CHAPTER 02

SOCIAL SERVICE DELIVERY SYSTEM

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CHAPTER 02
SOCIAL SERVICE DELIVERY SYSTEM

02.00 INTRODUCTION

This chapter describes the framework within which The Division of Family and Children Services will deliver social services to eligible clients. The system is made up of several interdependent parts -- people, procedures and paper. The purpose of the system is to organize the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers can know what to expect if they move from one Children and Family Services Center (CFSC) or CFSC area office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a more fair method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by CFSCs will be goal-oriented, time-limited and have specifically defined outcomes. Both staff and clients will be knowledgeable of the goals and objectives of the service(s) to be provided. Unmet goals and objectives which are not achieved or only partially achieved will be acknowledged.

B. Services will be provided in response to identified need and within department priorities. Services will be provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery will be utilized. The emphasis will be on methods which enable the client to manage his/her situation with appropriate independence and with the least restrictive alternatives available. Services provided will be coordinated with co-existing community agencies and systems, such as crisis clinics, schools and health care organizations.

C. The department will maintain the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

D. Service will be provided according to an Individual Service Plan (ISP). A service episode is defined as the planned and time-limited delivery of a variable number of services to achieve a stated objective or outcome. Service plans will be mutually determined by the client and the agency. When a mutually determined plan is not possible and the service is mandatory due to legal or program requirements (CPS, FRS, etc.), the service plan will be developed by the department with the client's knowledge.

02.02 COMMUNITY SERVICES OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Individual Service Plan for cases assigned to them. Implementing the ISP may include any combination of:

1. Direct provision of service;
2. Arranging for purchased services;
3. Referral to, or collaboration with, peers in other service units;
4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. All service workers in the Family and Children's Services Section will be able to authorize and provide or arrange for:

1.	Child Protective Services	Chapter 26
2.	Family Reconciliation Services	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8	Crisis Residential Center	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services	Chapter 20
12.	Volunteer Services	Chapter 62

C. The department recognizes that not all service workers have the program knowledge, training or experience necessary to provide this range of service, but they should have sufficient knowledge to arrange for the full range of services.

D. After assessing the qualifications of staff and the complexity and volume of service requests, the Children and Family Services Center area office supervisor may designate specialists. Functional specialists may be designated based upon the nature and volume of the service (e.g., APS/CPS) or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this second alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers ought to be able to authorize, provide or arrange for other services (e.g., day care) which will stabilize or strengthen the family while the children are still at home. Designating intake specialists guarantees that some clients will have to be contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in the delivery of services to families.

E. The expectation that all service workers eventually should be able to authorize, provide or arrange for multiple services does not ignore the fact there are different levels of work to be assigned. The supervisor's judgment of the difficulty of the case and of the capabilities of service workers in his/her unit is critical to the effective delivery of services.

It is important that supervisors take the time to make appropriate worker to client assignments. Social service workers vary in skill and experience and are not interchangeable. The random assignment of workload based upon which worker is on intake that day can result in inequitable workload distribution, frustrated clients (shuttled among CFSC staff) and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker who has the initial contact is responsible for ensuring that the client is referred to, and the referral acknowledged by, the appropriate service unit. It will be the responsibility of the CFSC area office supervisor to ensure that social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services will be seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the SSDS model organization is to move the client through each step of the service delivery process as smoothly as possible. The client should have contact with as few staff workers as possible.

B. Intake and Assessment

1. The determination of service eligibility, needs assessment and information and referral functions are performed by all social service workers. If the client is not eligible or if the services requested are not available, the service worker is responsible for referring the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters which follow. Eligibility or need is documented on either the DSHS 4-114(X) (Rev. 12/82), Social Service Intake Form; the DSHS 14-139(X) (Rev. 3/83), Social Service Eligibility Document and Face Sheet; or the DSHS 14-140(X) (Rev. 6/84), Social Service Application - Child in Placement.

3. Based on the size of the office and the volume of urgent service requests, the CFSC area office supervisor may decide to designate some individual workers as intake specialists. These individuals would not carry continuing service caseloads but may provide short-term crisis intervention services. The need for quick response must be weighed against the effect (on clients) of transferring cases to other workers for continuing services. The latter to be avoided when practical.

4. Intake/assessment specialists or others performing this function should be prepared to:

   a. Take complaints on alleged abuse, neglect or exploitation of individuals;

   b. Screen referrals for out-of-home placement to determine if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention or family reconciliation (see Chapter 24, Family Reconciliation Services and Chapter 26, Child Protective Services).

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. It is the responsibility of social service supervisors to evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02.04 CASE ASSIGNMENT

A. Except for offices with designated intake/assessment specialists and the urgent service requests described in Section 02.03, clients will be referred to the section/unit which serves the target population to which the client belongs. Obvious child protective service investigations and requests for continuing or longer term services will be referred directly from reception to the appropriate service unit.

B. Service workers should be assigned to clients by a supervisor to ensure the appropriate differential use of staff.

C. Intake, service planning and service delivery activities for a primary recipient should be performed by the same (single) service worker whenever possible. If more than one service worker is involved, one service worker shall be assigned primary responsibility for case management.

D. Clients returning for additional services shall be assigned to their original service worker whenever possible. Exceptions to this policy include:

1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting existing/new social service records.

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 2-128(X), Application, Registration and Control, and routing it to Master File or the designated clerical staff. Requests should specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, a case number will be obtained and a file folder (record) established (see Section 02.13).

02.05 SOCIAL SERVICE ELIGIBILITY AND PLANNING

A. No service (other than I&R) will be provided without the development of an Individual Service Plan (ISP). The ISP has several parts. The service worker assigned to the case has the full responsibility for all parts, which are:

1. Assessment of Need

The service worker is responsible for assuring that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker must determine if agency services are available to meet the client's need. If agency services are not available, the service worker will offer to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the non-availability of services should be documented on DSHS 2-305(X), Service Episode Record.

3. Eligibility

After determining that agency services are available, the service worker must determine the client's eligibility for the service. If the client is ineligible, the service worker will offer to refer the client to an agency, community, professional practitioner or volunteer resource. The client may accept or reject the offer of referral. Service ineligibility should be documented on the DSHS 14-139(X), Social Services Eligibility Document and Face Sheet and retained by Master Files in a "denial" file.

4. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan should include specific objectives and describe the steps to be taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See service priorities listed in Chapter 01, Social Services Policy and Administration, and in Section 00.14 of each program/service chapter.)

B. Individual service plans should be developed by the end of the second interview with the principal client. Without a service plan, additional problem exploration or planning interviews require supervisory approval. Mandatory service plans (CPS, etc.) will be developed with the knowledge of the clients. The ISP will be recorded on DSHS 2-305(X), Service Episode Record (SER).

C. A <u>service episode</u> is defined as the time-limited delivery of a variable number of services to achieve a stated goal or outcome. An ISP is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limit, the service episode is recorded on the DSHS 2-305, Service Episode Record.

D. Where there is a major change from <u>the stated goals</u> of the ISP, that change initiates a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do <u>not</u> constitute a new service episode.

A new ISP may be developed at any point in a service episode. In all instances, the current ISP will be evaluated and a disposition of the previously planned action recorded on the DSHS 2-305(X) SER.

E. The ISP must be renewed according to specific eligibility and program requirements noted in the program or service Chapters 06-99. The Service Episode Record must also include other information (other than the ISP) required by programs or services. Narrative recording requirements are described in Section 02.11 and in the instructions to the SER described in Chapter 99, General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by CFSC staff which are not emergent or short-term crisis intervention services. Generally, continuing or long-term services are those which require more than three work days to complete.

B. Services to be delivered will comply with program standards and procedures indicated in each of the program/service chapters. (See Chapters 05 through 68.)

C. Indian Child Welfare Service Procedures:

1. With the consent of the parent, or appropriate authority representing the child, DSHS staff shall submit all Indian child welfare referrals to the local Indian Child Welfare Advisory Committee (ICWAC) for its review. ICWAC will recommend procedures for staffing new cases and planning with the appropriate service worker (see Chapter 32).

2. A case staffing may be initiated at the request of the service worker, members of Tribal Councils and/or urban Indian organizations, or members of the committee.

3. Arrangements for staffing a case shall include serious consideration of the appropriate participation of the child, his/her parents, relatives and foster parents. When the committee and administration are deadlocked, or when the committee is denied the review process by the parent, guardian or court of jurisdiction, consultation shall be obtained from the Indian Affairs state office staff. (See Chapter 01.04.)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within CFSCs or CFSC area offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who provide that service frequently.

B. After such consultation, the assigned service worker then decides whether to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and ought to be used as needed and with the knowledge of the supervisor.

D. CFSC staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation and Juvenile Parole service staff (see Chapter 01.12).

