**Policy Statement:**

The Division of Guardianship maintains an electronic file for each individual under guardianship served by the Guardianship program. The electronic file is established in the Kentucky Guardianship Fiduciary Information System (KYGFIS). Original legal documents are maintained in hard copy, letter-sized files in a locked and secured location.

**Procedure:**

1. The Guardianship Field Services Office Supervisor (GFSOS), or designee, shall establish and maintain both an electronic and a paper file for each individual under guardianship served by the Guardianship program.
2. The GFSOS or designee creates or enters information for the individual under guardianship in a case file within five (5) working days of receipt. The GFSOS or designee uses discretion in determining when to file hard copies that have been scanned into KYGFIS.
3. The paper file shall contain the following:
   1. Certified copy of the Guardianship Appointment

(b) Disability Judgment/Adjudication

(c) Other Legal Documents

(d) Health Insurance Cards: Medicaid, Medicare, Medical

(e) Secondary Health Insurance

(f) Contact information

1. The electronic file shall be established and maintained in a complete, accurate and ongoing manner, so that information may be located expeditiously by authorized personnel, on a need to know basis, for ongoing assessment, continuing case management, case transfers, internal case reviews, open records requests, and for meeting the needs of individuals.

Recording of Events (case notes)

(a) Events should be entered on an on-going basis and shall be thorough and accurate. Events should be entered both timely and as per policy, and may include the following:

(i) Contacts made or received, be it collateral or directly with the individual

(ii) Face to face contacts, be it collateral or directly with the individual

(iii) Consents for services or treatment

(iv) Court matters and hearing attendance

(v) Appointment paperwork and [~~any/~~]all legal matters

(vi) Medical, mental health and psychological records

(vii) Allegations of abuse, neglect, exploitation

(viii) Care plans, risk assessments and rights restrictions

(ix) Contracts, leased and facility agreements

(x) Written correspondences, including emails

(xi) Benefits and Fiduciary Information

(xii) Veteran Information

(xiii) Voting Information

(xiv) Property

(xv) DNR/end of life

(xvi) Burials

(xvii) Medical Insurance and Insurance Cards

(b) Supporting documents shall be scanned and attached to events.

(6) Address History

(a) The GSSW enters changes into KYGFIS the address history within 48 hours of notification of a move for the individual as:

(i) The physical address with level of care (actual location of the individual);

(ii) The vendor address (provider address); and,

(iii) The day site address, where the individual is located during the day.

(7) Contacts

(a) The GSSW will collect and verify the names, addresses, and telephone numbers of the individual under guardianship’s relatives and/or other pertinent contacts;

(i) Ensure “Notify, Emergency, Restricted” drop downs are completed. If “no” is selected an explanation is required in contact notes section.

(ii) If no family is known then a family search is requested through central office designee.

(b) Enter into KYGFIS, within 30 days of appointment and review for accuracy, at a minimum of annually thereafter;

(8) Transactions

(a) The GSSW or designee reviews the request to make sure it is for the individual, determines if it is appropriate to pay the bill (See DAIL-GTS-4, Tip Sheet for Field on Appropriate Daily Requests Bills to Pay); and reviews the individual’s account for fund availability.

(b) If funds are available and the bill is appropriate:

(i) Enters a funds request into KYGFIS;

(ii) Scans & attach the bill to the funds request; and

(iii) Submits the bill for GFSOS approval.

(9) Assets: Known assets will be added and updated by Fiduciary Staff

(10) Tasks: assigned tasked to guardianship field staff.

(11) Liabilities: Known liabilities will be added and updated by Fiduciary Staff

(12) Annual Reports: The GSSW will enter the annual court report per GField 9 Annual Court Report.

(13) Diagnosis:

(a) The GSSW will collect and verify the known diagnoses of the individual; and

(b) Enter diagnoses into KYGFIS, within 30 days of appointment and review for accuracy at a minimum of annually thereafter;

(14) Incidents: The GSSW or designee shall enter incident information as per GField 14 Guardianship Incident Reporting

(15) Reports: Various reports are accessible to Guardianship Staff to gather information, assess data and utilize as needed to meet the ongoing needs of the individual.

(16) Forms: Various forms are accessible to Guardianship staff as needed for ongoing case work and reporting.

(17) Attachments: The GSSW shall enter all health, medical and psychological records as attachments under this section.

(18) Victimization: The GSSW or designee shall enter a victimization record when an individual under guardianship has been identified as a crime victim.

(19) The electronic file shall be updated in a timely, thorough and precise manner, within five (5) business days of receipt of information. The electronic file shall be kept current and reflect an ongoing accounting of the individual’s status, so that any member of the Guardianship Services team can review, ascertain case details, and make informed decisions.