

Title:	Child Welfare Manual
Section 5:	Case Record Maintenance and Access
Chapter 1:	Case Records and Filing
Subsection:	Overview
Effective Date:	January 1, 2018
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Section 5 Overview

This section describes the manner in which case records are composed, maintained, and expunged. This section also explores a person's access to records, sharing of confidential information, case documentation and case transfer procedures.

Chapter 1 Case Records and Filing

Definition of Terms

When discussing the composition of a case record the follow definitions are used:

- Case Record: This refers to the **entire** amount of information the Children's Division has on a family. This includes electronic and non-electronic information. There can be different types of records established in working with families. These include adoption records, licensing records and case records.
- Chronological order: This is defined as oldest to newest (book-style). When deciding what date to use to determine chronological order, the following hierarchy will be used (in order of preference):
 1. The date the document was written
 2. The date the document was signed
 3. The date the document was sent
 4. The date the document was received
 5. The date the document was found

The overall guiding principle when filing a case record is as follows: if a document or information is maintained electronically (i.e. in FACES, in Outlook, or scanned and uploaded to Document Imaging) then it does not need to be maintained in the paper case file. It is staff's responsibility to ensure the scanned document is complete and legible. NOTE: Paper copies of the birth certificate and social security card for a child should always be kept and not shredded.

Chapter Memoranda History: (prior to 01-31-07)

[CS03-51](#), [CD04-45](#), [CD04-79](#), [CD05-72](#), [CD06-15](#), [CD06-60](#)

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1.1 – Hotline Report Records

Records regarding hotline reports (whether investigations, assessments, or juvenile reports) shall be maintained via the FACES system and Document Imaging. It shall be the supervisor's discretion to determine if documents shall be maintained in paper form. This may include documents that contain client's signatures. The electronic signature in FACES on the CPS-1 shall be considered official by both the supervisor and the worker.

If a paper record must be established, the pink cover sheet shall be used to identify the specific incident to which the information pertains.

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1.2 – Case Management Records

NOTE: cases that began prior to 2018 may still have paper records that follow the former paper filing system. This system (for reference) can be found [here](#) (add link)

The following sections of case management records compose the paper record that shall be kept by the Division:

Individual Section (Cover sheet: white - for each individual with name and DCN)

Every child and parent has their own section of this type if these documents are in Children's Division's possession. Any information pertaining to only this individual that is necessary to be maintained as an original document goes here. If a document is needed in paper form and applies to multiple persons, a copy can be placed in each person's Individual Section. This section includes:

- Original Birth Certificates
- Original Social Security Cards
- Original Death Certificates
- Documents with parent's signature (Supervisor's discretion)
- Original art or letters written by children (Worker's discretion)
- Original Pictures sentimental to the family (Worker's discretion)
- Hard copies of videos on physical media formats
- Documents pertaining to medication prescribed (cannot be shredded after being uploaded)
- Paperwork Documenting consent to begin or change medication related to a child in CD custody (cannot be shredded after being uploaded)

Intimate Partner Violence Section – (Cover Sheet: Red)

This section is used for intimate partner violence documents and case work to protect the victims of intimate partner violence. Documents may be kept in this section and will not be released with record requests. These documents are not scanned and uploaded.

This section includes, but is not limited to:

- Orders of Protection
- Signs of Safety forms (if containing sensitive information)
- Police Record
- Written Statements
- Witness Statements
- Narrative summary of violent incidents

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1.3 - Adoption/Guardianship Subsidy File - (Separate File Folder)

This file is to contain family adoption/guardianship subsidy information and should be created for the adoptive or guardian family at the time of their first adoption/guardianship involving subsidy. As the family adopts or receives guardianship of more children, the new child(ren)'s information is to be added to this file. This is to be a separate file used by the Children's Service Worker managing the subsidy. Any information post-adoption/guardianship should be placed in this file. Contents of this file are to include the Child's Placement summary, any reports for the child, the family's home assessment and updates, forms, payment related paperwork, legal paperwork, the subsidy contract, and any correspondence. Narrative that relates to the family should be entered in FACES. The following sections are to be a part of this file:

Child Assessment – (Cover Sheet: White)

- Child placement summary signed by the worker and family
- Reports on the child

Family Assessment - (Cover Sheet: White)

- Home Assessment
- Updates

Forms – (Cover Sheet: Yellow)

- Vendor Licensure/ Approval and Renewal screen in FACES
- ICAMA forms
- Third Party Resource Form (TPL-1) and Accident Reporting Form (TPL-2)
- Release of Medical/Health Information (SS-6)

Payment – (Cover Sheet: Green – to be retained for at least one (1) year. If needed, the computer system retains this information and can be obtained.)