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable financial and program eligibility criteria. These criteria are described in each program chapter.

2. Service workers are responsible for making social service eligibility determinations based on situational or behavioral criteria by completing the DSHS 4-114(X), Social Services Intake form, or based on income and/or resources by completing the DSHS 14-139(X), Social Services Eligibility Document and Face Sheet, or the DSHS 14-140(X), Social Service Application - Child in Placement. The program eligibility criteria is described in each service chapter (Section 00.15).

3. When services are denied for financial or program eligibility reasons, the applicant will receive a copy of the DSHS 14-139(X) documenting the denial and informing him/her of the right to request a fair hearing.

4. If a service record already exists, a copy of the DSHS 14-139(X) will be filed in that record. If the applicant does not already have a service record, a copy of the DSHS 14-139(X) will be routed to the appropriate clerical staff (i.e., Master File) for filing in a file folder for denials.

5. DSHS 14-139s for persons denied service (and who do not have service records) will be retained for three months in case the applicant requests a fair hearing. These applications may be filed alphabetically in one folder, and older applications (four months or more) should be purged from the file on a quarterly basis.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker will make every attempt to keep within that time frame. Time frames and response standards are described in Section 00.21 of each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (non-mandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

   c. When needed and authorized services must be reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker will terminate services through mutual negotiation with the client in an exit interview. The Individual Service Plan (ISP) should be evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker will enter on the DSHS 2-305(X), Service Episode Record, the appropriate narrative recording to evaluate the ISP and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the DSHS 14-159, Change of Service Authorization, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. When all authorized services are terminated, the service worker will review the service record for completeness (including court data, the SER and other required service forms) and either send it to their supervisor for review or to closed files clerk per CFSC area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. Applicants or recipients may also request a fair hearing if the department fails to act upon a request for service within 30 days. Requests for a fair hearing must be made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See RCW 74.08.070 and WACs 388-08-002 and 388-15-030.)

B. A comparable right is also established in RCW 74.15.130 for any child welfare agency legally defined as including a foster home or day care home which believes its application for license was improperly denied, suspended or revoked or not renewed.

C. The appellant in a fair hearing shall be afforded the opportunity to present his/her grievance or case to the fair hearing examiner or he/she may seek the aid of others such as legal counsel. Departmental staff may not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an applicant/recipient (A/R) expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The worker will determine whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker will advise the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, 98504, as soon as possible but within 30 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker will note in the service record the date, the issue, and the client's expressed intent. The service worker will also notify the CFSC or CFSC area office fair hearing coordinator of the client's name, case number and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker should note the date of the request in the service record and immediately forward the written request to the fair hearing coordinator or his/her designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker will note in the service record the date, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The CFSC or CFSC area office field fair hearing coordinator or designee will:

1. Be responsible for presenting the CFSC case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the CFSC.

3. Have overall responsibility and authority in reviewing the CFSC case, including but not limited to: contacting workers involved

and/or their supervisor(s), notifying the CFSC witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the CFSC administrative secretary which supervisory unit has the responsibility to do the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the DSHS 9-354(X), Fair Hearing Report, upon receipt of the fair hearing request and route a copy to the service worker. The service worker is responsible to see that the copy is filed in the service record. (See Chapter 99, General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see WAC 388-73-054).

B. Service Documentation

Social service records are to be maintained for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent (RCW 74.04.060). State law requires records to be kept for services to children (see RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133 and audits (RCW 74.08.545). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service (RCW 74.15).

C. Social service records are tools to be used by service workers to provide readily accessible information concerning the results achieved through the provision of services and document activities thereby providing information for court reports.

D. Except for brief information and referral contacts and less than 30 minutes of crisis intervention or other social services, an individual/family who applies for and receives social services will have a service record opened and the appropriate paperwork completed. Records must be maintained on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see RCW 74.13.133).

E. Service Record Required Contents

1. The basic information required in a service record is documented on the:

   a. DSHS 2-305(X), Service Episode Record (Narrative recording);

   b. DSHS 4-114(X), Social Service Intake;

   c. DSHS 14-139(X), Social Services Eligibility Document and Face Sheet;

   d. DSHS 14-140(X), Source of Funds Application and Face Sheet -- Child in Placement;

   e. DSHS 14-154(X), Social Services Authorization (service, objectives, payment rates, client data);

   f. DSHS 14-159, Change of Service Authorization (turnaround document);

   g. DSHS 14-226(X), Service of Funds Eligibility Determination Related to Foster Care; and

   h. DSHS 15-192(X), Child Placement and Legal History.

   Instructions for the completion and use of these forms are detailed in the Social Service Payment System Manual, and Chapter 99, General Forms.

2. The record must contain proof that the person was eligible and that eligibility was determined. A copy of DSHS 4-114(X), DSHS 14-139(X) or DSHS 14-140(X) will provide documentation.

3. The record must indicate which services were provided and whether services were agency provided (direct service) or vendor provided (purchased service). This information is entered on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See Social Service Payment System Manual, Appendix C.)

4. The record must contain an Individual Service Plan (ISP). Service plans and objectives are documented on the DSHS 14-154(X), which has service and objective codes, and the DSHS 2-305(X)(SER), which contains narrative recording.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the DSHS 2-305(X) (SER) be legible, use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

   A clear statement of the problem or identified needs.

2. Individual Service Plan (ISP)

A statement of the service plan including tasks and methods to achieve the objective(s), who will accomplish them and time frames.

3. Narrative (NARR)

Information adequate for probable future uses of the record including: dates of client contact; a brief description of specific events and observable acts which have importance; additions or changes to the plan; names and addresses of referrals and others involved in providing services; and any supporting data needed for court activity. When more than one worker provides services to the same individual/family, recording by both workers or a coordination summary must be entered.

4. Evaluation (EVAL)

An evaluation of the ISP with a statement of the outcome. This statement must relate back to the identified problem and must indicate whether the objectives of the service were achieved. The summary should indicate what factors influenced the outcome of the service plan and summarize major events in the course of service delivery. It should be brief, about one page or less.

5. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with an indication of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the DSHS 2-305(X), SER; however, other service recording or data forms which are required and samples are shown in Chapter 99, Forms.

2. Records must contain statements of fact. Service workers should make non-judgmental entries. If the worker wishes to record opinions or personal inferences, these should be clearly labeled as the worker's opinion or judgment of the situation.

3. Staccato recording, brief phrases describing key points, should be used whenever possible.

4. The worker responsible for providing a service is responsible to write the needed record narrative. Supervisors are responsible to see that necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see Chapter 23). For details about what program or service information (in addition to that described above) must be recorded in the service record, refer to the service chapters, Chapters 05-40.

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors must maintain records on each person served. Providers who have contracts authorizing their staff to make eligibility determinations must maintain records to substantiate that eligibility decision.

2. Records must contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Records must contain copies of the quarterly progress reports prepared by the contractor and sent to the CFSC or CFSC area office, depending on where the contact was negotiated.

4. Records must be maintained and stored in a professional manner meeting all requirements of CFSC service records.

5. Child-placing agencies must maintain adoption records with the safeguards required for CFSC adoption records (see Section 02.14).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., Chapter 34, Private Agency/ Child Group Care.)

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.
2. The official documentation of all actions related to the client.
3. Subject to being subpeoned into court.

B. The original make-up of a service record, including assignment of a case number, is a clerical function. CFSC or CFSC area office procedures for building, filing, storing, securing and transferring social service records shall be consistent with Manual E and the following guidelines.

C. All non-active service records will be maintained in a central file location under clerical control (see Manual E). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case is responsible for its content. When a service record is ready to be closed, the service worker must review for both completeness of information and conformity to the sequence described in the next paragraph. (See Chapters 36 and 38 for instructions on closing adoption records.)

E. The service record will contain three separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - DSHS 4-114 or DSHS 14-139 or 14-140 and the DSHS 2-305(X), Service Episode Record. The Social Service Application and SERs will be placed in this section in chronological order with the most current social service application on top serving as a face sheet. Slide fasteners will be inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section will contain all forms which document eligibility or authorize or award services and service invoices. The DSHS 14-154(X), Social Services Authorization, DSHS 14-159 and Change of Service Authorization forms award letters will be placed in chronological order with the most current at the front. Slide fasteners will be inserted from back to front.

3. Section 3. Document Section: This section will contain all legal, medical, program specific forms, other general documents and correspondence. For example:

DSHS 2-142(X)	Child Abuse Registry Reports
DSHS 2-306	Communication/Referral Forms
DSHS 2-220(X)	Family Ancestry Chart
DSHS 9-04(X)	Placement Authorization and Acknowledgment
DSHS 9-400 and 500	Court Related Forms
DSHS 10-145(X)	Group Care Assessment and ISP
DSHS 13-18(X)	Child's Health Record
DSHS 13-21	Medical Report

They will be placed in chronological order with the most current at the front, except that the most recent court order will always be at the front. Slide fasteners will be inserted from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the DSHS 1-01(X), Record Transfer Notice, that a Volume II folder be created.

