

## 11. Record Maintenance, Documentation and Filing

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**11.0 PURPOSE** The following procedures apply to the case record maintenance, documentation and filing of information in the case record. A case record consists of both the electronic information as well as the hard copy folder.

### 11.1 AUTHORITY

- A. CHAP 346-10, HRS Protection of Records
- B. CHAP 346-14, HRS Duties, generally
- C. [HAR 601-2](#) Maintenance of records
- D. [HAR 920.1-8](#) Confidentiality
- E. [HAR 920. 1-18](#) Casework services

### 11.2 CASE RECORD/FOLDER

#### 11.2.1 3x5 Index Cards

At this time, this portion of this procedures section is being reviewed. Until new procedures are issued, units and social service sections can continue using 3x5 cards as is current practice.

#### 11.2.2 Case Label

ALL hard copy case records require a case label that states the proper name for the case as well as the correct CPSS case number.

For all intakes accepted and registered as cases for assessment (investigation), type a label in the following manner:

- A. Case name on the first line, using capital letters, last name first.
  - 1. When a child(ren) is in a two parent home, the case is to be opened under the name of the female, legal parent.
  - 2. When a child(ren) is in a single parent home, open the case under the name of the legal, custodial parent even

if the child was not in that parent's home on the date of the intake.

- B. Under the case name, enter the CPSS number and next to it, in parenthesis, "s" for service case.

The "s" is to be used for ALL types of service cases, whether it is CPS or payment only. As long as the case is opened for a service, the "s" is needed in order to separate the record from income maintenance records.

*SAMPLE:* LEE, JANE  
# 0012345 (s)

- C. If there is an old K number, list the CPSS # under the K number.

*SAMPLE:* LEE, JANE  
K123456789 (s)  
# 0012345 (s)

### 11.2.3 Destruction Coding for Case Records

- A. At the time of case closing, a destruction code shall be entered on the case label in the lower right hand side (see sample below);

*SAMPLE:* LEE, JANE  
# 00123435 (s) D 04/01/2003

ALL volumes **must** have the destruction code on the case label.

- B. Destruction codes for **case records** are to be determined in the following manner:

#### **CPS RECORDS**

1. Case records when reports were Unsubstantiated:  
**60 calendar days** following the date of case termination.
2. Case records when reports were Unconfirmed or petitions dismissed:

**Three (3) years** from date of case termination unless the section has specific reasons or anticipated need of a record after the three year destruction date. The section may then choose to retain the record, tabbing for destruction in a preferred future year.

3. Case records when reports were Confirmed:

When the youngest child in a child welfare service case **reaches 18 years old**, or five (5) years following the date of closure, **whichever is longer**.

**Exception:**

- a. If, at the time CPS services are completed, a refund plan is still in effect, the destruction and closing dates will then be determined by date of the final payment.

Once the refund plan is completed, the case can then be closed. The destruction date will then be the 18th birthday of the youngest child in the family or five years from the date of case closure, **whichever is longer**.

- b. If the section has specific reasons or anticipated need of a record after the destruction date, the section may choose to retain the record, tabbing for destruction in a preferred future year.
- c. If there is a civil lawsuit pending against the department or the department is aware of possible litigation pertaining to a case action, the case is to have a destruction date that is at least **10** years after closing.

**TITLE IV-E ELIGIBILITY RECORDS**

Title IV-E records are set up per child, not family.

1. Cases of ineligible children:

Destruction date is to be the **20th** birthday of the child.

2. Cases of eligible children:

Destruction date is to be the **20th** birthday of the child or **three years** from the date of the last claimed payment, **whichever is longer**.

**ADOPTION RECORDS:**

**ADOPTIVE HOME RECORDS:**

**RECORDS WITH ESTATES THAT DHS HAS A CLAIM OR LIEN AGAINST:**

All above listed records are to be retained **permanently**, therefore, instead of a specific destruction date, the case label needs to have a RED "**P**" written on the case label as well as on the outside of the case record, on the upper right hand side. The case label for **ALL** volumes should be as follows:

*SAMPLE:* LEE, JANE  
# 0012345 (s) **P**

**FAMILY FOSTER HOME (LICENSING) RECORDS:**

1. Foster home licensing records should be closed **three (3) years** after the closing date **IF** there are no institutional abuse reports concerning the foster parent(s).
2. For foster home licensing records where institutional abuse reports were made, the destruction dates should be the same as CPS cases:
  - a. For UNSUBSTANTIATED reports, the licensing record dictation can reflect a report being made and the disposition, but the report itself is to be expunged from the licensing record within 60 days of receipt in the unit.
  - b. For UNCONFIRMED reports, the licensing record is to be destroyed three (3) years after the closing date.
  - c. For CONFIRMED reports, the destruction date is to be on the 18th birthday of the victim or five (5) years after the licensing record is closed, whichever is longer.

3. For licensing records retrieved from Child Placing Organizations that either close or lose their certification, the records become property of the department and the destruction dates for these records will follow the same criteria as other departmental foster home (licensing) records.

#### 11.2.4 Maintaining Security of Case Records

Case records are the property of the Department of Human Services. They are to be at the work site at all times, secured after hours, and not be removed from the premises without prior supervisory approval.

**Original case records are NEVER to be brought to a Family Court hearing.**

Refer to Chapter I, Section 2: **CONFIDENTIALITY**, for specifics.

#### 11.2.5 Type of Case Record Folder

**ALL cases**, once disposition has determined continued services from DHS is necessary, must be filed in the official departmental case folder.

- A. Case information shall be filed in a six part, letter size folder 8 1/2" x 11".
- B. Affix case label to the tabbed part of the folder (back section of the folder).

**Exception:** For cases that are opened only for an investigation and are either unconfirmed, unsubstantiated, or diverted to another community resource within the 60 days allowed for disposition, the case information can be retained in a manila folder.

- A. The case information is to be filed, in chronological order, with the latest information on the top.
- B. The case information is to be secured in the folder by using a folder prong, inserted on the top of the right hand side of the folder.
- C. The case label is to follow procedures, including using the

proper destruction date.

- D. This exception does not apply to old CWS records that are reopened for investigation and subsequently closed or diverted out within 60 days. In those cases, the new case information is to be filed in the old case folder according to normal filing procedures.

**11.2.6 Additional Volumes**

- A. Label the same as above but Indicate Volume I, II, etc. above the destruction code:

**SAMPLE:** LEE, JANE                    VOL. I (II, III, etc)  
                  #0012345 (s)                D - 01/01/2020

- B. If one section of the folder is starting to overflow and requires additional folder space (e.g., Part I which holds court related information), use a regular letter size manila folder, insert two holes with prongs on top center of back covers and label as Volume I, II etc. Manila folders are to be used as they are less costly, are more efficient, and take up less space.

File documents/case materials in the same order as described in sub-section 11.5.

- C. The highest numbered volume should contain the most recent case information.