- Service Authorizations
- Payment Requests
- Receipts

Legal – (Cover Sheet: Buff/Tan)

- In Legal Guardianship Cases – Proof of Children's Division Custody
- Court orders:
- Release of Jurisdiction (Adoption only)
- Adoption Petition (if the worker receives one)
- Transfer of custody order
- Adoption decree
- Award of Legal Guardianship

Subsidy Contract – (Cover Sheet: Pink)

- Adoption and Guardianship subsidy forms

Narrative – (Cover Sheet: Blue)

- Case contacts and summaries

Correspondence – (Cover Sheet: White)

- Annual review letter
- Fair hearing review letter
- Any other written correspondence

Adopted Adult Information Request – (Cover Sheet: White)

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Documents in this section include information regarding adopted adults, biological siblings, biological parents, and lineal descendants of the adopted adult.

- Non-Identifying Information Form (CS-50)
- Court order or request from court
- Narrative pertaining to request
- Court report
- Correspondence
- Documents including but not limited to:
 - Birth certificate
 - Death certificate
 - Driver's license or photo I.D.
 - Adoption decree

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1.4 – Resource Home (Licensing) Records

Documentation and file maintenance are as important in resource provider files as they are for foster youth's case files. No child-specific information should be placed in the resource file with the exception of the CD-104 located inside the front cover of the file. The following is a guideline for file set up and maintenance.

Forms Section (Yellow)

- Assessment Application, CS-42*
- Resource Home and Safety Checklist, CS-45*
- Out of County Home Assessment Request, CD-174
- Resource Parent Acknowledgment of Home Assessment & Case File Information Access, CD-128 *
- Well Water Check (Health Department), if applicable
- Discipline Agreement, CD-119*
- Safe Sleep Practices, CD-117*
- Notification of Hazards, CD101; Swimming Pool, Trampoline, household smokers, etc.
- Current Authorization for Release of Information, SS-6*
- Current Vendor Licensure/Placement Resource Report, formerly referred to as the SS-60, now the Vendor Licensure/Approval and Renewal screen in FACES.*
- Sanitation Inspection, CS-101j, if applicable
- Fire & Safety Inspection, if applicable
- Resource Family Exit Interview, CD-112

HIPAA (White) (Information in this section is not available to the public)

- Resource Provider Health Insurance Portability and Accountability Information, CD-194
- Foster/Adoptive Medical Report, CW-215*
- Psychological Evaluations/Therapists Reports
- TB Test

Background Section (Green)

- Current Fingerprint Based Criminal Background Check Results or Letter*
- Case.Net Check*
- Family Care Safety Registry*
- Sex Offender List by Address, [Search Missouri Sex Offender Registry](#)

Correspondence (White)

- Letters to Foster Family
- Any other written correspondence (including business E-mail)

Training (Buff)

- All Training Certificates*
- Training sign in sheets*
- Training record screens*
- Resource Family In-service Training Request, CD-114
- All flyers and notifications of In-service training opportunities

Contracts/Licensing (Yellow)

- Alternative Care, CM-3*
- Professional Parenting, CM-14*

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- Respite, CM-10
- Elevated Needs Level B Respite, CM-9
- Elevated Needs Level B, CM-8
- Level A Foster Care, CM-3 Amendment
- Medical Home, CM-3 Amendment

Family Assessment (White)

- STARS Initial In-Home Consultation
- Resource Provider Family Study and Addendums*
- Personal Reference Questionnaire, CS-101f* Utilized at initial licensure and only at re-licensure if warranted
- School Reference Request, CS-101e* Utilized at initial licensure and at re-licensure for all children in the home. Do not place foster youth's CS101e in the resource provider file
- Employer Reference Questionnaire, CS-101c* Utilized at initial licensure and only at re-licensure if warranted
- Reassessments*
- Professional Family Development Plan, CD-100*
- Outdated CD-56's
- Quarterly Summaries, CD-118

OHI Reports (Pink)

- Case Name
- Date of Report
- Incident Number
- Expungement Date

Administrative (White)

- Resource Home Adverse Action Report, CS-20
- Notification of Resource Home Adverse Action, CS-20a
- Alternative Care Grievance Review Request, CS-70
- Service Delivery Grievance Form, CS-131
- Notification Letter for Adoption and Guardianship Subsidy Denial, CD-87
- Application for Fair Hearing, CD-53
- Withdrawal of Request for Hearing, CD-54
- CA/N Check

Narrative (Blue)

- Dictate when a Family is licensed/re-licensed
- Dictate when a child moves in and out
- Record all home visits and meetings with resource provider family
- Record when training notices have been mailed
- Record when foster parents have participated in training
- Record any licensing concerns noted and action taken
- Document closing narrative
- Level A/Level B/Medical Staffing Outcomes (non-child specific)

Emergency Plan/Disaster Plan (Red)

- Required information as outlined in memo CD06-33

Note: * indicates items that must be in all records.

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