicate the period of time covered by the note.

B. Progress notes shall include, at a minimum
   i. A summary of services received subsequent to the last progress note;
   ii. A description of the progress made toward the goals identified in the IRP subsequent to the last progress note; and
   iii. Identification of any necessary changes to the IRP and services related to such changes.

C. Progress notes shall be completed, at a minimum, once each month.

D. A progress note must also be completed for any significant event and/or unexpected incident. [14 NYCRR § 512.8.c]