2. All documents and forms that are more than one year old (except the most recent court order) will be placed in the Volume I service record in their original chronological order by the clerical support person. Exceptions to the one-year time frame must be requested of the CFSC area office supervisor or his designee in writing by the service worker.

3. Unless it is being used, the Volume I service record will be kept in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Any requests for combining or separating service records will be sent to the clerical support person for action. The file clerk or other designated clerical support is responsible for maintenance of the central file location (see Manual E). No one, other than these designated persons, will be permitted to remove or replace records from central files.

H. All non-adoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) will be purged from central files and transferred to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS field office, the closed (inactive) service records are destroyed. Closed adoptive records must be sent directly to SO adoptions staff who will in turn forward them to State Archives (see Chapter 36).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the DSHS Records Management Procedures Manual (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information should not be released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian should be advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints must remain anonymous and their names should be purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DSHS staff members who have an assigned responsibility for the client or DSHS SO or CFSC staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing shall be open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see WAC 388-08 and 388-09).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures to be used for release of records, see the DSHS Records Management Manual (3/83) and WAC 388-320. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33D, Olympia, Washington 98504.

2. The following forms must be completed when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-41 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-63 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-62 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area should be consulted in advance of the hearing (see Chapter 23, Juvenile Court Process and Chapter 32, Child Foster Family Care).

4. No individual shall be permitted to make any partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

F. Adoption Records

The records of a child in pre-adoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information can be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) can be released only by written order of a Superior Court (see RCW 26.32, WAC 388-70-480) and Manual G, Chapter 36, Adoption Services).

G. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 (RCW 13.04) must be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies who provide services to clients for DSHS are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients must be briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. It is the responsibility of the office releasing the information to brief the receiving agency on these requirements.

3. No duplicate records should be made if the whole record is requested, as it should be checked out with the requirement that it be returned. The record should be reviewed in the CFSC or CFSC area office. Machine copying of information to be reviewed is prohibited.

4. Service records will be reviewed by supervisory personnel for completeness and accuracy before the information is released. Care and documentation must be employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department shall not supply any record which is not complete, i.e., does not contain information as to all action taken to date with respect to any incident, even if that action has been taken by another agency.

H. The service worker/supervisor will comply with the requirements of RCW 13.04.270 through 13.04.276 and WAC 388-70-700, regarding the confidentiality, sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, his or her parents or attorney, may upon written request, inquire to the department as to the existence and content of custody or care records. The inquiry shall provide the name of the juvenile, the approximate date the juvenile was in contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department will make written response to the inquiry within ten working days after receipt. The department will give priority to, and expedite processing of, inquiries which involve litigation. The department shall provide to the juvenile, his/her parents

or attorney making the inquiry, information regarding the location, nature and content of any records in the department's possession. A juvenile, his/her parents or attorney, who wishes to challenge the information contained in the department records shall notify the department in writing. The notification shall provide:

a. The name of the juvenile;

b. If the records are alleged to be inaccurate; a statement of those portions alleged to be inaccurate; and

c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department will review the notification of challenge to the record and make a written response within thirty calendar days. The response shall indicate the corrections which have been or will be made or indicate the basis for denial of any requested corrections. If appropriate, the department's response will also include a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, his/her parents or attorney will be notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in Chapter 34.04 RCW.

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Every effort will be made to avoid transferring active clients from one service worker to another within the CFSC or CFSC area office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible, will consult about: the reasons for the transfer; responsibility for the continued service planning for the client; and will document their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

a. The client or worker requests a transfer based on a legitimate personality conflict.

b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

d. The service worker transfers out of the section, CFSC, or terminates employment.

B. Transfer Process Within CFSC or CFSC Area Office for Active Cases

1. The transferring service worker must make certain that the service record is complete and all documentation is current.

2. The transferring service worker will discuss the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion will determine which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments should not be interrupted (i.e., DSHS 14-159, Authorization Not Terminated). See the Social Service Payment System Manual.

3. The transferring worker will complete DSHS 1-01(X), Records Transfer Notice, attach it to the service record and forward them to the receiving service worker.

4. The receiving service worker will review the service record and the DSHS 1-01(X) for completeness and route the DSHS 1-01(X) to clerical support/master file/central file.

5. The receiving service worker will authorize any new services and confirm the accuracy of any transferred services. The receiving service worker will review the individual service plan with the client and make any required changes on the DSHS 2-305(X), Service Episode Record.

C. Transfer Process Between CFSC and/or CFSC Area Offices

Requests for transfers of closed cases will be handled by clerical support. The transfer-out must be made within five working days of the receipt of the request (see Manual E).

D. Transfer Process Between CFSC and/or CFSC Area Offices

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker must review the service record for completeness. All documentation and recording must be current. However, the service record will not be held for more than five working days after the request is made. Additional material will be forwarded to the receiving office at a later date. The service worker should note in the record what material will be sent later.

2. If the department is purchasing a service for this client and the provider or payee will not change as a result of the transfer, the transferring service worker will not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee will change, payment will be terminated on the DSHS 14-159 prior to the transfer out to the new DCFS field office. (See the Social Service Payment System Manual.)

4. If the client is receiving no purchased services, the sending service worker will terminate all services on the DSHS 14-159 and submit it as a regular termination. The receiving worker must then submit a new authorization to open services.

02.15 SOCIAL SERVICE INFORMATION AND REPORTING

A. The social service reporting and payment information systems generate output reports consisting of worker, management, payment and statistical data. Statistical and payment reports provide a historical record of all vendor or provider services. Management reports are used for management of day-to-day CFSC and to monitor and develop statewide programs (see the SSPS Manual).

B. Statistical and payment data is entered from the DSHS 14-154(X), Social Services Authorization, and DSHS 14-159, Change of Service Authorization. All social information on clients is maintained in individual social service records on forms such as the DSHS 2-305(X), Service Episode Record, and other forms described in service Chapters 06-62.

C. Output reports are provided at different levels of detail to all three administrative levels - SO, Children and Family Service Centers and CFSC area offices (see SSPS Manual).

02.16 SOCIAL SERVICE WORKLOAD STANDARDS

A. Using the program standards (described in each chapter) functions, tasks and activities which comprise each social service have been analyzed and measured. Based on the standardized policies, procedures and forms described in specific service chapters, the department has established social service workload standards.

An "average time to complete" time standard has been assigned to each service. The count points for determining the volume of work is the number of services authorized, changed and terminated on the DSHS 14-154(X), the DSHS 14-159, and DSHS 10-20, Licensing and Approval of Homes forms.

B. Documentation of the volume of service requests and changes in workloads is used to develop budgets for staffing CFSCs and CFSC area offices. Whenever program standards change or new services are developed, measurement for those new standards or services will be conducted.

02.17 SOCIAL SERVICES - RANDOM MOMENT TIME SAMPLE

A. Introduction

The Social Services - Random Moment Time Sample (SS/RMTS) form collects information on a random sample basis for allocation of staff costs among service and eligibility categories. The sampling procedure is designed to satisfy federal financial participation requirements, provide an audit trail and management information for DSHS executives.

B. General Procedures

1. The CSO administrator shall appoint a CSO - SS/RMTS coordinator and a backup person to serve in his/her absence.

   a. The coordinator and his/her backup have the following responsibilities:

      (1) Receiving and filing the contact schedules;

      (2) Completing items A-G on the DSHS 4-315 form for each contact;

      (3) Distribution of forms to workers to be sampled;

      (4) When appropriate, contacting branch or sub-offices, to reach workers to be sampled;

      (5) Keeping track of which contacts have been made and which forms returned (on the contact schedules);

      (6) Reminding unit supervisors when a DSHS 4-315 is overdue; and

      (7) Overseeing the collection and submittal to SO of SS/RMTS data, as specified in the procedures below.

   b. The social service unit supervisor is responsible for verifying the accuracy of Item G and the service worker entries in Section II or III, researching and correcting inappropriate entries and overall quality control. This is documented by the supervisor's signature on the bottom of the DSHS 4-315.

2. Prior to the first day of each week, CSO - SS/RMTS coordinators receive a set of contact schedules, one for each working day of the week. These schedules are computer printed lists of randomly selected social service worker positions and randomly selected sampling times and dates during the standard work week (i.e., 8:00 a.m. to 12:00 p.m. and 1:00 p.m. to 5:00 p.m., Monday through Friday).

3. Each contact schedule indicates which worker positions are to be sampled and what time they are to be sampled during one work day.

