

**File Maintenance
Code of State Regulations
State Statutes
Rules & Regulations**

We will discuss ...

- Participant files
- Personnel files
- RN 10% Sample

Client Files 19 CSR 15-7.021(24)(A)1-7

- Authorization for services
- Time sheet/visit report
- Supervisory monitoring log explaining the discrepancies between authorized and delivered units
- RN Notes
- Doctor's correspondence
- Communication with the State
- Any other pertinent documentation regarding the client

Client Files –

Authorization for Services 19 CSR 15-7.021(24)(A)1

- LTACS
- LCDE
- Service Plan (DA-3)
- Service Plan Supplements (DA-3a)
- Authorization from WebTool

Client Files –

Time Sheets/Visit Reports 19 CSR 15-7.021(24)(A)2

Time Sheets must include:

- Client's name
- Date of service
- Time In and Time Out
- Activities or tasks performed
- Aide's signature
- Client's signature

Client Files –

Authorized & Delivered Services

Discrepancies between authorized and delivered services are to be documented.
(19 CSR 15-7.021(24)(A)3)

- Description of the corrective action taken
- Information forwarded to the State

Client Files –

Notes & Correspondence 19 CSR 15-7.021(24)(A)4-7

- Registered Nurse (RN) clinical notes
- Correspondence and contact with client's physician or other care providers
- Copies of correspondence to and from the State
- Other pertinent client documentation

Personnel Files 19 CSR 15-7.021(24)(B)1-10

- Employment application
- Reference checks
- Training documentation
- Performance Evaluation
- Client Rights
- Confidentiality
- Code of Ethics
- Supervisor In-Home Standards
- Employee's position
- Returned ID
- Verification of license
- EDL Check
- Family Care Safety Registry

Personnel Files –

Employment Application 19 CSR 15-7.021(24)(B)1-10

The Employment Application shall include:

- Employee signature
- Sufficient documentation to verify age, education, and work experience
- Employment and termination dates
- Reference checks

Personnel Files – Training Documentation 19 CSR 15-7.021(24)(B)1-10

Types of documentation:

- All training and certification received
 - Orientation
 - In-service
- Waiver of employment or training requirements

Personnel Files – Additional Documentation

- Performance Evaluation
- Employee's Position
- Returned ID
- Supervisor In-Home Standards

Personnel Files - Policies

- Clients Rights
- Confidentiality
- Code of Ethics

Personnel Files – Verification and Background Checks

- Verification of License
- Employee Disqualification List (EDL) Check
- Family Care Safety Registry (FSCR)

RN 10% Sample

- Completed for clients receiving personal care services
- Excludes any client receiving authorized RN visits
- Not a reimbursable service
- 13 CSR 70-91.010(3)(J)1

Remember . . .

Be consistent in
maintaining your files
