

**Cottonwood, Inc.
Policies and Procedures**

SECTION: Consumer Related

SUBJECT: Case Records

EFFECTIVE DATE: April 1988

POLICY NO: 05-029

PAGE(S): 1 of 2

**Licensing Regulation
Reference:** 30-63-29

Policy:

A single case record is prepared and maintained for each individual admitted to Cottonwood, Inc. and/or receiving Cottonwood, Inc. case management services.

Procedures:

1. Case records are organized in a systematic, standardized manner and compiled in a binder(s) for each individual.
2. The location of the case records and the information contained therein is confidential and controlled from a central file room in Cottonwood, Inc.'s main facility (see Policy No. 05-028 Confidentiality of Consumer Documents)
3. An individual's case record is organized into 15 major areas as described below:
 - I. Identifying Information
 - II. Individual Plans
 - III. Action Statement Progress
 - IV. Behavioral
 - V. Reports/Evaluations
 - VI. Eligibility Information
 - VII. IEE
 - VIII. Incident Reports/AIR/CIR
 - IX. Miscellaneous
 - X. Medical
 - XI. Employment Documents
 - XII. BASIS
 - XIII. HCBS
 - XIV. Correspondence
 - XV. Case Record Review

Financial File

- A. Tax Information
 - B. Bank Statements
 - C. Legal Documents, Other
 - D. Paycheck Stubs – Cottonwood, Inc.
 - E. Paycheck Stubs – Community
 - F. Social Security Correspondence
 - G. DCF/KDADS/KDHE/SRS Correspondence
 - H. Medicaid/KanCare/Medicare Information
 - I. Miscellaneous Benefit/Income Correspondence
4. A detailed list of documents and Table of Contents for the individual's case record is maintained following the guidelines as defined by Kansas Department of Aging and Disability Services (KDADS), Kansas Department of Health and Environment (KDHE), Ability One, and HCBS/I/DD Medicaid Waiver. The Director of Support Services reviews the Table of Contents annually in conjunction with 05 Consumer Related policy review to assess accuracy and ensure all documents listed are currently needed as per the regulatory guidelines.
 5. In addition, an electronic file is maintained for ease of viewing/retrieving paper documents and augments each individual's case record. (see Policy No. 05-030 Case Record Maintenance)
 6. JobLink notes and reports submitted to Kansas Rehabilitation Services are not kept as part of the official Cottonwood, Inc. case records.
 7. Medication Administration Records (MAR), Medication Error Reporting Forms (MERF), and Health-Related Visit forms (HRV) and supporting documents are scanned and uploaded to the Health Supports database by a Health Supports Nurse. The paper copy is then shredded and is not filed in the Consumer's case record. Paper copies of archived MAR, MERFs and HRVs will be kept for ten years and then shredded.