**11.2.7 Destruction of Case Records**

- A. Oahu:

1. Oahu case records are stored at the State Records Center (SRC). When records are ready for destruction, according to their destruction codes, SRC will prepare and forward to the Child Welfare Services Branch Administrator (CWSBA) Form SA-5, "Disposal Eligibility Form" requesting approval to destroy specified case records.
2. CWSBA will then prepare and forward an Inter Communication Form (ICF) to the Fiscal Management Office (FMO) through the Social Services Division Administrator (SSDA) to request approval to destroy

specified case records in accordance with the date for case record destruction as specified in departmental procedures.

The ICF should include the following information:

- a. Total number of case records to be destroyed and the month/year the records were scheduled for destruction;
  - b. Explanation of the nature of the case records; such as "CWS cases", "Foster family boarding home records;"
  - c. Whether there are any pending lawsuits, audits, if known.
3. Arrangements for the destruction of the case records
- a. Upon receipt of approval from SSDA and FMO, CWSBA or designated representative:
    - i. Signs the SA-5, approving case record destruction.
    - ii. Returns the SA-5 to SCR, with a copy provided by FMO.
  - b. Arrangements are then made for the confidential destruction of specified case records.
  - c. Upon destruction of case records, CWSBA or designee completes the SA-4, "Records Destruction Report" and forwards to FMO with a copy to SSDA

B. Neighbor Islands:

1. Neighbor Island case records are kept at the section level, thus it will be the responsibility of the section administrator to prepare an SA-5, "Disposal Eligibility Form," for case records ready for destruction.

Section administrator is to attach the SA-5 to an ICF requesting approval to destroy case records. The ICF is

to be sent to FMO through SSDA/CWSBA. The ICF is to contain the following information:

- a. Total number of case records to be destroyed and the month/year the records were scheduled for destruction;
  - b. Explanation of the nature of the case records; such as "CWS cases", "Foster family boarding home records;"
  - c. Whether there are any pending lawsuits, audits, if known;
  - d. Arrangements made to insure confidential destruction of case records.
2. Once approval has been received from FMO through SSDA and CWSBA, section administrator will make arrangements for the confidential destruction of specified case records.
  3. Upon destruction of case records, the section administrator will complete the SA-4, "Records Destruction Report," and forward to DAGS Records Management Branch, with a copy to FMO and SSDA

C. Oahu Family Foster Home licensing records:

On Oahu, the closed family foster home licensing records are retained in the foster home licensing unit. The procedures, as outlined for the Neighbor Islands, are to be followed, with the foster home licensing CWS unit supervisor preparing the SA-5, "Disposal Eligibility Form", the ICF requesting approval to destroy records, arranging for the destruction once approval has been received and completing the SA-4, "Records Destruction Report".

D. Title IV-E eligibility records:

Closed Title IV-E eligibility records are retained in the Title IV-E unit. The procedures, as outlined for the Neighbor Islands, are to be followed, with the supervisor responsible for the Title IV-E eligibility records preparing the SA-5, "Disposal Eligibility Form", and the ICF requesting approval to destroy

records, arranging for the destruction once approval has been received and completing the SA-4, "Records Destruction Report".

### 11.2.8 Expungement of Reports

Reports that are determined to be unsubstantiated or reports that were used to justify petitions that are subsequently dismissed by the Family Court after a hearing on the merits of the allegations, pursuant to 587 HRS, are to be expunged from both the hard case record file and the electronic data base **within 60 days** of the acceptance of the report.

The following destruction procedures pertain to reports, not case records.

- A. Unsubstantiated reports: Unsubstantiated reports can exist in both active, ongoing cases as well as cases initiated by the report in question.
  - 1. Regardless of the status of the case the report is part of all documents, information and case dictation related to the report need to be removed from the physical case record and destroyed within 60 days of the acceptance of the report.
  - 2. Complete all CPSS screens as indicated in Chapter III, Section 2, **SOCIAL WORK INVESTIGATION**.
  - 3. If the case is an active case and services are to continue, enter a short statement on the CA52 screen that an intake was received on a specific date and the disposition in regards to that intake. The entry should also note the date all the information was destroyed pursuant to 350 HRS.
  - 4. If there are no services being offered to the family, the case record should be processed for closing pursuant to departmental procedures. Destruction date for the case record will be 60 days after the termination date.
- B. Dismissed petitions based on report

In situations where the department confirms a report of child abuse and neglect, petitions the Family Court and the court,

after a hearing on the merits of the allegations pursuant to 587 HRS, dismisses the petition, the report the petition was based on is to be treated in the same manner as an unsubstantiated report,

1. All documents, case dictation or other information included in the case record relating directly to the report is to be expunged within 60 days of the acceptance of the report.
2. All CPSS screens are to be completed as indicated in Chapter III, Section 2, **SOCIAL WORK INVESTIGATION**.
3. If the case is an active case and services are to continue, enter a short statement on the CA52 screen that an intake was received on a specific date and the disposition in regards to that intake and the subsequent action by the court. The entry should also note the date all the information was destroyed pursuant to 350 HRS.
4. If there are no other services to be provided to the family once the petition is dismissed, the case is to be processed for closing pursuant to departmental procedures. The destruction date for the case record will be three years after the date of closing.

### **11.3 CASE RECORD MAINTENANCE/DOCUMENTATION/DEMOGRAPHIC DATA**

ALL Child Welfare Services (CWS) case records shall contain the same basic information in the form of dictation, intake data, computer inputs and documents.

Case records serve many functions which include use by the CWS social worker in completing assessments; recording service delivery and efforts of the families; evaluation of service effectiveness; case planning; documentation of compliance with federal and state mandates: source of family history; and for CWS supervisors to evaluate CWS social workers.

Case records are reviewed by the courts, citizen review panels, state and federal agencies, as well as open to the clients or their representative in specific situations.

The Caseworker must review the race and ethnicity in CA/CU/CD 40 and CA/CU/CD 22 screens in CPSS. The Caseworker must make efforts to

confirm, determine and/or document the race and ethnicity of each person in the family by asking the children and families. The Caseworker must not make assumptions on which and how many racial and ethnic groups a person may belong to, and if the client is of a certain race or ethnicity. When a Caseworker, rather than the child or family, makes this determination, he or she may be incorrect and/or under- representing all possible race and ethnicities. Understanding the familial culture is valuable as it informs culturally responsive service planning.

A person's race and ethnicity is determined by how the person defines him or herself. In the case of a young child, parents determine the race and ethnicity of the child. NOTE: If there is a discrepancy between the Hawaii birth certificate and the family's report, the race and ethnicities identified by the family must be used.<sup>3</sup>

When the parent is unavailable and the child doesn't know his/her race and ethnicity, an "unable to determine" code can be used until more information is gathered.

"Unable to determine" is used when the child is very young or is severely disabled and no other person is available to determine the child's race and ethnicity. "Unable to determine" is also used if the parent, relative, or guardian is unwilling to identify the child's race and ethnicity.

