

Participant Record Requirements

400.01 Profile Sheet

Rule Requirement	Participant record	Participant record	Participant record	Participant record	Comments
	Y-N-N/A	Y-N-N/A	Y-N-N/A	Y-N-N/A	
Participant Name>>>					
16.04.17.400 AGENCY PARTICIPANT RECORD REQUIREMENTS. Each agency certified under these rules must maintain accurate, current, and complete participant and administrative records. Each participant record must clearly document the date, time, duration, and type of service, and include the signature of the individual providing the service, for each service provided. Each participant record must contain the following information:					
16.04.17.400.01 Profile Sheet. Each participant record must include a profile sheet containing the following:					
16.04.17.400.01.a Name, current address, and current phone number of the participant;					
16.04.17.400.01.b Medicaid ID number;					
16.04.17.400.01.c Gender and marital status;					
16.04.17.400.01.d Date of birth;					
16.04.17.400.01.e Names, addresses, and current phone numbers of legal guardian if applicable, family, advocates, friends, and persons to be contacted in case of an emergency;					
16.04.17.400.01.f Names, addresses, and current phone number of physician, pharmacy, dentist, and other health care providers as applicable;					
16.04.17.400.01.g A list, or an attached list, of current medications, diet, and all other treatments prescribed for the participant; and					

16.04.17.400.01.h Current diagnoses or reference to a current history and physical.					
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400.02 Authorized Plan of Service

16.04.17.400.02 Authorized Plan of Service. The agency must obtain a current authorized plan of service from the paying entity.					
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400.03 Participant Rights

16.04.17.400.03 Participant Rights. Each agency must document upon initiation of services, that each participant and his guardian, where applicable, have been informed of his rights, access to grievance procedures, and the names, addresses, and telephone numbers of protection and advocacy services. This information must be provided in easily understood terms both verbally and in writing.					
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400.04 History and Physical

16.04.17.400.04 History and Physical. Results of a most current history and physical.					
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400.05 Functional Assessment

16.04.17.400.05 Functional Assessment. An age-appropriate functional assessment must be completed or obtained by the agency within thirty (30) days of the initiation of the service. The functional assessment must be used for the development of program plans and include:					
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16.04.17.400.05.a An assessment reflecting the person's functional abilities in the following areas: self-direction, money management, daily living skills, socialization, mobility, behavior shaping, and other therapeutic programs; and					
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16.04.17.400.05.b The results and summary signed with credentials and dated by the qualified residential habilitation professional.					
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400.06 Psychological or Psychiatric Assessment

16.04.17.400.06 Psychological or Psychiatric Assessment. When a participant has had a psychological or psychiatric					
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assessment for the purpose of treatment, the results of the assessment must be maintained in the participant's record and used when developing program objectives.					
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400.07 Program Plan

16.04.17.400.07 Program Plan. Each participant must have a program plan that includes goals and objectives specific to his authorized residential habilitation program. Program plans that include participant's name, baseline statement, measurable objectives, start date, written instructions to staff, service environments, and target date.					
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400.08 Record of Significant Incidents, Accidents, Illnesses and Treatment

16.04.17.400.08 Record of Significant Incidents, Accidents, Illnesses, and Treatments.					
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400.09 Daily Medication Log

16.04.17.400.09 Daily Medication Log, When Applicable.					
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400.10 Daily Record of the Date, Time, Duration and Type of Service Provided

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400.11 Service Delivery and Progress Notes

16.04.17.400.11 Service Delivery and Progress Notes. Documentation of service delivery and progress notes that correspond with the program plans when services are delivered to the participant.					
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400.12 Status Review

16.04.17.400.12 Status Review. Residential habilitation agencies must review each participant's progress to ensure revisions are made for progress, regression, or inability to maintain independence. The review of progress must be documented on a status review document. The status review document identifies the participant's progress toward goals defined in the plan of service.					
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