






Home Record Checklist

Key Reminders:

- The Self-Directed Services Home Record may be kept in a binder, file folder, or organized electronically.
- Home Records must be kept in the home where services are provided.
- Records and logs should be easily accessible for all Self-Directed staff and DDS employees.

Key — Person Responsible for Providing Each Document

-  DDS Case Manager (DDS CM), Annual IP Packet
-  Employer of Record (EOR), Parent, Guardian, Power of Attorney
-  Fiscal Management Services Agent (FMS)
-  Healthcare Provider/Psychiatrist (HCP)
-  Self-Directed Staff (HTS)

Checklist Items:

Sign-In Log — [Download form](#)

- Sign-In Log (for anyone accessing this home book). Form 06MP070E, Access to Home Record and Verification of Monitoring Requirement, certifying that all authorized persons accessing the service recipient information contained within the home record were informed and understand the penalties for misuse of confidential and protected information, per Section 1533.1 of Title 21 of the Oklahoma Statutes. (Any basic "sign- in" page is fine as long as it has name, date, and time. Type or write emergency contact information at the top of the page.) — **EOR**

Personal Information

- Emergency Contact Information (Fire, Police, Ambulance, Family/Guardian) — **EOR**
- Legal Documentation/Guardianship Documents — **EOR**
- Fire & Weather Drills — **EOR**

Medical Records

- Annual Medical Report (physical) — **HCP**
- Standing Medical Orders, Physician Orders, and Protocols — **HCP**
- Current Immunization Record — **HCP**
- Medication Administration Record (3 months) — **EOR**
- Miscellaneous Health-Related Consultations and Correspondence — **HCP**
- Most Recent Lab, X-ray, Consultation Reports, and Pharmacological Evaluation (if applicable) — **HCP**
- DISCUS or AIMS (if taking psychotropic medications which cause Tardive Dyskinesia) — **HCP**
- Any Documentation Required by the IP, Team, Doctor, or Other Professional (i.e.: outcomes, weight record, bowel/bladder, food/fluid intake, etc.) — **EOR**
- Special Instructions or Healthcare Plan — **HCP**

Home Record Checklist

Medical Records *continued*

- DDS-5's Referral Form for Examination or Treatment (if healthcare coordinator is waiver-funded staff) — **DDS CM**
 - 1 Year in the Home Record Book
 - 6 Years Archived Somewhere in the Home
- DDS-73 Referral Form for Psychiatric Treatment or Examination (if healthcare coordinator is waiver-funded staff) — **DDS CM**
 - 1 Year in the Home Record Book
 - 6 Years Archived Somewhere in the Home

DDS Service Records

- Consent Forms — **DDS CM**
 - Freedom of Choice
 - Right to Fair Hearing
- FMS Paperwork/Forms — **EOR** and **FMS**
- SDS Service Agreement — **FMS**
- Individual Plan — **DDS CM**
- Plan of Care (authorizations) — **DDS CM**
 - Assessments and/or Professional Recommendations and Invoices (used for justification and requesting services)
 - Addendums with Supporting Documentation such as Professional Recommendations and Invoices
 - Authorization Correspondence and/or DDS-4 Notice of Action Letters
- Incident Reports — **EOR**
 - 1 Year in the Home Record Book
 - 6 Years Archived Somewhere in the Home
- Quarterly Reports (must be sent to CM by the 10th of the month in January, April, July, and October) — **EOR**
 - 1 Year in the Home Record Book
 - 6 Years Archived Somewhere in the Home
- Protective Intervention Plan — **EOR**

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Self-Directed Staff Documents

- HTS Training Documentation – **EOR** and **HTS**
 - Copy of Completed DDS-37 (if training is exempt by the EOR)
 - *Note: If HTS is administering medication, MAT training cannot be exempt. MAT training can be completed through DDS College of Direct Supports. Please request enrollment through your DDS case manager and add completion certificate here.*
- Copy of HTS CPR/First Aid Certificates – **HTS**
- SD-HTS Staff Provider Agreement – **FMS**
- SD-HTS Employee Rate Sheet – **FMS**
- Quarterly Progress Reports on Outcomes and Completed Data Tracking Sheets – **EOR**
 - 3 Months in the Home Record Book
 - 1 Year in an Accessible File in the Home
 - 6 Years Archived Somewhere in the Home
- Daily Progress Notes & Data Tracking Sheets – **HTS**
 - 3 Months in the Home Record Book
 - 1 Year in an Accessible File in the Home
 - 6 Years Archived Somewhere in the Home