The culture and ethnic origin of the child and family are a valuable part of their identity. Cultural sensitivity and responsiveness must be integrated into casework practice so that communication with the child and family is respectful, meaningful and effective. Not only when "Unable to determine" is selected but also throughout the life of a case, continue asking the family including their relatives about their race and ethnicity as their cultural identify.

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<sup>3</sup> The ethnicity on birth certificates may change over time. It must come from the parent(s) at birth of the child . However, people may view their ethnicity differently over time as they may become more aware of a broader range of applicable ethnic background. It is considered better practice to let the clients tell us about who they are. Therefore, in a case of a discrepancy between the birth certificate and self-identification at the time of contact, choose the ethnicity that was identified by the clients.

Conversations may include,

- “I’m going to ask you about how you prefer to describe yourself and your cultural background. Please tell me about your racial and ethnic identify/background”
- “Do you identify primarily with a particular country of origin or ancestry?”
- “What (cultural) background does the family identify as?” (when a complainant is not a family member)
- “Do you have any Native American heritage?” “Are you a member of a particular tribe?”

### 11.3.1 Opening a CWS Case

The MINIMAL information contained in a case record upon opening should be as follows:

A. Demographics: (statistical data regarding the family):

1. For a CPS case, the hard copy of CPSS screen, IR/IX10, lists the family members, birth dates, addresses and other demographic information needed. The HAWI CAP 1 and 2 screens should also be printed and filed in the case record. File in Part II of the case folder.
2. For a permanency case the worker can print out a CD14/16 screen, CS04 and CS08 screens to get the same information as in the IR/IX10. File in Part II of the case folder.

B. Dictation: Opening statement (reason for case opening):

1. For a CPS case, the hard copy of the intake report which details the reason for DHS involvement, is all that is required, filed in Part II of the case folder.
2. An Opening Statement is required for permanency cases.

**The opening statement must be entered into the CPSS, (screen CA52)**

Elements of an opening statement:

- a. Type of case, i.e., to facilitate adoption, long term foster care, or guardianship.
- b. Give brief history of child, stating where child was born, who the parents are, any siblings, reason for CPS case, where and when placed and status of placement, and summary of CPS involvement that led to permanency.
- c. In final paragraph, indicate the next court date, any special court orders and that information has been copied from parent's CPSS record (indicate CPSS #) and placed in the child's new case record.
- d. After final paragraph, use the following phrase to

indicate end of opening statement:

**OPENING STATEMENT COMPLETED**

- e. After typing the above phrase, the worker is to type his/her name and date the entry.
- 3. An opening statement for any non-CPS or non-permanency case needs to only state the date of the application, the reason for the application, and the purpose for opening the case.

C. CPSS screens:

Complete the following CPSS screens, as appropriate, when opening a case:

- CA/CU 14 General Case Data
- CA/CU 40 Adult Data
- CA 41 (When an adult is known in another case and is to be added to the new case, use this screen to insure that the client number remains the same)
- CA/CU 22 Child Data
- CA 23 (When placing a child into another record, use this screen to insure that the client number remains the same)
- CA/CU 28 Critical dates by Child
- CA/CU 50 Service Data Summary
- CA/CU 52 Log of Contacts

For CPS cases, in addition to the above, complete the screens, as outlined in the Chapter III, Section 1, **INTAKE**.

D. Correspondence:

Any correspondence or documents received when the case was referred to DHS should be DATE STAMPED as to the date the correspondence was received in the unit and placed in the proper section of the case file. (Refer to sub-section 11.5)

Documents can be listed into the CPSS by using CA60 screen.

E. Physically setting up a CWS (protective services) case:

Refer to sub-section 11.5 for specifics as to where to file all reports and information.

F. Setting up Permanency cases:

1. After permanency has been established, pertinent information from the case record of the parent needs to be copied and placed in the new record for the child.
2. An opening statement is required. [Refer to sub-section 11.3.1 (B)]
3. The following **MINIMAL** information, (itemized by where the information can be found and where it is to be filed in the new case record) is required:

If original document is indicated, insure that a **copy** of that document is returned to the parent's record

**PART I**

- a. **Copy** of the initial Safe Family Home Report and Family Court face sheet.
- b. **Original** petition and summons.
- c. **Original** police booking/voluntary consent.
- d. **Original** court orders up to the point FOSTER CUSTODY was ordered. [ALL orders]
- e. **Copy** of any additional DHS reports submitted between submission of initial report and the hearing when Foster Custody is awarded.

\*\* If a child was under Foster Custody, returned home, then re-removed into placement, items # i-v are to be followed for the initial Foster Custody order. Additionally provide:

- **Copy** of the motion to change Family Supervision to Foster Custody, which includes the DHS report to justify Foster Custody.

- **Original** court order re-ordering Foster Custody.

- f. **Copy** of motion for Permanent Custody (including the Safe Family Home Report and Permanent Plan that are to be attached to the motion).
- g. **Copy** of any additional reports submitted to the court between the time the motion for Permanent Custody is filed and permanency is ordered.
- h. **Original** court order awarding Permanent Custody with letters of Permanent Custody attached.

### PART II

- i. **Copy** of CPS intake(s) regarding the child in question.

### PART III

- j. **Copy** of ALL FC-IM notices.
- k. **Copy** of ALL Title IV-E eligibility determination, recertification, reconciliations and retro claims.

### PART IV

- l. **Copy** of Med-QUEST application.
- m. **Copy** of medical card.
- n. **Copy** of all medical services monthly reports on the child in question.
- o. **Copy** of any Purchase Orders for clothing or treatment for child in question.
- p. **Original** copy of birth certificate and social security card for child in question.
- q. **Original** copy of medical information form that parents are required to fill out on their family history, to be used if and when child is adopted.
- r. **Copy** of any special service costs work sheets regarding the child in question.

### PART V

- s. Dictation from the parent's record DOES NOT need to be copied and placed in the child's record.
- t. Follow Section 11.3.1.B regarding opening statement.

### PART VI

- u. **Copy** of any psychological or psychiatric evaluations of parent(s).
- v. **Copy** of any evaluations (physical, developmental, psychological), medical reports, or other pertinent information ABOUT THE CHILD in question.
- w. **Copy** of all placement forms or information for the child in question.
- x. **Copy** of any special licensing packet regarding placement of the child in question.
- y. **Copy** of any other relevant information the worker assesses as necessary to continue services to the child in question.

### 11.3.2 Transferring a CWS Case

When a case is ready to be transferred to a different service unit, the following MINIMAL information must be included in the case record.

A. Dictation:

For a CPS case, the CWS social worker is to maintain documentation of all contacts and assessment, in the format as outlined in sub-section 11.4, "Dictation."

