

# Self-Directed Services in Oklahoma

## Lesson 4: Quarterly Reports, Record Keeping & Incident Reports



This course was developed by Developmental Disabilities Services of the Oklahoma Department of Human Services and the Center for Learning and Leadership/UCEDD.

In SDS the EOR is also responsible for various reports and keeping records. In this lesson we will provide a brief overview of what is required.

## REPORTING TO THE CASE MANAGER

The Provider Progress Report was mentioned in lesson 1 of this course. You are required to complete this report by the 10<sup>th</sup> of the month following the end of each quarter and submit it to the case manager.

In the report you will verify that services were provided as required. You will summarize progress made toward meeting the outcomes identified in the plan, the training status of SDS staff if appropriate, and report any changes, issues and concerns.

**(The form mentioned above and step-by-step instructions about how to complete it can be found in the forms training guide.)**

Be sure to keep a copy of the progress report in your files.



# MAINTAINING RECORDS

If you self direct you are required to keep records. You will need to set up an electronic and/or paper filing system. You should be prepared to show your records to your case manager when he or she visits.

Here is what you must keep in your files:

- All DDS agreement forms
- The Needs Assessment
- Your approved budget
- Quarterly reports
- Incident reports
- Fiscal agent authorization and agreement forms
- Account statements from the fiscal agent
- All employee-related documents
- All reimbursement documentation
- SD-HTS daily progress notes
- SD-Job Coach daily notes



You may want to keep copies of other SDS-related information such as email correspondence, letters, telephone logs, and personal notes.



# MAINTAINING RECORDS

DDS requires that you keep your records for six years.

The Internal Revenue Service requires you to keep records for four years.

Protect the privacy of your SD-HTS and SD-Job Coaching staff by keeping employee information confidential and in separate files.



# REPORTING AND DOCUMENTING MALTREATMENT

You are required to report any possible abuse, neglect or exploitation per DHS policy [OAC 340:2-3-33 Reporting Suspected Abuse, Neglect, Verbal Abuse, Caretaker Misconduct, and Exploitation](#)

Report maltreatment to the DHS Adult/Child Abuse and Neglect Hotline:  
Phone at 1-800-522-3511 or Online at [www.OKHotline.org](http://www.OKHotline.org)

There is an online training course regarding abuse, neglect and exploitation entitled “*Maltreatment: Prevention and Response*” available for self-enrollment. You might want to take this course. If you hire SD-HTS or SD-Job Coaching staff, you must ensure that they understand their responsibility to report maltreatment.

In addition to reporting maltreatment, you and your SDS staff are required to complete an incident report if you suspect maltreatment has occurred. There are several types of incidents which require completion of an incident report, including medication errors, loss of property, and hospitalizations.

[\(The form mentioned above and step-by-step instructions about how to complete it can be found in the forms training guide.\)](#)

DHS policy [OAC 340:100-3-34 Incident Reporting](#)



# CONGRATULATIONS!

**You have completed Lesson 4 regarding record keeping and basic reporting.**

**In Lesson 5 you will learn more about the requirements of the fiscal agent and how the fiscal agent can help you, as an employer.**

**When all of the lessons are completed, you will hopefully have a better understanding of the Self-Directed Services option and whether it is right for you.**

