

Social Services Block Grant Client File Documentation

Policy 14.06

Effective: May 15, 2023

Introduction

Agencies that contract with the Tennessee Department of Human Services must maintain adequate documentation in client files.

Scope

The reason for this policy is to outline requirements regarding client file documentation.

Policy

Client records must be maintained for a minimum of five (5) years after the final invoice for the applicable contract was submitted. Both physical and electronic records must be kept in a secure environment accessible only to authorized staff.

Whether in a paper file or in the case management system (CMS), client files must contain documentation of:

- Application for services for adult day services (ADS) income eligible clients
- Eligibility and recertification
- Client demographic information including gender and date of birth
- Client contact information including address and phone number
- Legal representative information including name, address, phone number, and legal documentation
- Emergency contact information including name, address, and telephone number
- Client rights and responsibilities

- Provider rights and responsibilities
- Signed written fee agreement including amount to be paid, when applicable
- Client's consent to services form
- All release of information authorizations
- Service start date
- Personal support services APS Homemaker Request for Services ([hs-2972](#)) or ADS Plan of Care
- Medication documentation per licensing rules
- Record of services delivered with dates and times documented including units provided
- Termination documentation including closure letter
- Other documentation as required in the [Rules and Regulations for Adult Day Services](#) and [Minimum Program Requirements for Personal Support](#)

Case records must reflect all client services, including case management. Documentation must be sufficient to establish that services are being provided in accordance with the client's service plan and the contract scope. The record must be adequate to substantiate the number of units being claimed for reimbursement.

Supporting Documents

[hs-2972 APS Homemaker Request for Services](#)
[Rules and Regulations for Adult Day Services](#)
[Minimum Program Requirements for Personal Support](#)

Definitions/Acronyms

Term	Definition
ADS	Adult day services
Units	For adult day services, a unit of service is equal to one (1) full or partial day of care provided for one individual. For personal support services, a unit of service is equal to one (1) employee hour of service provided on behalf of one individual.

Supersedes


14.06 SSBG Client File Documentation, eff. date 07/01/2021

Approval History

Approved By	Approver Title	Approved Date	Effective Date
Cherrell Campbell-Street	Deputy Commissioner	05/02/2023	05/15/2023
Clarence H. Carter	Commissioner	06/21/2021	07/01/2021

Revision History

Date	Version	Location of Change	Description/Reason for Change
05/02/2023			
06/21/2021	07/01/2021	New Document	New Document

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Application	SSBG employees and provider staff		