B. Transfer summary:

1. Regardless of the amount of dictation in the case record, **ALL** cases require a transfer summary that outlines:
  - a. Date the case was activated;
  - b. The reason for agency involvement;
  - c. **Short** personal summary of each parent and/or child active in the case;
  - d. Court information;
  - e. Services offered, utilized, recommended;
  - f. Safety issues (for CPS case);
  - g. Worker's assessment of case; and

- h. Recommendations for follow up services.
- 2. CWS social workers are not to use the assessment (#14) from the SFHR into the CPSS as their transfer summary. The assessment in the SFHR does not answer the points needed in a transfer summary. The SFHR is an assessment, not a summary. The CWS social workers is also not to state, "Refer to SFHR date 00/00/00 for information," as the entire transfer summary.
- 3. **The transfer summary must be entered Into the CPSS, (screen CA52).**

C. CPSS Screens:

- 1. All regular case data should be updated.

CA/CU 14	General Case Data
CA/CU 40	Adult Data
CA/CU 22	Child Data
CA/CU 28	Critical dates by Child
CA/CU 50	Service Data Summary
CA/CU 52	Log of Contacts

- 2. **For CPS cases**, all CPS investigation screens (CU39, CU62, CU60, CU64) need to be updated.
- 3. If a child has been placed under DHS placement responsibility, the following CPSS screens need to be either added, updated or completed:

**(Please note that AFCAR information to start or end DHS placement responsibility must be entered within 60 days of action.)**

CA/CU 28	Critical dates by child
RA/RU 10	AFCARS Foster Care Review Summary
RA/RU 15	AFCARS Foster Care Episode Display

**11.3.3 Maintaining an Ongoing CWS Case**

ALL case records are to be maintained in a timely manner. Dictation should be current, documents and court orders need to be filed in the correct section of the case record and payments need to be issued on time. MINIMAL expectations are as follows:

A. CPSS requirements:

Update relevant changes to the CPSS screens on a timely basis. ALL cases should be reviewed, at a minimum, on a quarterly basis to insure accuracy.

**1. General Data Screens**

CU14	General Case Data (eligibility review, address, census tract)
CU40	Adult Data (address, goal, other general data)
CU22	Child Data (living arrangement, legal status, goal, address and other general data)
CA/CU28	Critical Data by Child (court dates, placement responsibility and legal status)
CU50	Service Delivery (insure all POS services entered; completed services have termination dates)
RA/RU10	AFCARS Foster Care Review Summary
RA/RU15	AFCARS Foster Care Episode Display

**2. Log of Contacts Screen (CA/CU52)**

MINIMALLY, the following entries **MUST** be entered into the CPSS using the CA52 screen.

- a. For CPS cases, the investigation will be on the CPSS 62 screen, thus the CPSS 52 screens will not need to be used until a disposition is made, or the case is ready to transfer.
- b. Opening statement for all Permanency cases.  
**[Refer to sub-section 11.3.1]**
- c. Transfer summaries for ALL cases  
**[Refer to sub-section 11.3.2]**

- d. Quarterly summaries for ALL cases  
**[Refer to sub-section 11.3.3(B)]**
  - e. All court hearings  
**[In addition to naming the child/children, the hearing concerns include the name of the judge; who was present; what was ordered; date of DHS reports submitted as evidence; date of service plan ordered; legal status of child; special orders; due date of next report; and date of next court hearing. CWS social worker needs to type his/her name and date.]**
  - f. All removal statements  
**[In addition to naming the child/children, the placement concerns state reason for removal, either from home or from a placement; indicate name and location of placement. CWS social worker needs to type his/her name and date.]**
  - g. All return statements  
**[In addition to naming the child/children who return home, state date child returned home, why returned home, whether return was court ordered, and whether return was teamed. CWS social worker needs to type his/her name and date.]**
  - h. Closing summaries  
**[Refer to sub-section 11.3.4(A) (5)]**
- B. Quarterly Summaries:
- 1. Quarterly (**EVERY 3 MONTHS**) summaries are required on all cases. These summaries are to include the following:
    - a. Reason for agency involvement;

- b. Safety issues identified;
  - c. Strategies for resolving these issues (Safety Plan/Case Plan services to address safety issues). If permanent plan or independent living plan, address permanency, independent living issues;
  - d. Specific behavioral changes to date;
  - e. Changes in treatment approach if any since last summary;
  - f. Goal and anticipated date of completion.
2. CWS social workers are not to use the assessment (#14) from the SFHR into the CPSS as their quarterly summary as that report is an assessment, not a summary of the family's progress and prognosis. The CWS social worker is also not to state, "Refer to SFHR date 00/00/00 for information," as the entire quarterly summary.
  3. **The quarterly summary MUST be entered into the CPSS, (screen CA52)**
  4. Quarterly summaries should be short and concise. They should not be more than 2 CPSS 52 screens, if only one child is in the home. (More children will require more information.)

**SAMPLE:**

**This case came to the attention of DHS on 00/00/00 due to a report of physical harm to Johnny White, age 4, by his mother, Sally White. Safety issues are inappropriate parenting due to isolation and low self esteem. Mrs. White has engaged in a parenting program and has been making progress. She is also beginning to be involved in her church and is going to individual therapy with Dr. Larry Kealoha. Johnny has been out of the home since 00/00/00 and is doing well in his placement in his maternal grandmother's home. Visits are four times a week and beginning next month, the visits will become unsupervised.**

**Projected return is 00/00/00 (two months).**

**DHS has Foster Custody of Johnny and the next hearing is set for 00/00/00 at 10:30 am. Mrs. White has been demonstrating more insight into how to parent a young child and is gaining more self esteem. If she continues to do well, DHS will be recommending that this case be closed in 00/00/00, four months after Johnny is due to return home.**

**Jenny Social Worker 2/1/00**

**2/3/00: Correction: 1/31/00 UA for Mary Smith was negative.**

**J. Social Worker 2/3/00**

C. Correspondence/documents:

1. All correspondence or documents received in the CWS unit need to be DATE STAMPED in the upper right hand comer of the document indicating the date received in the CWS unit.
2. All correspondence/documents/forms generated by the CWS social worker should be copied (Xeroxed) and placed in the proper section of the case record. This is to be a "true" copy, i.e., should include letterhead and ALL signatures. Copies can be on yellow paper, which indicates agency generated correspondence, or copied on white paper, with a stamped "COPY" in the upper right hand comer.

Follow the procedures for filing of documents in the case record as detailed in sub-section 11.5.