   Certain positions are NOT sampled: Project employees, Homemakers, Employment and Training and WIN workers, and Community Nurse Consultants. These positions are entirely state funded or are tracked through a different system.

4. CSO - SS/RMTS coordinators copy the information from the contact schedule on to the DSHS 4-315, Social Service - Random Moment Time Sample forms (Items A-G) and give them to the workers at the moment to be sampled.

5. The worker completes the rest of the form at the moment of the sample and passes the form to his/her unit supervisor. The supervisor reviews for accuracy and signs the form and passes it to the coordinator who logs it on the contact schedule, batches the forms for the day and sends them to the Data Support and Analysis Section, MS OB-34F, in the State Office.

6. CSO - SS/RMTS coordinators should see that the contact schedules are maintained on file for at least three months after the sample date.

7. Data from the sample forms are computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable program activity. These calculations are used to claim federal reimbursement under Title IVA, IVB, IVE, XIX and XX of the Social Security Act (approximately $20 million per year).

C. Detailed Procedures for CSO - SS/RMTS Coordinators

1. A week's worth of contact schedules are mailed to each CSO together in one envelope. The schedule for each day is stapled shut. File unopened schedules by date.

2. At the beginning of each day, open only the schedule that has the current date printed on it. The persons and times to be sampled must not be revealed to the workers before sampling time.

3. Note the social service workers' names and the time each is to be sampled and contact each worker at the time indicated. It may be useful to set an alarm for each time.

   Note below there are special procedures for workers in sub-offices (branch) or workers not in the office or those working non-standard work weeks.

4. Before making each contact, copy onto the DSHS 4-315 in Section I, Worker Data, the information provided on the contact schedule (i.e., Items A-F). See the instructions for the DSHS 315 in Chapter 99.

5. Sampling Contact Guidelines

a. Sampling Employees on Standard Work Week (Day Shift)

All sample dates and times on the contact schedules are selected randomly, from during the standard work week, 8:00 a.m. to 12:00 p.m. and 1:00 p.m. to 5:00 p.m., Monday through Friday. If the service worker is sampled, simply copy the sample date and time from the contact schedule and enter them in Items E and F.

b. Sampling Employees in Branch or Sub-Offices

If a person works in a branch or sub-office, the CSO - SS/RMTS Coordinator must call the branch (unit) supervisor ten minutes prior to sample time to inform the service worker to complete a DSHS 4-315 at the correct time. Note the time of the call on the schedule. The completed form must be reviewed and signed by the unit supervisor and returned to the CSO - SS/RMTS Coordinator within one working day.

c. Sampling Employees on 4/40 Work Week (Non-standard)

If the service worker is on a 4/40 work week and the sample date is his/her day off, the coordinator calculates a substitute contact date (Item E) only, so he/she is sampled at the same time of day on the next work day. For example, if the scheduled contact time was Monday and that was the worker's day off, change the schedule contact day to Tuesday.

d. Sampling Full-Time Employees on Night Shift

If the service worker is in a full-time, permanent, 40-hour-a-week position and works a regular night shift (same hours every day), the sample time only (Item F), on the contact schedule will need to be lined out. Please substitute a sample time which is the same number of hours/minutes into the night shift as the original time was after 8:00 a.m. (start of day shift).

e. Sampling Intermittent or Part-Time Employees on Other Non-standard Hours (Other than 4/40)

If the service worker is on an intermittent or part-time position and works non-standard work hours, the coordinator calculates a substitute contact time one-half hour (30 minutes) into the worker's next shift on duty. This must be done first in order to determine whether the person is "on the job" (see h. below) at the moment to be sampled.

f. Sampling Standard Employees on Non-standard Lunch Hours

If the service worker is on a full-time position and works standard work hours but the worker is on a non-standard lunch at the sample time, the coordinator calculates a substitute contact time one hour later, when the lunch is before noon, or one hour earlier, when the lunch is after noon.

g. Multiple Samples for the Same Worker

Occasionally the same service worker may appear more than once on the same day's contact schedule. Such instances are not duplications but occur because every worker has an equal chance of entering the sample at any time, regardless of whether selected earlier. In this case, sample each time the worker is listed.

h. On the Job (Item G-1)

(1) If the service worker filling a regular position is working either standard or non-standard work hours and is on the job in the office or sub-office (branch) at the moment to be sampled, check item G-1, contact him/her at the specified (or substitute - see above) time and have him/her complete Sections II or III.

(2) If the service worker is on an intermittent position and works either standard or non-standard work hours and is on the job (not on standby) at the moment to be sampled, check Item G-1, etc.

NOTE: Standby status is not considered on the job for purposes of this sample.

(3) If the service worker works part-time hours and is on the job at the moment to be sampled, check Item G-1, etc.

(4) If the worker is not in the office but is on the job elsewhere, hold the form for his/her return.

For example: If the worker is in the field, in transit to a client's home, have the worker complete the form for the client towards whom he/she was traveling and check G-1, On the job. The form should be completed by the end of the next work day for that worker.

i. All Other Categories of Worker Status (Items G-2 through G-6)

(1) Coordinator will complete Item G and sign the bottom of the form instead of the unit supervisor (except where service worker is in a branch or sub-office).

(2) For service workers not on the job and not on leave at the moment to be sampled, check Item G-2 (work break).

(3) For service workers who are working part-time or intermittent, and not on the job or are on standby (i.e., not on job) at the moment to be sampled, check Item G-6.

NOTE: Use G-6 only after first determining the appropriate substitute sample time and that the worker was not on the job at the moment of the sample (see 5.e. above).

6. If the worker is contacted properly, note on the contact schedule the time the DSHS 4-315 was given to the worker or the time the sub-office was contacted. Ask the worker to give the completed form to his unit supervisor for review and signature.

7. Register on the contact schedule, the date the DSHS 4-315 is completed and returned to the SS/RMTS Coordinator. Normally this should be the date of contact. THE WORKER'S SUPERVISOR SHOULD BE CONTACTED WHEN A FORM FOR A WORKER ON THE JOB HAS NOT BEEN RETURNED TO THE COORDINATOR BY THE END OF THE DAY.

8. When all DSHS 4-315 forms for the day have been completed (except for those held for workers out of the office or where the child's eligibility is pending), mail them in the canary colored pre-addressed envelopes provided, to DSHS, Data Support and Analysis Section, MS OB-34F, Olympia, WA 98504.

9. Mail those forms held over for workers on the job but out of the office or pending information such as parental income/resources to determine a child's eligibility, as soon as they can be completed, but no later than two working days after the moment of the sample.

10. Should questions arise about correct procedures for collecting SS/RMTS data, telephone or write:

Department of Social and Health Services
Data Support and Analysis Section, MS OB-34F
Olympia, WA 98504
Attn: SS/RMTS Analyst
Telephone: 753-7501 or SCAN 234-7501

D. Procedures for Sampled Workers and Unit Supervisors

1. When the CSO - SS/RMTS Coordinator contacts a worker to fill out Section II or III of the DSHS 4-315, the worker should note carefully what he/she is doing at the moment of contact (including any case he/she is working on), promptly complete the form, and pass it to his/her unit supervisor for his/her review and signature.

2. The supervisor reviews the form for completeness and accuracy, corrects it as necesary (conferring with the worker), signs the form, and returns it to the CSO - SS/RMTS Coordinator.

3. Special care should be taken with Items J, K and L which are the "meat" of the data. Section II only is completed when there is a single primary recipient (client) identified. Section III only is completed when there is NO single, specific client toward which the service worker's activity is directed.

4. Completing these items will require serious study of the form instructions and definitions by service workers and unit supervisors. Forms should be returned promptly to the CSO - SS/RMTS Coordinator for transmittal to the SO.

5. Questions about worker activity or eligibility category codes should be directed to:

   Community Services Policy Unit
   MS OB-41N
   SCAN 234-4652

02.18 SOCIAL SERVICE MONITORING AND VALIDATION

A. DCFS program managers are responsible for monitoring statewide programs. The eligibility of social service recipients is validated. In addition to an eligibility validation process, the social service program managers also review a random sample of service records to assess the quality of narrative recording and the completeness of service records (e.g., required forms).

B. To determine compliance with statewide program standards, policies and procedures described in the DCFS manual, a random sample of social service records will be read in each Children and Family Service Center or CFSC area office by SO staff on a state office designed schedule.

C. DCFS program managers are responsible for identifying: service delivery system problems which require corrective actions; staff training needs; and needed revisions for operating manuals.

02.19 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker will:

1. Verify the amount of fee required for the information needed and obtain the address of the state vital statistics agency.

2. Prepare a letter to the agency for the CFS designee indicating:

   a. The type of record/information being requested.

   b. The name and case number (if applicable) of the party for whom the record is being requested.

