

# POLICIES AND PROCEDURES MANUAL

KEYSTONE COMMUNITY RESOURCES, INC.

KEYSTONE INDEPENDENT LIVING, INC.



**Policy Title:**  
The Personal Record

**Chapter:**

**Effective Date:**  
7/1/1992

**Revision Date:**  
11/25/2008

**Policy Number:**

**Executive Director**

## SCOPE:

- Chapter 6400 – Community Homes For Individuals With Mental Retardation

## INTRODUCTION:

1. The Contents of a Personal Record: a primary responsibility for homes serving people with developmental disabilities is to develop and put into effect programs that will enhance the individual's abilities to cope with their surroundings and help them to learn and grow. A practical system of communications is important for achieving this purpose and the best tool for communicating is a good system for maintaining consumer personal records. An up-to-date record is an invaluable tool for:
  - Evaluation of the care, planning and progress of the individual
  - Communication among the staff concerned with planning for a particular person
  - Assistance in protecting the legal rights of both the individual and the agency
2. The most important reason for keeping a personal record is that it helps provide for better care and planning for the person. Additionally, the law requires us to maintain resident records, as do many funding agencies and accreditation bodies. Resident records must be maintained adequately to ensure that the care of every consumer is continuous and adequate, even when a new staff person is assigned responsibility for the person.
3. The Personal Record includes the following sections:
  - A face sheet gives identifying and emergency information about the person. Having all the key facts in one location reduces the likelihood of error and minimizes unnecessary paperwork. Information such as the persons: name, sex, admission date, birthday and social security number, race height, weight, color of hair, color of eyes, identifying marks and physical characteristics. Also the language or means of communication spoken or understood by the individual and the primary language

used in the individual's natural home, if other than English, the person's religious affiliation and the next of kin or legal guardian are also included on the face sheet.

- An Individual Service Plan section contains the original document and quarterly progress reports. Copies of the document are available in all program environments since it is the written plan that directs the services and daily interactions with the person being served. Master copies of other important documents are contained in this section. These are the Assessment and the Lifetime Medical History. The Assessment is the primary tool for assessing and understanding the needs and desires of the person being served and it's necessary to develop an effective program plan. A Lifetime Medical History is a comprehensive document describing the person's physical development and health. If vocational or educational plans are available, these are also contained in this section.
  - An Administrative/Legal section includes the Service Agreement, all legal reports, consents for release of information, copies of guardianship papers, if relevant, and other related documents including: individual rights, preadmission application, birth certificate and social security certificates, if available.
  - A Correspondence Section contains copies of correspondence sent to and received from sources that have a service impact. Correspondence from family, guardians and other organizations involved in providing services are included. Personal correspondence received by the person being serviced is not filed.
  - A Progress Note section makes up a diary of the person's life and includes admission notes, annual and monthly reviews, as well as significant events in the person's life such as family visits and contacts.
  - The Incident Report section documents special events that have negative aspects such as: inappropriate behavior that hurts someone or damages property, accidents, injuries or procedural errors.
  - A Psychological/Psychiatric section contains related evaluations and restrictive procedures plans, if relevant.
  - A Personal Property section contains monthly reports documenting the individual's personal property.
  - A current, dated photo of the person is in the record to emphasize the personal nature of the record and enables us to provide a description to others, in an emergency. The photo is selected by the individual and taken in a natural setting.
  - The Financial section contains monthly reports documenting the individual's income and expenses.
4. Making Entries: Since a personal record is maintained to convey important information about the person, it is important that all entries in the record be readable. Staff Members who cannot write legibly should print their entries. Symbols and abbreviations should be avoided, even if they are commonly used.
  5. Since personal records are legal documents, errors in the record should be corrected carefully. When you make an error in an entry, draw a line and write the date and your initials over the error, and continue writing the correct information. Do not erase, use correction fluid, or obliterate the error.
  6. Make all entries in blue or black ink. Do not use pencil because it will not stay legible with time.

7. Record all information clearly and concisely. Always sign an entry with your full name and payroll title. Document events as soon as it is practical. If you wait you may forget important details or cast doubt on the reliability of your entry.
8. Storing and Reviewing Personal Records: For daily usefulness, records must be convenient and orderly. Because they are legal documents they must be stored where they will not be lost or damaged. Because the consumer has legal rights to confidentiality and privacy, records must be in a place where only authorized persons can see them. When working with a record choose a place that is safe and convenient and always return the record to its assigned place when you have finished with it. Our agency has a check out system for keeping track of the persons who are looking at resident files. Reviewing records periodically is a good technique for keeping records current. At Keystone, records are reviewed formally twice a year to ensure they are accurate, orderly and current.

## **DISCUSSION:**