#### **11.3.4 Closing a CWS Case**

When services have been completed and all relevant documents, such as final court orders, are received, the case record needs to be prepared for closing. Timely closing of cases on the CPSS will eliminate CWS social worker responsibility regarding any future complaints that are received while the case is still active on the CPSS and physically in the CWS service unit. **Until the case is closed on the CPSS, the case will continue to be considered opened.**

**A. Steps to Maintaining Timely Case Closures**

1. Close CWS cases within 45 days of the last date of service if the case is appropriate for case closure. (Refer to Part III Case Work Services, Section 11.3.4 Closing a CWS Case for case closing procedures.)
2. Supervisors and case workers together determine if a case is ready for closure based on the following:
  - a. Services have been completed or are not needed;
  - b. Permanency has been achieved; and
  - c. All relevant activities are completed and documents, such as final court orders, are received.
3. A log shall be inputted into inactive cases (inactive for more than 90 days) determined not ready for closure. The purpose of the log is to provide an update/status of the case. The log should be short and concise and include the following:
  - a. Current Safety Factors
  - b. Court information
  - c. Parent's progress in services
  - d. Child(ren) (Note current placement, visits with siblings and parents, and needs.)
  - e. Other significant information

**B. Strategies to Maintain Timely Case Closures**

1. Utilize monthly supervision between supervisors and case workers to review case assignments (WS12 screen).
2. Utilize monthly supervision time with case workers to close cases together.
3. Supervisors to designate protected time for staff, each month, to close cases.
4. Utilize the Buddy System across sections. The Buddy System pairs sections together to support transfer of learning, modeling of effective strategies and skills, and hands on assistance to one another

**C. Closing Steps**

Cases are to be closed in the following order of task completion:

1. Closing dictation

- a. Ongoing dictation, using the criteria as set up in subsection 11.4, **Dictation**, should be completed within 30 days of service completion. If the CWS social worker has been unable to enter all individual contacts, consider combining and summarizing the contacts.
- b. When **permanent custody is awarded over a child**, on the date of the permanent custody hearing, enter a log entitled: separation of case: and indicate that as DHS was awarded Permanent Custody over the child(ren) on the 00/00/00, all services will be continued in a record set up for the child(ren) as that child(ren) is removed from the parent's case. State that all pertinent information has been copied from the parent's record (cite CPSS #) and placed in the new case record and all further dictation regarding that child(ren) will be recorded in the new record.
- c. The **final** entry in the ongoing logs should be a closing statement: This statement should indicate, in three sentences or less, when and why services were completed and cite the rule that pertains to the closing. (This is not to be confused with a closing summary.)
- d. CWS social worker is to type his/her name and date dictation.

### 2. Closing summary:

- a. After the CWS social worker has entered all ongoing dictation, a concise, to the point, Closing Summary is required, which should include, but not be limited to, the following:
  - i. Date and reason for agency involvement;
  - ii. Cite if children were ever removed from the home. If so, cite dates of time out of the home and when and if returned;
  - iii. Cite services offered;
  - iv. Specific behavioral changes (discuss changes that have occurred as basis for closing and/or prognosis for success);
  - v. If services were not successful, cite reasons for failure and consequence for the family, such as

- vi. permanency for the children;
- b. Recommendations as to what should happen if the case comes back into the system within a year (especially voluntary or permanency cases), such as possible placement resources, legal action, or the feasibility of again engaging the family in services.
- b. CWS social worker is to type his/her name and date of entry.
- c. CWS social worker is not to restate the final assessment in the SFHR.
- d. The closing summary MUST be entered into the CPSS (screen CA52). The entry should not be more than 3 screens.**

3. Filing

- a. If a parent's case is to be closed **due to permanent custody of a child**, before parents record can be readied for closure, pertinent information from the case record needs to be copied.

Please refer to sub-section 11.3.1(F) (3) for specifics as to what is copied

- b. When case is ready to be closed **due to successful completion of services, or pertinent information has been copied**, then the record needs to be reviewed to insure that all documents are filed correctly and in chronological order. Filing should reflect the procedures in sub-section 11.5
- c. The DAG log of contacts (Blue paper) as well as the criminal history information and the separate information regarding HIV, AIDS, ARC and Hepatitis B\_ are to be removed from the record and shredded. (These documents are not part of the official record, especially the criminal history check, which is provided to the DHS as a courtesy. If a case is reopened, a new criminal history check should be requested at that time.)
- d. Duplicates of court reports, court orders, reports, and

other data should be removed and shredded. Only original or single copies should remain in the case record.

- e. When more than one volume is needed, the additional volumes should be manila folders. If an additional volume contains court case plans as well as correspondence, use blue paper to separate the sections, labeling the sections. **Do not use brown six part folders for additional volumes.**
- f. Information in the six part brown folder that does not need a second folder can remain in the brown folder or be re-filed into manila folders, set apart with blue paper to separate sections.
- g. If brown folder is retained, insure that it has the highest volume number on the case label if there is more than one volume.

If using manila folders, insure that the highest numbered volume has PART II filed on the top.

#### 4. CPSS entries

CPSS screens should be completed in the following order: For screens that do not apply, such as when no legal intervention was involved, skip the screen; do not try to put in information just to fill in the screen.

- a. CU 50      **Service Data:** Close out all lines of service. Use the actual date of service completion as the termination date
- b. PC 30      **Payment Screen:** Insure that all payments have been authorized and issued or canceled
- c. CA/CU 28 **Critical date by child:** Insure that all legal data is complete. If FC or FS was terminated, indicate the date of the court hearing and state that the legal status is **NN** (no legal status). If PC awarded, put in the court date as the beginning and end of legal status entry, to complete the line

**SAMPLE: (to close out status)**

Legal Event:	CH
Action Date:	09/01/0000
Legal Status:	NN
Status start date:	09/01/0000
Status end date:	09/01/0000
Review type:	

Review the bottom half of screen 28 to insure that the proper code and date is entered, if DHS placement responsibility has ceased, for whatever specific reason, such as when a child was returned home. (Refer to the CPSS help screens for the proper code.)

**SAMPLE: (for permanency case)**

Legal Event:	CH
Action Date:	10/01/0000
Legal Status:	PC
Status start date:	10/01/0000
Status and date:	
Review type:	JD18

If PC awarded, do not touch bottom half of screen.

- d. RU 10      **AFCARS Foster Care Review Summary:**  
Insure that all information is complete per AFCARS directions
- e. RU 15      **AFCARS Foster Care Episode Display:**  
Insure that all data is completed per AFCARS directions
- f. CU 22      **Child Data:** Update child’s screen in all areas.

If PC awarded, use **08** and date of PC hearing to remove child from the record (middle of CU22 screen).

On the second screen, CU24, close out the goal.

- g. CU 40      **Adult Data:** Update adult screen as needed. Insure that goal is terminated on the CU42 screen.
- h. CU 14      **General case data** – update
- i. CU 16      Termination reason/type
- j. G509/k509 Notice of termination: (to notify family of case closure.)

