

ARKANSAS DEPARTMENT OF HUMAN SERVICES
DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES
DDS DIRECTOR'S OFFICE POLICY MANUAL

| <u>Policy Type</u> | <u>Subject of Policy</u> | <u>Policy No.</u> |
|--------------------|--------------------------|-------------------|
| Administrative | Individual Records | 1044 |

1. Purpose. This policy has been prepared to establish guidelines for DDS individual record keeping.
2. Scope. This policy applies to all individuals' records maintained by Developmental Disabilities Services.
3. Definitions. The following definitions apply to DDS individual records.
 - A. Master Record – The permanent record developed for each individual who receives services from DDS. This record originates at DDS Central Office and includes field and any prior information.
 - 1) Each master record shall contain all available initial and current pertinent data in paper form. It must contain the following original documents indefinitely.
 1. Application for services/assistance
 2. Request for assistance/authorization for services
 3. Birth Certificate
 4. Social Security Card or copy
 5. Legal documents
 6. Original assessments
 - 2) Each master record shall contain all documents which comprise the official individual record for each person at an HDC, including the residential Central Record, the Living Unit Record and the Medical Record.

Replacement Notation: This Policy replaces DDS Commissioner's Office Policy #1044, November 2, 1981, and March 15, 1993.

Effective Date: December 1, 1993

Sheet 1 of 5

References: DDS Director's Office Policies 1013, Confidentiality, 3003-I, Research Involving Clients, and 3007-I, Individualized Program Plans. MR-DDS Institutional Services Policies RS-PO-26, RS-PO-27, RS-PO-28, all dated July 2, 1975, which are hereby superseded; DDS Director's Office Policy #1076, dated August, 1992; DDS Records Manual dated May, 1992.

Administrative Rules & Regulations Sub Committee of the Arkansas Legislative Council: November 4, 1993

ARKANSAS DEPARTMENT OF HUMAN SERVICE
DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES
DDS DIRECTOR'S OFFICE POLICY MANUAL

| <u>Policy Type</u> | <u>Subject of Policy</u> | <u>Policy No.</u> |
|-----------------------|---------------------------|-------------------|
| <u>Administrative</u> | <u>Individual Records</u> | <u>1044</u> |

B. Field File – Consists of the following photocopies of documents and is utilized by the DDS Field Counselor as the “working file.”

1. Application for services/assistance
2. Request for assistance/authorization for services
3. Birth Certificate
4. Social Security Card or copy
5. Legal documents
6. Original assessments
7. Early Intervention data, when appropriate

C. Correspondence – Any written communication that is directly related to the individual and DDS Services.

- Letters
- Memos
- LEA Letter of Acknowledgment (Local Educational Agency)

D. Documents – Official and/or legal verification/certification.

- Application for Services
- Financial Resource Questionnaire
- Release(s) of Information
- Birth Certificate (copy)
- Social Security Card (copy)
- Medicaid Card (copy)
- Petition for Admission
- Guardianship Papers (copy)
- Subpoena(s)
- Authorization to Secure Services

ARKANSAS DEPARTMENT OF HUMAN SERVICES
DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES
DDS DIRECTOR'S OFFICE POLICY MANUAL

| <u>Policy Type</u> | <u>Subject of Policy</u> | <u>Policy No.</u> |
|-----------------------|---------------------------|-------------------|
| <u>Administrative</u> | <u>Individual Records</u> | <u>1044</u> |

E. Field Staff Activity – Documentation by field staff of all official contact with person and family eligible for DDS Services and can include such items as follows:

- Request for Assistance
- Case Notes
- Request for Respite Care
- Transfer Summaries
- Closing Summaries
- Status Reports
- Referral for Services Form
- Individual Services Implementation Plan/ISIP Questionnaire

F. Programming – Individual prescription for services for eligible individuals.

- Client Outreach Program
- Individual Education Plan
- Individual Program Plan/Annual Review
- Individual Habilitation Program
- Individual Family Service Implementation Plan
- Special Staffing Reports
- ACS Waiver Plan of Care
- Discharge Summary

G. Evaluations – Completion of various assessments which result in records for services and/or programming.

- Diagnostic & Evaluation
- Psychological Evaluation
- Adaptive Behavior/Developmental Scales
- Speech/Language Evaluations
- Physical Therapy Evaluations
- Occupational Therapy Evaluation
- Audiological Evaluations/Screening
- Educational Evaluations
- PASARR

ARKANSAS DEPARTMENT OF HUMAN SERVICES
DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES
DDS DIRECTOR'S OFFICE POLICY MANUAL

| Policy Type | Subject of Policy | Policy No. |
|----------------|--------------------|------------|
| Administrative | Individual Records | 1044 |

H. Medical – Any evaluations/assessments related to the physical health of the individual eligible for services.

- Nutritional Assessment
- Physical Exams
- Medical Summary
- Dental Records (not X-rays)
- Immunizations
- Personal/Medical Data Sheet (vital statistics)
- TB Skin Test
- Medical Case Management Plan
- Medical Discharge Summary
- Medical Staffing Summary
- Vision Examination

4. Guidelines for the Use of the Record. Access to and utilization of the master record of individuals shall be governed by the following guidelines:

- A. Information will be released only to properly authorized persons.
- B. Master records that are taken from the Central Records Room must be returned by 4:20 p.m. each day unless authorized by Administrative Director/designee.
- C. DDS staff members may access a Master Record only for purposes of completion of an official duty.
- D. Master records are to be checked out through and returned to Records Room staff.

ARKANSAS DEPARTMENT OF HUMAN SERVICES
DIVISION OF DEVELOPMENTAL DISABILITIES SERVICES
DDS DIRECTOR'S OFFICE POLICY MANUAL

| <u>Policy Type</u> | <u>Subject of Policy</u> | <u>Policy No.</u> |
|--------------------|--------------------------|-------------------|
| Administrative | Individual Records | 1044 |

5. Transporting Records – When necessary to transport a record to or from a site within DDS, the master record will be:
- 1) Hand-delivered by an employee of DDS.
 - 2) Mailed via certified mail.
 - a) Returned certified mail receipt will serve as documentation of recipient of the Master file.
 - b) Certified Mail receipts will be filed in the Records Room.
6. Release of Information – All information contained in an Individual's Record is releasable; however, no information from the record shall be released except as required/allowed by regulation or when proper authorization is received from the individual or parent/guardian.
- Inquiries or requests for information from the Master Record are made to the Central Records Room or HDC.
7. DDS Records Manual – The agency shall develop and periodically revise a manual of procedures, outlines, and forms for the keeping/disposition of DDS records. A copy of the DDS Procedures Manual will be referenced to this policy and filed in the DDS Director's Office.