B. The RA or the CFSC area supervisor/designee will sign and forward the letter along with a memorandum requesting that a check be issued for the appropriate fee to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-21C
Olympia, Washington 98504

C. Disbursements staff will issue a check on the DSHS Administrative Revolving Fund and mail it with the requesting letter to the vital statistics agency indicated.

02.20 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. DSHS 9-13(X), Affidavit of Lost or Destroyed Warrant, is the proper form for requesting replacment of a vendor warrant. The top half of this form should be completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit should be returned to Disbursements. See Manual E, Chapter 31.

B. The copy of the Affidavit should be kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office checks with the State Treasurer's Office to see if the warrant is outstanding. The replacement process takes from one to two months. If they find that the warrant has been cashed, then the process involves investigation before issuing another warrant and may take longer.

D. CFSC or CFSC area offices are not authorized to initiate another voucher. The only part CFSC or CFSC area offices play is to see that the proper Affidavit is completed and submitted to Disbursements.

E. This procedure applies to all vendor payments, which includes foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See Chapter 99, General Forms, for instructions on these forms:

DSHS 2-305(X), Service Episode Record
DSHS 4-315(X), Social Services - Random Moment Time Sample
DSHS 14-139(X), Social Services Eligibility Document and Face Sheet

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02.00 INTRODUCTION

This chapter describes the framework within which the Division of Family and Children Services (DCFS) delivers social services to eligible clients. The system is made up of several interdependent parts -- people, procedures, and paper. The system organizes the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers know what to expect from one DCFS office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a fairer method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by DCFS is goal-oriented, time-limited and with specifically defined outcomes. Both staff and clients are knowledgeable of the goals and objectives of the service(s) provided. Unmet goals and objectives which are not achieved or only partially achieved are acknowledged.

B. Services are provided in response to identified need and within department priorities. Services are provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery are utilized. The emphasis is on methods enabling the client to manage their situation with appropriate independence and with the least restrictive alternatives available. Services provided are coordinated with co-existing community agencies and systems, such as crisis clinics, schools, and health care organizations.

C. The department maintains the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

02.02 DCFS OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Service Plan for cases assigned to them. Implementing the plan may include any combination of:

1. Direct provision of service;

2. Arranging for purchased services;

3. Referral to, or collaboration with, peers in other service units; and

4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. Service workers authorize and provide <u>or</u> arrange for:

1.	Child Protective Services (CPS)	Chapter 26
2.	Family Reconciliation Services (FRS)	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8.	Crisis Residential Center (CRC)	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services (I & R)	Chapter 20
12.	Volunteer Services	Chapter 62

C. After assessing the qualifications of staff and the complexity and volume of service requests, the DCFS social service supervisor or their superiors may designate specialists or a specialized unit. Functional specialists may be designated based upon the nature and volume of the service or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers should be able to authorize, provide, or arrange for <u>other</u> services (e.g., day care) which stabilizes or strengthens the family while the children are still at home. Designating intake specialists guarantees that some clients are contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in service delivery to families.

D. The expectation that service workers authorize, provide, or arrange for multiple services does not ignore the fact that there are different levels of work assigned.

Supervisors must take the time to make appropriate worker to client assignments based on their judgment of the difficulty of the case and of the capabilities of the service workers in their unit.

Service workers vary in skill and experience and are not interchangeable. Therefore, the random assignment of workload based on rotating intake worker can result in inequitable workload distribution, frustrated clients (shuttled among DCFS staff), and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. The DCFS office supervisor ensures social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services are seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the service delivery model is to move the client through each step of the process as smoothly as possible. The client contacts as few staff workers as possible.

B. Intake and Assessment

1. All social service workers determine service eligibility, needs assessment and information and referral functions. If the client is not eligible or if the services requested are not available, the service worker refers the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters.

3. Based on the size of the office and the volume of urgent service requests, the DCFS office supervisor may decide to designate individual workers as intake specialists. These individuals do not carry ongoing service caseloads but may provide short-term crisis intervention services. The need for quick response is weighed against the effect (on clients) of transferring cases to other workers for ongoing services. Avoid the latter when practical.

4. Intake/assessment specialists or others performing this function are prepared to:

   a. Take complaints on alleged abuse, neglect, or exploitation of individuals;

   b. Screen referrals for out-of-home placement determining if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention, FRS, or CPS.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. Social service supervisors shall evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02.04 CASE ASSIGNMENT

A. The receptionist refers clients to the section/unit serving the target population to which the client belongs or to the intake/assessment specialist. Refer obvious CPS investigations and requests for ongoing or long-term services directly from reception to the appropriate service unit.

B. Supervisors assign service workers to clients by the appropriate differential use of staff.

C. The same service worker performs intake, service planning, and service delivery activities for a primary recipient whenever possible. If more than one service worker is involved, one service worker is assigned primary responsibility for case management.

D. Whenever possible, assign clients returning for additional services to their original service worker. Exceptions to this policy include:

   1. Referrals for protective services;

   2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting Existing/New Social Service Records

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 2-128(X), Application, Registration and Control, and routes it to Master File or the designated clerical staff. Requests specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, the worker obtains a case number and a file folder (record) is established (see [Section 02.12]).

02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) is provided without the development of a Service Plan. The service worker assigned to the case has the full responsibility for all parts of the service plan which are:

1. Assessment of Need

The service worker assures that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker determines if agency services are available to meet the client's need. If agency services are not available, the service worker offers to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services is documented on DSHS 2-305(X), Service Episode Record.

3. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan includes specific objectives and describes the steps taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See the following service chapters for specific program procedures and expectations.)

B. Service plans are developed within the time frames outlined in the service chapter. Workers develop mandatory service plans (CPS, etc.) with the knowledge of the clients. Record the service plan on DSHS 2-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services achieving a stated goal or outcome. A service plan is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limited service episode is recorded on the SER.

D. Where there is a major change from the stated goals of the service plan, worker enters a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

The worker develops a new service plan at any point in a service episode. In all instances, the current plan is evaluated and a disposition of the previously planned action recorded on the DSHS SER.

E. The worker renews the service plan according to specific eligibility and program requirements noted in the program or service [Chapters 06-99]. The SER includes other information required by programs or services. Narrative recording requirements are described in [Section 02.11] and in the instructions to the SER described in [Chapter 99] General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by DCFS staff which are not emergent or short-term crisis intervention services. Generally, continuing ongoing or long-term services are those requiring more than three work days to complete.

B. Delivered services comply with program standards and procedures indicated in each of the program/service chapters. (See [Chapters 05 through 62].)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within DCFS offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who frequently provide that service.

B. After such consultation, the assigned service worker decides to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and shall be used as needed and with the knowledge of the supervisor.

D. DCFS staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation, and Juvenile Parole service staff.

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers make social service eligibility determinations based on situational or behavioral criteria by completing the Social Services Intake, DSHS 4-114(X); and the DSHS Family Face Sheet, DSHS 14-24(X). The program eligibility criteria is described in each service chapter.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker attempts to keep within that time frame. Time frames and response standards are described in each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

   c. When needed and authorized services are reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker terminates services through mutual negotiation with the client in an exit interview. The service plan is evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker enters on the SER the appropriate narrative recording to evaluate the service plan and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the Change of Service Authorization, DSHS 14-159, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. The service worker reviews the service record for completeness when all authorized services are terminated (including court data, the SER and other required service forms). The service worker sends it to their supervisor for review or to closed files clerk per DCFS area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients (A/Rs) of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. A/Rs may also request a fair hearing if the A/R feels the department failed to act upon a request for service within 30 days. Requests for a fair hearing are made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See [RCW 74.08.070 and WACs 388-08-002 and 388-15-030].)

B. A comparable right is also established in [RCW 74.15.130] for any legally defined child welfare agency including a foster home or day care home which believes its application for license was improperly denied, suspended, or revoked or not renewed by the department.

C. The appellant in a fair hearing has the opportunity to present a grievance or case to the fair hearing examiner or seek the aid of others such as legal counsel. Departmental staff shall not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an A/R expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The service worker determines whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker advises the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, WA 98504, as soon as possible but within 90 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker notes in the service record the date, the issue, and the client's expressed intent. The service worker also notifies the DCFS fair hearing coordinator of the client's name, case number, and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker notes the date of the request in the SER and immediately forwards the written request to the fair hearing coordinator or designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker notes <u>the date</u> in the SER, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The DCFS office field fair hearing coordinator or designee will:

1. Present the DCFS case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the DCFS.

3. Have overall responsibility and authority in reviewing the DCFS case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the DCFS witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the DCFS administrative secretary which supervisory unit does the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the Fair Hearing Report, DSHS 9-354(X), upon receipt of the fair hearing request and route a copy to the service worker. The service worker files the copy in the service record. (See [Chapter 99], General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see [WAC 388-73-054]).