5. Submit to CWS supervisor for review and closure

- a. CWS supervisor is to review the filing, to insure that any criminal history information has been removed, to insure that duplicates of documents, reports and court orders have been removed, and that information is filed according to procedures. Refer to sub-section 11.5.
- b. CWS supervisor is to review all CPSS screens to insure that lines of service, goal, legal status, and payments have been properly terminated and all information including demographics, dictation summaries, and closing code on CU16 has been correctly entered by staff. If information is incomplete, the case record is to be returned to staff for proper completion.
- c. When case record is ready for closure, CWS supervisor is to enter into the CPSS log of contacts, using a CA52, that case has been reviewed and is approved for closing. Cite date of closing. Supervisor is to type name and date entry.
- d. CWS supervisor is to access the WS17 and CU68 screens to initiate closing. If everything is in order, supervisor is to complete the CU68 screen which closes the case on the CPSS.
- e. CWS supervisor is to print a CR14 and CR16 screens using the desktop printers or remote printers.
- f. The case is then to be processed out of the CWS unit per individual unit procedures in addition to departmental procedures which are:

- i. **Destruction date** is to be on all volume case record labels as outlined in subsection 11.2.3
- ii. **Volumes are to be numbered**, the highest on top and contains PART II and the CR14 print out
- iii. **If more than one volume**, each volume needs to be identified on the outside of the volume, in BLACK ink with the following: For example: **Vol.1 of 4, Vol.2 of 4.**
- iv. **The 3x5 card** needs to be stapled to the outside of the last volume. The card needs to indicate, in RED ink, on the upper right hand side, under the CPSS case number, the date of closing.
- v. **Case record needs to be tied or bundled together.**
- vi. Case is then ready to be sent to closed files.

**11.3.5 Opening, maintaining and closing a payment only case**

(Cases that are opened only for payment, such as permanency assistance cases, adoption assistance cases, foster payments for another agency cases.)

A. CPSS screens:

For payment only cases, the following CPSS screens need to be entered;

CA/CU 14	General Case Data
CA/CU 40	Adult Data
CA 41	(When an adult is known in another case and is to be added to the new case, use this screen to insure that the client number remains the same)
CA/CU 22	Child Data
CA 23	(When placing a child into another record, use this screen to insure that the client number remains the same)
CA/CU 28	Critical dates by Child
CA/CU 50	Service Data Summary
CA/CU 52	Log of Contacts

B. Demographics;(data regarding the family):

The assigned CWS staff worker only needs to print out the CD14/16 screen, CS04, and CS08 screens. This is to be filed in Part II of the case record.

C. Physical set up of record:

1. The following MINIMAL information is needed for any payment only case set up as a result of a CWS action, such as adoption assistance or permanency assistance.

a. PART I:

**Original** DHS copy of any court order that gives the individual custody of the child(ren) to the payee of the payment only case.

b. PART II:

A print out of the CPSS 14/16 screens.

c. PART III:

**Copy** of all Title IV-E eligibility determinations, recertification, reconciliations and retro claims, if any.

d. PART IV:

**Copy** of any medical applications, medical information on the child.

**Copy** of the birth certificate, social security card and medical cards

Case record **copy** of any difficulty of care worksheets

e. PART V:

Any printed dictation

f. PART VI:

**Original** adoption application/agreement or permanency application/agreement

**Copies** of any correspondence pertaining to the child or caregiver that are critical to the care of the child.

2. For any non-CPS or non-permanency payment only cases, the case record needs to include the application for services; demographic information, any Title IV-E notices and eligibility forms; dictation and relevant correspondence.

D. Dictation:

**1. Opening statement:**

The opening statement only needs to include the date and basis for the case opening.

**2. Ongoing dictation:**

Payment only cases require only the following ongoing dictation:

- a. Transfer **statement**, when and if the case is transferred. The statement only indicates the reason for the payments, any special criteria, such as difficulty of care payments, and any concerns.
- b. Quarterly summaries are not required.
- c. Annual eligibility review statements are required.
- d. Significant events should be recorded, which could include any fraud actions, overpayments and why, changes in family circumstances, or reported concerns to the department.

**3. Closing dictation:**

Closing **statement** is required when the case is to be closed. The statement is to include the reason for the opening, the current status of the case and the reason

for the closing.

E. Case closing:

1. Notify family of intended date of case closure.
2. Enter closing summary on CA52.
3. Update all CPSS screens and terminate all lines of service in the following order:

CU50	Service Date ( <b>terminate payment</b> )
PC30	Payment screen ( <b>authorize final payment</b> )
CU28	Critical date by child
CU22/24	Child Data
CU40/42	Adult Data
CU14	General information
CU16	Termination reason
G509	Notice of termination

4. Insure that the case record is filed according to procedures as outlined in sub-section 11.5.
5. Submit case record to unit supervisor for closing. Unit supervisor will process the case per procedures in sub-section 11.3.4 (D).

**11.4 DICTATION/CASE RECORDING**

Dictation, or case recording, is a system of recording significant events/contacts related to case activity. Entries should be timely and concise, citing only the relevant facts or observation in short statements to remind the worker of the purpose and result of each contact.

The department standards for dictation shall be that case records should include clear and specific material pertinent to the clients situation and the service delivery and to support the case plan and should be in a format that is easily grasped. Care must also be taken to avoid recording damaging, libelous, slanderous statements. (This is consistent with Child Welfare League of American recommended standards.)

OFFICIAL case record dictation will be the entries entered in the CPSS. Other notes or compilation of information will not be considered dictation

and are not included in the case record.

**NOTE: Any communication between the social worker and the Deputy Attorney General (DAG) should be recorded on a separate log, on blue paper. This log is for reference only and will not be part of the official record when closed as this is attorney/client privilege.**

**11.4.1 Characteristics of appropriate dictation**

A. Concise:

Dictation entries are to be to the point, not repeat information, are clear, and avoid lengthy accounts of the contact. (Long, involved "Process recording" is not appropriate for ongoing case dictation.) Only relevant information is recorded.

B. Objective:

Only facts or observations are noted. CWS social worker's opinions are not included.

***CWS social worker's opinions and/or assessments are separate from fact gathering and need to be labeled as such.***

Negative statements regarding clients should not be included.

C. Organized:

The entry has a focus, which allows it to be concise.

D. Answers who, what, when, where, why and how:

The entry uses specific information to address dates, times, location, how involved, what said and descriptions of conditions.

E. Chronological:

Entries should follow the order of events. Entries that deal with events that happened days or weeks prior to other entries only lead to confusion.

F. Professional:

Case dictation should reflect the professional nature of social work. Clients should be referred to by their surname, not by their first name, nickname or role in family, such as "mother."

Relationships should also be accurately reflected. If a girl/boy friend is in the home and is a parent figure, unless there is a legal relationship between the parent and the girl/boy friend, they should not be referred to as "step" parent. They are to be referred to by their surname and proper relationship.

The use of abbreviations should be kept at a minimum, except as already approved for CPSS entries, such as: TCT, TCF, HV, SV, FCT, etc. Do not invent a system of abbreviations that have no meaning to other social workers.

#### 11.4.2 Dictation guidelines for entering investigation data

The CWS social worker has 60 days in which to assess the CPS complaint and make a disposition as to the validity of the complaint. **ALL** contacts made during the investigation are to be compiled on the CPSS screen, CA62.

- A. The CPSS screen 62, which has 99 pages, can accommodate the process of the investigation. **The CPSS 52 screen is not to be used.**
  1. The CWS social worker may make separate, running entries, using the CPSS CU62 command.
  2. The CWS social worker may make one entry, using the CA62 command and then summarize the types, dates of contacts and then summarize the content of contacts, assessment and basis for the disposition.
  3. Regardless of the method of entry, the dictation should include all the contacts made with the family to inform them of concurrent planning criteria as well as exploration of family support.
  4. CWS social workers need to remember to be concise and focused as to the facts of the case. Being concise will reduce the length of the entries, but not the important content.

