

Social Services Block Grant Client File Documentation

Policy 14.06

Effective: September 1, 2024

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

Both physical and electronic client records must be maintained:

- for a minimum of five (5) years after the final invoice for the applicable contract was submitted following case closure, and
- 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 race, 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
- Tennessee Department of Human Services Homemaker and Adult Day Social Assessment, Authorization, and Request for Services; [hs-2972 APS Grant Referral Form](#); or ADS Plan of Care
- Medication documentation per licensing rules
- Record of services delivered including dates, times, and units provided
- Termination documentation including closure letter
- Documentation of citizenship or qualified non-citizen status including, when applicable, attestations of citizenship

- 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.

Supporting Documents

[hs-2972 APS Grant Referral Form](#)

[Rules and Regulations for Adult Day Services](#)

[Minimum Program Requirements for Personal Support](#)

[SSBG Client File Documentation](#)

Definitions/Acronyms

Term	Definition
ADS	Adult day services
APS	Adult Protective Services
CMS	Case management system
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 05/15/2023

Approval History

Approved By	Approver Title	Approved Date	Effective Date
Clarence H. Carter	Commissioner	07/15/2024	09/01/2024
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
07/15/2024	09/01/2024	Policy	Clarified retention policy following case closure; added "race" to demographic information; corrected form title and added a CMS form; added requirement for citizenship documentation; removed reference to units; which are not a reimbursement consideration
05/02/2023	05/15/2023	Policy	The policy was revised to clarify both electronic and paper information must be retained in client files and to update the form used to request Homemaker services.
06/21/2021	07/01/2021	New Document	New Document

Approved By		Approval Date	07/15/2024
Authority	45 CFR 96.70 et seq. [Social Services Block Grants] 42 CFR §§ 1397 Tenn. Comp. R. & Regs 0940-05-38-.09 Tenn. Comp. R. & Regs 1240-07-10-.08	Effective Date	09/01/2024
Application	SSBG employees and provider staff		