B. Service Documentation

Service workers maintain social service records for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent [RCW 74.04.060]. State law requires records to be kept for services to children (see [RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133] and adults [RCW 74.08.545]). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service [RCW 74.15].

C. Service workers use social service records as tools to provide readily accessible information on the results achieved through the provision of services and document activities for court reports and social summaries.

D. Except for brief information and referral contacts or other social services of less than 30 minutes, the service worker opens a record and completes the appropriate paperwork for each individual/family who applies for and receives social services. Maintain records on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see [RCW 74.13.133]).

E. Service Record Required Contents

1. DCFS requires the service worker to document basic information in a service record on the:

   a. Service Episode Record, DSHS 2-305(X) (Narrative recording);

   b. Social Service Intake, DSHS 4-114(X);

   c. Family Face Sheet, DSHS 14-24(X);

   d. Social Services Authorization, DSHS 14-154(X) (service, objectives, payment rates, client data);

   e. Change of Service Authorization, DSHS 14-159 (turnaround document);

f. Referral to Financial Services for Child in Placement, DSHS 14-226(X); and

g. Child Placement and Legal History, DSHS 15-192(X).

Instructions for the completion and use of these forms are detailed in the [Social Service Payment System Manual], and [Chapter 99] General Forms.

2. The record contains proof that the person was eligible and that eligibility was determined. A copy of DSHS 4-114(X) or DSHS 14-24(X) provides documentation.

3. The record indicates which services are provided and if services are agency provided (direct service) or vendor provided (purchased service). Enter this information on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See [Social Service Payment System Manual, Appendix C.])

4. The record contains an service plan. Document service plans and objectives on the DSHS 14-154(X), which has service and objective codes, and the DSHS 15-209, ISP.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the SER be legible. Use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

A clear statement of the problem or identified needs.

2. Narrative (NARR)

Information adequate for probable future uses of the record include:

(a) Dates of client contact;

(b) A brief description of specific events and observable acts which have importance;

(c) Additions or changes to the plan;

(d) Names and addresses of referrals and others involved in providing services; and

(e) Any supporting data needed for court activity.

When more than one worker provides services to the same individual/family, both workers enter a recording or coordinate a summary.

3. Evaluation (EVAL)

An evaluation of the service plan with a statement of the outcome. This statement relates back to the identified problem and indicates whether the objectives of the service are achieved. The summary indicates what factors influence the outcome of the service plan and summarize major events in the course of service delivery. Make it brief, about one page or less.

4. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with a notation of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the SER; however, other required service recording or data forms and samples are shown in [Chapter 99] Forms.

2. Records contain statements of fact. Service workers make nonjudgmental entries. If wishing to record opinions or personal inferences, label them clearly as opinion or judgment of the situation.

3. Brief phrases describing key points are used whenever possible.

4. The worker responsible for providing a service writes the needed record narrative. Supervisors assure necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see [Chapter 23]). For details about what program or service information (in addition to that described above) is recorded in the service record, refer to the service chapters [Chapters 05-40].

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations maintain records substantiating that eligibility decision.

2. Contractor records contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Contractor records must contain copies of the quarterly progress reports prepared by the contractor and sent to the DCFS office, depending on where the contract was negotiated.

4. Contractor maintains and stores records in a professional manner meeting all requirements of DCFS service records.

5. Child-placing agencies maintain adoption records with the safeguards required for DCFS adoption records (see [Section 02.14]).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., [Chapter 34], Private Agency/Child Group Care).

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpoenaed into court.

B. Clerical staff builds the original service record, and assigns a case number. DCFS office procedures for building, filing, storing, securing, and transferring social service records are consistent with Manual E and the following guidelines.

C. All nonactive service records are maintained in a central file location under clerical control (see [Manual E]). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case maintains the contents in the manner described below. When a service record is ready for closure, the service worker reviews for both completeness of information and conformity to the sequence described in the next paragraph. (See [Chapters 36 and 38] for instructions on closing adoption records.)

E. The service record contains four separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - Family Face Sheet, DSHS 4-114 or 14-24, and the Service Episode Record, DSHS 2-305(X). The Social Service Application and SERs are placed in this section in chronological order with the most current social service application or Family Face Sheet on top. Slide fasteners are inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section contains all forms documenting eligibility or authorizing or awarding services and service invoices. The Social Services Authorization, DSHS 14-154(X); Change of Service Authorization, DSHS 14-159; and Notice of Funding Category for Placement, DSHS 2-501, is placed in chronological order with the most current at the front. Place the most recent DSHS 2-501 at the front or it may be stapled to the inside left cover of the record. The most current DSHS 14-159 should be left loose and not stapled. Insert slide fasteners from back to front.

3. Section 3. Document Section. This section contains all medical reports, program specific forms, other documents and correspondence. Place in chronological order with the most current at the front. Insert fasteners from back to front.

4. Section 4. Permanency Planning: Case files that have/have had services from DCFS from September 1985 have a fourth section which contains:

   a. Child Placement and Legal History Sheet, DSHS 15-192(X). File this sheet at the front of the section.

   b. Legal/court documents (petitions/orders) relative to juvenile custody matters.

   c. Reports to the court for hearings.

   d. Voluntary Consent to Place, DSHS 9-04.

   e. Periodic Review Report/ISP, DSHS 15-209s, relevant to placement interventions.

   f. Administrative Review conclusions report.

   g. Other case review recommendations such as LICWAC, Adoption Planning, etc., constituting a review of permanent planning activity.

   Place court orders in chronological order with the most current at the front. Place the most recent court order at the front. Insert slide fasteners from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the Record Transfer Notice, DSHS 1-01(X), that a Volume II folder be created.

2. The clerical support person places all documents and forms that are more than one year old (except the most recent court order) in the Volume I service record in their original chronological order. The service worker requests exceptions to the one-year time frame of the DCFS office supervisor or his designee in writing.

3. Unless it is being used, The service worker keeps the Volume I service record in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Send any requests for combining or separating service records to the clerical support person for action. The file clerk or other designated clerical support maintains the central file location (see [Manual E]). No one, other than these designated persons, are permitted to remove or replace records from central files.

H. Purge all nonadoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) from central files and transfer to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS office, the closed (inactive) service records are destroyed. Closed adoptive records are sent directly to SO adoptions staff who forward them to State Archives (see [Chapter 36]).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the [DSHS Records Management Procedures Manual] (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information is not released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian is advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints remain anonymous and their names are purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DCFS staff members having an assigned responsibility for the client or DSHS SO or DCFS staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing is open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see [WAC 388-08 and 388-09]).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures used for release of records, see the [DSHS Records Management Manual] (3/83) and [WAC 388-320]. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33H, Olympia, WA 98504.

2. The worker completes the following forms when processing requests for information or records:

a. Request for Disclosure of Records, DSHS 17-41 (Revised 12/80).

b. Authorization to Disclose Personal Information, DSHS 17-63 (Revised 12/80).

c. Denial of the Disclosure of Public Records, DSHS 17-62 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area is consulted in advance of the hearing (see [Chapter 23] Juvenile Court Process and [Chapter 32] Child Foster Family Care).

4. No individual is permitted to make a partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

G. Adoption Records

The records of a child in preadoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information may be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) may be released only by written order of a Superior Court (see [RCW 26.32, WAC 388-70-480] and [Manual G, Chapter 36] Adoption Services).

H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 [RCW 13.04] shall be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies providing services to DSHS clients are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients are briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. The office releasing the information briefs the receiving agency on these requirements.

3. No duplicate records may be made if the whole record is requested. It should be checked out with the requirement that it be returned. The record is reviewed in the DCFS office.

4. Supervisory personnel review service records for completeness and accuracy before the information is released. Care and documentation is employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department supplies no record which is not complete, i.e., contains no information on action taken to date on any incident, even if that action is taken by another agency.

I. The service worker/supervisor complies with the requirements of [RCW 13.04.270 through 13.04.276 and WAC 388-70-700], regarding the confidential sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, their parents or their attorney, may make a written request asking the department about the existence and content of custody or care records. The inquiry provides the name of the juvenile, the approximate date of the juvenile's contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department makes written response to the inquiry within ten working days after receipt. The department gives priority to, and expedites processing of, inquiries involving litigation. The department provides to the juvenile, their parents, or attorney making the inquiry, information regarding the location, nature, and content of any records in the department's possession. A juvenile, their parents, or attorney, wishing to challenge the information contained in the department records, notifies the department in writing. The notification provides:

a. The name of the juvenile;

b. If the records are alleged to be inaccurate, a statement of those portions alleged to be inaccurate; and

c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department reviews the notification of challenge to the record and responds in writing within 30 calendar days. The response indicates the corrections which have been or will be made or states the basis for denial of any requested corrections. If appropriate, the department's response also includes a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, their parents, or attorney are notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in [Chapter 34.04 RCW].