- B. Once a disposition is made **OR** the case goes beyond 60 days, the case is no longer in assessment (investigative) status, it is now in case management status, regardless of the service unit, and the dictation is to reflect that fact by being entered into the CA52.

### 11.4.3 Dictation guidelines for ongoing dictation

Ongoing dictation MUST be entered into the CPSS, screen CA52, on at least a monthly basis. The CWS social worker can enter information on each date of occurrence; group the contacts; or summarize monthly progress citing the contacts, dates and types of contacts.

Each entry must include the date of the contact, the type of contact, the person with whom the contact was with and the essence of the contact.

Dictation can be transcribed into the CPSS in one of two ways. Each worker can decide which method is the most efficient and most workable for him/her.

#### A. Directly into the CPSS:

1. CWS social workers are to use the CA52 screen to record all their contacts (past disposition or past 60 days). CWS social workers may choose to use a separate screen for each contact or use one screen to summarize several like contacts, such as: TCTs on 00/00/00 and then list who CWS social worker called, why called and result of call.
2. When logging onto the CA52 screen, the CWS social worker must indicate the date of the event (which can be a different date than the date information is being entered into the CPSS).

**CWS social workers are to type his/her name and DATE their entries as to the actual date the information is being entered as it may be different than the date of the event.**

3. The CPSS is not able to differentiate between morning and afternoon time references, therefore, the CWS social worker must remember to use "military" time,

which is a 24 hour time reference, when logging onto the CPSS in order to have all the dictation reflect the proper sequence of events.

For hours between midnight and noon, the CWS social worker needs to put "0" before any hour with a single digit as the CPSS needs double digit numbers for the hours, such as 06:35 for 6:35 am, or 09:15 for 9:15 am.

For the hours noon to midnight, the CWS social worker needs to enter double digits for the hours, continuing to count from 12 noon as 12:00 to 12 midnight as 24:00.

12 noon = 12:00  
1 pm = 13:00  
2 pm = 14:00  
3 pm = 15:00  
4 pm = 16:00  
5 pm = 17:00  
6 pm = 18:00  
7 pm = 19:00  
8 pm = 20:00  
9 pm = 21:00  
10 pm = 22:00  
11 pm = 23:00  
12 midnight= 00:00

4. CWS social workers must be **very careful** not to make mistakes when entering CPSS logs. In order to prevent any questions as to the accuracy and timeliness of the logs, once a completed entry has been saved, using the F11 key, the log text cannot be altered.

Corrections/additions will need to be indicated separate from the entry. CWS social workers are **NOT PERMITTED** to add, correct, or change dates, names or numbers directly into the text.

- a. If there is a mistake in the log:
  - i. The worker is to access the log where the mistake occurred, using CU52.
  - ii. Add a statement, at the end of the existing

- log entry, using the date of the new entry, to state what the error is.
- iii. Make the correction. Thus, the log has an extra entry:

**SAMPLE: Log of 2/1/00 at 14:10**

**1/31/00 UA on Mary Smith was positive.**

**Jenny Social Worker 2/1/00**

**2/3/00: Correction: 1/31/00 UA for Mary Smith was negative.**

**J. Social Worker 2/3/00**

- b. When a CWS social worker does not enter all the data and needs to return to the log to complete the entry, there needs to be a notation that additional information is being added on a date different from the entry date listed on the CPSS.
  - i. CWS social worker is to access the incomplete log using CU52.
  - ii. Indicate that the log text is being continued.
  - iii. Add to the log.

**SAMPLE: Log of 01/12/00 at 15:00**

**Mr. Smith reported to the worker that his wife was using drugs and neglecting the children.**

**Jenny Social Worker  
1/12/00**

**01/13/00: (Continuation) Mr. Smith based his report on the fact that his wife was again sleeping late and not helping with the children.....**

**J. Social Worker 1/13/00**

NOTE: (if the CWS social worker is distracted by a phone call, or fears that the CPSS system will back them out, pressing the F3 key screen will save the

data and proceed to next page. Pressing the F2 key will then return the CWS social worker to the previous page to continue the entry.)

- c. If a log is entered into the wrong case, do not **expunge** the entry, rather indicate on the bottom of the entry that it was entered into the wrong record.

**SAMPLE: Log of 01/12/00 at 15:00**

**Mr. Smith reported to the worker that his wife was using drugs and neglecting the children.**

**Jenny Social Worker  
1/12/00**

**01/23/00: The above entry does not belong to this case, entered by mistake.**

**Jenny Social Worker  
1/23/00**

- 5. When a case record is sealed, such as when serious abuse or death reports are received on an active case, **DO NOT update** any logs. New logs may be added.

The other method of entering case dictation into the CPSS is as follows:

B. Word Processing Log:

CWS social workers may maintain a log of contacts using a word processing program, to later copy the log into the CPSS. As word processing allows for additions, corrections, and other ways to ensure the proper information is being captured, this option may be the choice of CWS social workers.

If this option is being used, the CWS social worker must follow the proper format for the dictation, must ensure that the dictation follows the same criteria as cited in sub-section 11.4.1 and that the dictation is copied into the CPSS at least **once a month**.

For CWS social workers using the word processing method of

logging, the following procedures apply:

1. Transcribed dictation needs to conform to the following guidelines:
  - a. The CWS social worker is to set right/left margins to 0.25 inches. This will allow a match to the CPSS screen.
  - b. If the CWS social worker is using a DOS program, the font size must be **10**, preferably Courier.  
  
If the CWS social worker is using a WINDOWS 3.1 or WINDOWS 95 program, or later, the font size must be **12**, preferably Courier.
  - c. Columns are not necessary as the CWS social worker can use tabs to offset data.
2. CWS social workers can choose to enter logs on an individual basis or daily contacts, or monthly updates, using dates, types of contacts, and relevant information.

