

Guidance for KAT Case Management Client Files

Guidance for Required Documentation for all KAT-NCMC cases

Files for clients served under Katrina Aid Today must include the following forms and documents:

- **Releases of Information:**
 - **FEMA release** *signed by client*
 - **CAN release** *signed by client*
 - **Organization release** *signed by client; may be combined with CAN release*
- **Intake form** *signed by applicant (and co-applicant if appropriate)*
- **Eligibility Determination** *with eligibility status determined and initialed by authorized KAT staff*
- **Initial Assessment** *completed, signed and dated by case manager*
- **Documentation** *which is client specific and obtained in order to facilitate advocacy and verification.*
- **Recovery Plan** *signed and dated by both client and case manager*
- **Implementation/Monitoring/Advocacy** *On-going case notes/contact log which 1) reflects client/worker contact periodically as agreed in the Recovery Plan; 2) summarizes resources accessed or pending, and client progress; and 3) are signed and dated by the case manager*
- **Closure/Summary Form** *signed and dated by client, case manager, and supervisor*
- **Closure/Summary Form Addendum** *completed by the case manager to measure the degree to which each identified need was met*
- **Client Satisfaction Survey** *completed at the time of case closure; must be offered as prompted by the Case Closure section in CAN; client completion is voluntary*

The above mentioned documents can be found on the www.katrinaaidtoday.org website under “partner resources” and are the minimum requirements for a completed case file.

Client files must be maintained in a secured location, such as a locked file cabinet, to protect client confidentiality.

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Additional recommendations

- Optional tools included in the “Disaster Recovery Case Managers Tool Kit” may also be used to facilitate the case management process and disaster recovery of clients served. NOTE: While the forms in the Tool Kit for Financial Assessment and Homeowners Assessment are not required forms for Katrina Aid Today, the processes of financial assessment and homeowner’s assessment (where relevant) are required in order to effectively establish a Recovery Plan and advocate accordingly.
- It is recommended that complete client files with all required KAT forms be created and “stockpiled” so that a blank complete case file is ready to go at the first meeting with a client for KAT case management services. This task may even be appropriate for volunteer case managers as it understandably augments the case management process.
- It is recommended that a “catalog” system, such as a sign-out sheet, be developed for the management of client case files so that they may be accounted for at all times. Case files should be assigned and identified by a serial number.
- A client file checklist and audit form, structured according to this guidance, can be found at: http://www.katrinaaidtoday.org/res_program-guidance.cfm.