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Service workers make every effort to avoid transferring active clients from one worker to another within the DCFS office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible consult about the reasons for the transfer and responsibility for the continued service planning for the client. The service worker documents their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

a. The client or worker requests a transfer based on a legitimate personality conflict.

b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

d. The service worker transfers out of the section, DCFS office, or terminates employment.

B. Transfer Process Within DCFS Office for Active Cases

1. The transferring service worker makes certain that the service record is complete and all documentation is current.

2. The transferring service worker discusses the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion determines which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments are not interrupted (i.e., Authorization Not Terminated, DSHS 14-159). See the [Social Service Payment System Manual].

3. The transferring worker completes Records Transfer Notice, DSHS 1-01(X), attaches it to the service record, and forwards them to the receiving service worker.

4. The receiving service worker reviews the service record and the DSHS 1-01(X) for completeness and routes the DSHS 1-01(X) to clerical support/master file/central file.

5. The receiving service worker, within ten days, updates the current DSHS 14-159 with the new worker ID, authorizes any new services, and confirms the accuracy of any transferred services.

6. The receiving service worker reviews the service plan with the client and makes any required changes on the Service Episode Record, DSHS 2-305(X).

C. Transfer Process Between DCFS Offices (closed cases)

Requests for transfers of closed cases is handled by clerical support. The transfer-out is made within five working days of the receipt of the request (see [Manual E]).

D. Transfer Process Between DCFS Offices (active cases)

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker reviews the service record for completeness. All documentation and recording must be current. However, the service record is not held for more than five working days after the request is made. Additional material is forwarded to the receiving office at a later date. The service worker notes in the record what material will be sent later.

2. If the department purchases a service for this client and the provider or payee does not change as a result of the transfer, the transferring service worker does not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee changes, the service worker terminates payment on the DSHS 14-159 prior to the transfer out to the new DCFS office. (See the [SSPS Manual].)

4. If the client receives no purchased services, the sending service worker terminates all services on the DSHS 14-159 and submits it as a regular termination. The receiving worker then submits a new authorization to open services.

02.15 RANDOM MOMENT TIME STUDY INSTRUCTIONS FOR COORDINATORS AND OBSERVERS

A. Introduction

These instructions define the responsibilities of the coordinators and the observers in carrying out the Random Moment Time Study (RMTS). The RMTS uses an Observer System to generate statistically valid Statewide estimates of the various activities performed by the Division of Children and Family Services staff which are federally and state funded.

In this system, DCFS workers are grouped into clusters known as a unit. Each unit has an observer, who is usually the supervisor.

Each unit worker is asked several times each quarter about their activity at that moment according to the RMTS definitions of the activities. Coordinators and observers shall submit and update lists of workers participating in this study and assure that observations are carried out at the appropriate moment.

B. PARTICIPANTS

All DCFS service workers shall participate in the time study. Select program managers, at state office, are also included in the time study.

Students, interns, homemakers, clerical staff, intermittent staff, after hour staff, weekend staff, community resource coordinators, social worker 5 (supervisors), service delivery coordinators, and other management staff are not included in the RMTS. However, the federal reimbursement for their salaries is based on the data from the RMTS.

C. APPOINTMENT OF AN OBSERVER AND A COORDINATOR

1. Each DCFS Regional administrator designates a primary observer for each group. The observers may be supervisors or clerical staff. The primary observer ensures that a backup is assigned in case the primary observer is not available on the day of the observation. The primary and backup observers are responsible for establishing a fail-safe backup system so that the scheduled observations are not missed.

2. The Regional administrator also assigns a RMTS coordinator for each office. The name, phone number, and mail stop of the coordinators and appropriate changes are submitted to State Office.

3. The RMTS observer and the coordinator may be the same person if this is convenient for the offices.

4. Social workers, or DCFS staff who may be observed as part of the time study cannot be observers, backup observers, or coordinators.

D. COORDINATOR'S DUTIES

The RMTS coordinators have the following duties and responsibilities:

1. Receive the Random Moment Sample Schedule and the computer generated Observation Form, DSHS 4-315, for the office. (See [Chapter 99] for sample of form DSHS 4-315.)

2. File each Observation Form chronologically by observation date.

3. Distribute the Observation Form to the group observer the afternoon before the sample date,

or

Observe the group at the time and date printed on the Observation Form depending, on the sampling procedures for the office.

4. Ensure that the Observation Form is completed correctly, that an RMTS code is entered for all workers, and that the worker list is updated if necessary.

5. Ensure that there is an adequate supply of blank RMTS follow-up forms, DSHS 4-315A, for the observer if needed.

E. GROUP SAMPLING PROCEDURES

1. The state office randomly selects observation moments for each group and sends the Random Moment Sample Schedule to the RMTS coordinators. The schedule indicates the day, date, and time that the observation occurs for all groups in the region. The schedule covers a three-month period and is sent a month before the start of the quarter. The same random moment time is assigned to all workers in the same group.

The RMTS coordinator or the observer must not reveal the observation moment to the workers in advance.

2. One day before the scheduled observation moment, the RMTS coordinator gives the Random Moment Time Study Observation Form to the primary observer.

3. Checking the worker listing.

The observer checks the worker's name which is preprinted on the RMTS Observation Form ensuring a current listing of unit members.

4. Changing the worker listing.

a. If a worker leaves the unit, draw a line through the name.

b. If a worker joins the unit, the coordinator/observer adds their name at the bottom of the RMTS Observation Form and includes their primary service activity, i.e., CPS, CWS, Day Care licensing.

Note: It may take up to three months for new workers to be preprinted on the Observation Form since changes to the worker listings are done quarterly.

c. If a worker is on a job rotation to some other unit or section, use Code L.

5. Training the workers on the RMTS system.

The supervisor ensures that the workers, especially new workers, in their unit and/or RMTS group, are trained in the RMTS system and knowledgeable of the RMTS code definitions. The State Office RMTS staff is also available to provide consultation and training to workers upon supervisor's request.

6. Making the observations.

At the time of the observation moment, the observer is equipped with the updated RMTS Observation Form and a supply of the Follow-up Form.

Only workers whose names are preprinted on the RMTS Observation Form are sampled. Do not sample workers that have been added to the list.

a. The observer approaches each worker in the unit.

b. The observer tells the worker that a RMTS observation is due.

c. The worker tells the observer the RMTS code which best describes their activity at that moment.

d. The RMTS code is a single letter "A through L." (See the RMTS definitions of the codes in the Instructions for Participants.)

e. The observer enters this code on the Observation Form. Enter only one RMTS code per worker.

f. The observer requests case numbers for specific RMTS codes only. The Observation Form indicates the RMTS codes for which a case number is needed. If a case number is not available, use a case name.

g. The observer receives from the worker a capsule comment about the type of activity performed if the specific RMTS code is C, E, F, G, or H. This is entered in the Comments section on the right side of the form. Examples cited for those codes listed in Section 2.16 should be used.

h. The worker initials the Observation Form next to worker's name indicating their participation in the time study.

7. Unavailable workers

If the worker is on duty but unavailable at the time of the observation:

a. The observer completes Section I of the RMTS Follow-up Form by indicating the worker, time, day, and date of the observation and leaves it for the worker to complete.

b. The worker completes Section II of the Follow-up Form by noting the RMTS code for the activity being provided at the time of the observation moment and initials it. There should be appropriate comments regarding the activity if the RMTS code is C, E, F, G, or H.

c. The worker promptly returns the form to the observer.

d. The observer follows up with the worker and obtains the completed RMTS Follow-up Form if the form is not returned promptly.

e. When the RMTS Follow-up Form is received, the observer enters the appropriate code on the RMTS Observation Form for that worker. In this instance, the worker's initials are not required on the Observation Form.

8. Out stationed workers

If the workers are stationed at a different location from the observer:

a. The observer calls each of the workers and tells them that an RMTS observation is due.

b. The observer enters the worker's response on the RMTS Observation Form and notes that the observation was made by telephone. The worker's initials are not needed in this case.

c. The observer calls later or leaves a message if the worker is not available at the moment of the observation. When the worker is reached, the observer enters the appropriate code on the Observation Form.

9. Workers on leave

If a worker is on leave status including compensatory time at the moment of an observation:

a. Enter Code "L" on the RMTS Observation Form.

b. The worker's initials are not necessary in this case.

F. SEND THE RMTS OBSERVATION FORM TO THE STATE OFFICE

When the observations have been completed and noted for all of the workers who were pre-printed on the RMTS Observation Form:

1. Send the original Observation Form and all Follow-up Forms to the State office address listed on the bottom of the Observation Form.

2. The completed observations are due in the state office one week after the observation moment.

3. The RMTS coordinators may maintain copies of the completed RMTS forms for up to six weeks, and then they can be destroyed.