**SAMPLE: (for individual entries)**

**00/00/00 TCT John Smith**

**XXX XXXX XXX XXX X**

**00/00/00 HV Jones home**

**XXX XXXXXXXX XXXXXX**

**Jenny Social Worker 00/00/00**

**SAMPLE: (for daily entries)**

**Activities on this date (00/00/00)**

**TCT John Smith who stated he needed help in getting into his drug program. Worker made referral to SA.**

**HV Foster home: Worker visited with Mary in the Kane home. She is still having nightmares. Worker talked with child**

**and tried to assure her. Worker will refer child to therapist. Mrs. Kane willing to engage in treatment with child.**

**Jenny Social Worker 00/00/00**

**SAMPLE: (for monthly entries)**

**Activities for month of June, 0000**

**TCT on 00/00/00 John Smith who stated he needed help in getting into his drug program. Worker made referral to SA.**

**HV on 00/00/00: Foster home: Worker visited with Mary in the Kane home. She is still having nightmares. Worker talked with child and tried to assure her. Worker will refer child to therapist. Mrs. Kane willing to engage in treatment with child.**

**TCF on 00/00/00 SA: Mr. Smith has not been to program for three weeks.**

**CORR on 00/00/00: DHS sent letter to Mr. Smith.**

**He needs to contact worker and program.**

**Jenny Social Worker 00/00/00**

3. On a monthly basis, ongoing dictation needs to be copied into the CPSS.
  - a. Use the CA52 screen.
  - b. On the CA52 prompt screen, enter in the date the data is being entered into the CPSS.
  - c. On the top of the CPSS 52 screen, indicate "00/00(month) update" as the notation for the entry.
  - d. Before accessing the word processing log, enter onto the CPSS 52 screen that:

"The following information covering 00/00/00 to 00/00/00 is being copied from CWS social worker's word processing log."

- e. Following CPSS procedures, toggle to the word processing program screen.
  - f. Call up the dictation on the word processing log.
  - g. Copy the dictation into the CPSS, using as many screens for the CPSS 52 as needed, using F11 or F3 key at the end of each screen to save the information per screen.
  - h. After copying the dictation, exit the word processing program and toggle back to the CPSS 52 screen.
  - i. CWS social worker is to type name and date on the bottom of the CPSS 52 screen. Enter F11 and exit.
4. Word processing logs are to be maintained on a computer disk, as well as on the hard drive of the CWS social worker's computer. All computer disks should be secured at the end of each work day.

When the log has been copied into the CPSS, erase the data from the disk as the CPSS log is the "official" log.

5. When a case is sealed, such as when serious abuse or death reports are received on an active case, a dated entry must be made of the sealing of the record into the word processing log. The CWS social worker types in date.

Dictation not yet copied into the CPSS is to be entered, **as is**, using the above procedures.

New entries can be transcribed as ongoing dictation after the date of sealing. If dictation was not complete at the time the dictation was entered into the CPSS, the CWS social worker can make a single entry into either the word processing log or directly into the CPSS,

stating the dictation was not complete upon sealing, then adding the information that was missing.

### 11.5 FILING INSTRUCTION FOR CASE FOLDER

As stated in section 11.2.5, hard copies of case records should be maintained in a six part folder. All hard copies of case record documents should be filed in the following manner:

#### 11.5.1 Part I (left side of the front folder cover):

A. **Court case**, file all court related documents, case plans. With the exception of the child's information sheet, which shall be filed on top, file the following in chronological order, keeping the following (\*\*) as part of a set when filing:

1. Voluntary foster placement agreement or Police protective custody forms (if both, put in chronological order).
2. Copy of request for counsel.
3. Copy of proof of service and request to DAG investigator.
4. **Initial** Safe Family Home Report, with Family Court Face sheet attached.
5. Certified copy of the petition with filed summons for each party stapled to the front of the petition.
6. All notices of appointment of counsel, GAL.
7. Certified court order of initial hearing.
8. If jurisdiction was not awarded at initial hearing, file subsequent court orders and any additional DHS reports in chronological order until Family Supervision or Foster Custody awarded.
9. \*\*
  - (a) Safe Family Home Report
  - (b) GAL report
  - (c) Certified copy of court order
  - (d) Service Plan (with modifications, if ordered)

**Repeat a-d for each court hearing, this set equates to a case plan.**

10. The child's information sheet is to be placed on top of the service plan until child is returned home. When returned home, the form will remain in this section, upon the last court order when Foster Custody was in place. Once Family Supervision is assumed or ordered,

this form is no longer to be moved to the top.

11. When appropriate, Motion for Permanent Custody.
12. Final Order:
  - a. If Permanent Custody, it remains on the top of this section (a copy, as the original **will** be placed in the child's record).
  - b. If successful termination of services, final order should be on top of this section.

B. **Voluntary placement cases**, with the exception of the child's information sheet, which shall be filed on top, file the following in chronological order, keeping the following (\*\*) as part of a set when filing:

1. Voluntary foster placement agreement (good for 90 days) and/or police booking form.
2. \*\* Safe Family Home Report.
3. \*\* Service Plan.
4. Child's Information Sheet  
This form is to be used only when DHS has placement responsibility. If child is returned to the home, it is to be placed under the current Safe Family Home Report and Service Plan.

**NOTE:** If and when DHS files a petition in a voluntary case, the filing should follow the order listed above, beginning on top of the last voluntary Safe Family Home Report and Service Plan.

**11.5.2 Part II** (opposite side of part I):

File all intake reports, notices, DHS application forms, if applicable, in the following order:

- A. DSS 7 (Face sheet on top, if available);
- B. CPS Intakes and Reports of Concern (most recent on top);
- C. Application for Services (DHS 1501);
- D. Eligibility reviews (most recent on top);
- E. 1504s (most recent on top);
- F. 1509s (most recent on top);
- G. CPS Investigation write ups (pre-dating CPSS, if available);
- H. 0312s (pre-dating CPSS, if available).

**11.5.3 Part III** (left side, second section):

File in chronological order, where appropriate, all Title IV-E documents, all FC-IM notices, and CPSS print outs of CR50.

**11.5.4 Part IV** (right side, second section):

File, with most recent on top:

- A. Medical payment related activities, e.g., medical applications, Med-QUEST forms;
- B. Purchase Orders;
- C. Special service costs work sheets, letter to foster parent re: special service costs;
- D. Social Security application;
- E. Other billings;
- F. Medical Information form;
- G. Any Payment TAFs, that pre-date the CPSS payment system;

File all PWS4s on top of this section, if any.

- H. Vital documents such as birth certificates, social security cards and **copy of medical card** (put in envelop and file onto 2 hole prong) and place on top of the PWS4.

**11.5.5 Part V** (left side, third section):

Dictation (most recent on top). Printed pages need to be numbered.

**11.5.6 Part VI** (right side, third section):

Everything in this section is to be filed, together, in chronological order. Do not separate out into groups.

- A. All correspondence, letters, medical records including photographs, autopsy report, immunization record, psychological evaluations, POS reports and internal reports or memos concerning the case.
- B. **ALL** documents are to be dated. When correspondence or other documents are received in the unit, they are to be DATE STAMPED on the upper right corner. If documents are agency generated, they are to be dated.

**11.5.7 FOUR PART case record folder:**

If still using the brown four part folder, continue to use the current supply until exhausted. Filing should be as follows:

PART 1: Same as listed in 11.5.1 above.

PART 2: Combine Part 2 and Part 3 of six part folder. File the information listed in 11.5.3 BEHIND the information listed in 11.5.2.

PART 3: Same as listed in 11.5.5.

PART 4: Combine Part 4 and Part 6 of the six part folder. Put all documents, together, in chronological order. Do not put into groups.

Place the PWS 4 on top of this section, if being used.

Birth certificate, social security cards, medical cards, place in envelop and file on prongs on top of this section.