



Policy Number:
3
Effective: May 1, 2008
Revised: April 20, 2009, April 19, 2010,
October 16, 2017

Subject: Client Records

PURPOSE:

Camden County Developmental Disability Resources (CCDDR) shall have a policy to have an official record for each client served by the agency.

POLICY:

The client record is the property of the CCDDR and is maintained for the benefit of clients and/or their responsible parties, and CCDDR staff. CCDDR will maintain the security and confidentiality of client records and safeguard the information contained in the client record against loss, tampering, or use by unauthorized persons. The content and format of client records are standardized according to joint Division of DD and Senate Bill 40 Targeted Case Management guidelines, in order to facilitate:

- Accessing client information
- Filing in the record
- Charting accurately and punctually
- Auditing/reviewing records
- Consistency among staff making entries into records

I. Single Official Record (SOR)

- A. A single official record for each client served by CCDDR shall be maintained within the CCDDR facility.

II. Content and Format

- A. The client record will contain separate sections for the following categories of information: client admission/discharge/transfer information, legal documents, the current Individual Support Plan, monthly/quarterly reports, correspondence, financial information, assessments/evaluations, health information, and other pertinent information.

III. Location of The Client Record

- A. The client record of all clients served by CCDDR will be located in a secured area within the CCDDR office. Records shall be stored in an area reasonably protected against breaches in confidentiality, water damage, and other hazards. The Historical Record of

clients served by CCDDR (documents over 7 years old) shall be located at the Rolla Regional Office.

- B. Support Coordinators are to maintain a working file to be stored in a locked file cabinet for all clients on their caseload. The working file may contain pertinent documents within the current plan year.
- C. Historical documents (over a year old; not a part of current Plan Year) shall be moved to the CCDDR client record in client records room. Support Coordinators shall provide such documents to the Administrative Assistant as-needed for filing in the client record.
- D. Client records maintained at the CCDDR facility shall contain no more than seven (7) years of data, after which documents shall be transferred to the Rolla Regional Office for inclusion in the client's Historical Record via microfilm and/or disposed of, as appropriate.
- E. Client records may be removed from CCDDR premises only in accordance with a court order, subpoena, statute or transportation to another service site.
 - 1. When records are transported, the security and confidentiality of the record is the responsibility of the staff person who is transporting the record.
 - 2. Staff who remove records from CCDDR premises without authorization are subject to disciplinary action, including dismissal.

IV. Custodian Of Client Information

The custodian of the client records at CCDDR shall be the Administrative Assistant.

V. Access To Client Record

- A. Anytime staff removes the physical client record from the client records room, the staff must check these out. The Administrative Assistant shall maintain a check out log form of all files checked out of the client records room. The Administrative Assistant shall indicate on check out form time and date file was checked out, what file was checked out, and have the Support Coordinator sign.
- B. All files checked out during the day by staff must be returned to the client records room at the end of the day to be re-filed.
- C. When the staff person has finished with the file, it is to be submitted to the Administrative Assistant, who will log the time the file has been checked back in, and re-file the record.
- D. CCDDR Support Coordinators as a general rule should only check out files for persons on their caseload.
- E. Except in certain circumstances, the client served and/or their legal representative has the right to review and obtain copies of medical/health information about him/her that is maintained in agency records and used for making decisions about the client. Access to records, copying of records, changes to health information contained in record, etc. shall comply with Policy # 25, HIPAA Compliance, as well as Policy # 26, Confidentiality. Per Policy # 25, HIPAA Compliance, the client or their legal representative must request

in writing for access to inspect, or receive copies of, Protected Health Information except in those instances covered by Federal Regulation and outlined in the Notice of Privacy Practices acknowledged at admission, and must further specify the exact information requested for access.

Copying

Physical copies can be made of client record data by staff. These physical copies can be for their own client working file or to fax a document to ensure no original physical documents leave the facility. Staff that remove physical documents from the file for copying/faxing are responsible for putting the file back into its original order and condition in which it was removed. Appropriate authorizations must be in place before CCDDR staff release confidential client information to outside entities.

VI. Annual Audit Of Client Records

The client Permanent File maintained by CCDDR shall be audited annually by the Director or designee when the new annual plan is filed into the client record to ensure required documentation is in place per State of Missouri and/or federal Medicaid waiver guidelines. The audit shall determine if documents required per Division of DD and SB 40 standardized Records Management filing guide, as well as required Medicaid waiver documentation are in place in all client files. A checklist guide shall be developed to assist the Director or designee in this audit of client files. If there are missing documents in the client file, the assigned Support Coordinator shall make every effort to locate the missing data.

REFERENCES:

- Division of DD and SB40 Standardized Filing Guide
- SB 40 Records Retention Schedule, MO Secretary of State's Office
- CARF Standards Manual