



Record Requirements

I. Policy

It is the policy of Lakes Homes and Program Development to ensure that the content and format of service recipient, personnel, and program records are uniform and legible according to the requirements of licensing statutes. See attached Record Retention Schedule.

II. Procedures

A. Admission and discharge register

Lakes Homes must keep a written or electronic register, listing in chronological order, the dates and names of all persons served by the program, who have been admitted, discharged or transferred, including service terminations initiated by Lake Homes and deaths.

B. Service recipient records

Lakes Homes must maintain a record of current services provided to each person on the premises where the services are provide or coordinated. When the services are provided in a licensed facility, the records must be maintained at the facility, otherwise the records must be maintained at Lakes Homes program office. Lakes Homes must protect service recipient records against loss, tampering, or unauthorized disclosure.

1. Lakes Homes must maintain the following information for each person.

1. An admission form signed by the person's legal representative that includes
 - a. Identifying information, including the person's name, date of birth, address, and telephone number
 - b. The name, address, telephone number of the person's legal representative, if any, and a primary emergency contact, the case manager, and family members or others as identified by the person or case manager.
2. Service information, including service initiation information, verification of the person's eligibility for services, documentation verifying that services have been provided as identified in the CSSP or CSSP addendum and the date of admission or re-admission.
3. Health information, including medical history, special dietary needs and allergies, and when Lakes Homes has been assigned responsibility for meeting the person's health service needs.
 - a. Current orders for medication, treatments, or medical equipment and a signed authorization from the person or the person's legal representative to administer or assist in administering the medication or treatments, if applicable.

- b. A signed statement authorizing Lakes Homes to act in a medical emergency when the person's legal representative, if any, cannot be reached or is delayed in arriving
 - c. Medication administration procedures
 - d. A medication administration record documenting the implementation of the medication administration procedure, and the medication administration record review, including any agreements for administration of injectable medications
 - e. A medical appointment schedule when Lakes Homes is responsible for assisting with medical appointments.
4. The person's current coordinated service and support plan (CSSP) or that portion of the plan assigned to Lakes Homes.
 5. Copies of the individual abuse prevention plan and assessments as required.
 6. A record of other service providers serving the person when the person's CSSP or CSSP addendum identifies the need for coordination between the service providers, that includes a contact person and telephone numbers, services being provided and names of staff responsible for coordination.
 7. Documentation of orientation to service recipient rights.
 8. Copies of authorizations to handle a person's funds.
 9. Documentation of complaints received and grievance resolution
 10. Incident reports involving the person.
 11. Copies of written reports regarding the person's status when requested, progress review reports, progress or daily log notes that are recorded by the program, and reports received from other agencies involved in providing services or care to the person
 12. Discharge summary, including service termination notice and related documentation when applicable.

C. Access to service recipient records

Lakes Homes must ensure that the following people have access to the information in accordance with applicable state and federal laws

1. The person, the person's legal representative and anyone authorized by the person.
2. The person's case manager
3. Staff providing services to the person unless the information is not relevant to carrying out the CSSP or CSSP addendum and
4. The foster care licensor.

D. Personnel records.

Lakes Homes must maintain a personnel record of each employee to document and verify staff qualifications, orientation and training. The personnel record must include:

1. The employee's date of hire, completed application, an acknowledgement signed by the employee that job duties were reviewed with the employee and the employee understands those duties, and documentation that the employee meets the position requirements as determined by Lakes Homes.

2. Documentation of staff qualifications, orientation, training, and performance evaluations as required, including the date the training was completed, the number of hours per subject area and the name of the trainer or instructor
 3. Completed background study
 4. For employees hired after January 1, 2014, Lakes Homes must maintain documentation in the personnel record or elsewhere, sufficient to determine the date of the employee's first supervised direct contact with a person serviced by the program and the first unsupervised direct contact with a person served by Lakes Homes.
- E. Lakes Homes must maintain, in a permanent file, any reports of health, fire or other safety inspections.

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