G. MAKE UP OBSERVATION

If an RMTS group observation was missed and not completed at the scheduled time or for any questions:

1. A make-up observation is available upon request.

2. Contact the State Office Federal Funding Unit at SCAN 321-5425.

H. VALIDATION OF WORKERS

Each quarter the State Office updates the RMTS group listings based on deletions and additions submitted when the observation forms are submitted. These lists are checked against the central payroll registry assuring that all workers who should be time-studied remain in the sample.

02.16 RANDOM MOMENT TIME STUDY INSTRUCTIONS FOR SOCIAL WORKERS/PARTICIPANT

A. INSTRUCTIONS FOR PARTICIPANTS

The Random Moment Time Study (RMTS) is a data collection tool used by the Department of Social and Health Services to claim federal matching funds. The RMTS satisfies federal financial participation requirements, provides management information to claim federal matching funds for staff salaries and documents activities for state and federal audits.

It is important that DCFS social work staff have a clear understanding of the concepts and the definitions used in the RMTS. These instructions first describe the general procedures used in the RMTS. The instructions describe how to characterize the activity you are engaged in when an observation is requested.

B. GENERAL PROCEDURES

1. A unit or a group of workers, are sampled at the same time and date. At the sample moment, a designated RMTS observer asks you to indicate the activity being performed. Refer to the RMTS definitions and choose the one code best describing your activity.

2. The observer writes the code on the RMTS observation form, DSHS 4-315. The service worker signs their initials next to their pre-printed name on the RMTS log sheet. This records the observation and your participation in the RMTS.

3. If you are out of the office or not available at the moment of the sample, the observer leaves the Random Moment Follow-up Form, DSHS 4-315A on your desk. The DSHS 4-315A indicates the date and time of the observation moment. As soon as possible complete the DSHS 4-315A by entering the activity code best describing what you were doing at the observation moment. Initial the DSHS 4-315A in the space provided, and return the form to the observer.

4. Certain workers in remote locations or in small offices are contacted by telephone. Those workers are expected to keep a copy of the RMTS definitions near their telephone for review when they are called for an observation.

C. RANDOM MOMENT TIME STUDY CODES

Code A - Health Related Service
Code B - Child Support Enforcement
Code C - IV-E Eligibility Determination
Code D - Training
Code E - Court Related Activity
Code F - Case Management and Administration of Placement Prevention Services
Code G - Case Management and Administration of Foster Care
Code H - Case Management and Administration of Adoption Subsidy
Code I - Therapeutic Counseling and Treatment
Code J - Investigation of Reports of Abuse and Neglect
Code K - Other Service Activity
Code L - Non-program Related Activity

D. APPROACH TO CATEGORIZING THE RMTS ACTIVITIES

When an RMTS observation is requested, DCFS social workers use the following steps to determine the appropriate code categorizing your activity. Carefully read the definition of the RMTS codes. Report to the observer the activity code best describing what you are doing at the moment of the RMTS observation.

If the activity is not specific to a child, choose the code for the program most supported by the activity.

1. First determine whether the activity meets the Health Related Service definition, and if that activity is being provided to a Medicaid eligible client. If this is the case, choose Code A.

2. If Code A is not appropriate, consider the four specialized codes, B, C, D, and E, to see if these accurately describe the scope or purpose of your current activity.

3. If codes A through E are not appropriate, examine the three case management and administration codes, F, G, and H. If the examples in these definitions fit the activity being performed, carefully choose between the three codes based on the status of the child.

4. If none of the previous codes are appropriate, consider Codes I and J. If these codes are inappropriate, but you were engaged in a service/program activity, you use Code K. If you were engaged in a nonprogrammatic activity (on lunch, leave, or break), use Code L.

E. RANDOM MOMENT TIME STUDY DEFINITIONS

Code A. - Health Related Service

The worker uses Code A when engaged in activities helping clients gain access to services covered by Title XIX medical coupons. HEALTH RELATED SERVICE are activities designed to help clients attain and maintain a favorable physical or mental health condition. Workers assist clients in identifying and understanding their health needs, and securing and utilizing necessary treatment and maintenance services. This also includes Title XIX Personal Care Services.

Examples are:

- Arranging for medical or health services,
- Arranging for admission to hospitals or medical facilities,
- Arranging for counseling covered by Title XIX medical coupons,
- Liaison with medical providers,
- Assistance in applying for or maintaining eligibility for Medicaid,
- Assistance in implementing health regimens,
- Development of health plans,
- Assessment of personal care needs including meeting with foster parent, child or parent regarding personal care services;
- Recruitment, training and certification of personal care provider, including screening of foster parents as personal care provider,
- Contacts and case consultations with the personal care oversight nurses,

- Paperwork related to any of the above activities including the completion of the personal care initial assessment form, or

- Travel associated with any of the above activities.

Code B. - Child Support Enforcement

The worker uses code B when the activity is related to gaining or collecting support from parents of children in foster care. This includes assistance, collateral or written contacts with the Office of Support Enforcement. Included are actions directed toward gathering financial data from clients for support purposes.

Code C. - IV-E Eligibility Determination

The worker uses Code C when they perform an activity contributing to the determination of a child's eligibility for the Title IV-E Foster Care or Title IV-E Adoption Support funds. The following are examples of Eligibility Determination activities:

- Collecting information from family or others which is used in the determination, e.g., income, parental whereabouts, resources, social security numbers, birth certificates, family living arrangements.

- Verifying the information above.

- Filling out and processing eligibility forms.

- Querying systems, records, and contacts with financial and other staff to determine AFDC status.

- Redetermining Title IV-E eligibility, and

- Preparing for and participating in all fair hearings and appeals related to IV-E eligibility.

Code D. - Training

The worker uses code D when

1. The worker is engaged in, or preparing for training, either as a trainer of other agency staff, or as a trainee; and

2. The subject of the training is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs.

This includes the Academy, HRD training programs, conferences, and training in unit meetings provided by supervisors or State Office Program Managers.

Do not use this code for training of foster care providers or training of adoptive parents. Use code G.

Code E. - Court Related Activity For Placements

The worker uses code E when engaged in court-related activity related to placement including preparing for or participating in a judicial proceeding. Examples of activities which fit this code are:

- Preparing a report for court for placement or removal,
- Preparing a petition or making the determination to file a petition seeking custody of a child,
- Court appearances where the agency seeks placement of a child, or the foster care status of a child is reviewed,
- Preparing for or participating in a court review or dispositional hearing relating to foster care placement,
- Documenting for the court that DSHS has made a reasonable effort to prevent placement,
- Working with the Assistant Attorney General (AAG) or prosecutor in preparing a case for court,
- Documenting for the court that continuation in the home is contrary to the welfare of a child, and
- Travel associated with the above activities.

Code F. - Case Management and Administration of Placement Prevention Services

The worker uses code F when engaged in case management or administrative activities preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The preliminary CPS, FRS or CWS case plan recording indicates that without services a child is a candidate for an out of home placement,
2. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or
3. A petition or court order is obtained indicating a need for placement.

When using this code, the worker should differentiate this activity from activities which would be more appropriate under Code J. The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs. Examples of **Case Management and Administration of Placement Prevention Services** are:

- Case plan development,

- Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals,
- Referral to other services for placement prevention,
- Arranging for the provision of preventive services,
- Case and administrative reviews,
- Case management and supervision,
- Case conferences,
- Routine supervisory contacts and consultations,
- Public information for protecting children via placement prevention services,
- Planning and paperwork contributing to the above activities, and
- Travel associated with the above activities.

Code G. - Case Management and Administration of Foster Care

The worker uses code G when engaged in the management or administration of the department's foster care program. Foster care includes placement in receiving homes, foster homes, crisis residential centers, relative placements, group homes, and private agency foster homes. The post-placement activities listed below are included if it occurs within the first six months of the child's return home. It can last longer than six months with supervisory approval. Use this code also if the activity is not related to a specific child, but is primarily supportive of the department's program of out-of-home care. Examples of **Case Management and Administration of Foster Care** are:

- Development of the case plan,
- Case and administrative reviews,
- Referral to services for family reunification,
- Case management and supervision,
- Public information about Foster Care, Adoption and other placement programs,
- Recruitment, training, completing a home study, and licensing of foster, adoptive, and other placement resources,
- Development of a voluntary placement agreement with parents,
- Interstate compact activity,

- Case conferences,
- Contacts and communications with parents, children and service providers about the status of the case, the needs of the child or family, and progress in meeting the case plans and goals,
- Planning and paperwork contributing to the above activities, and
- Travel associated with the above activities.

Code H. - Case Management and Administration of Adoption Support

The worker uses code H when engaged in the management or administration of the department's program of Adoption Support. The activities described in the two preceding codes are applicable here except that the child is a recipient of adoption support.

Code I. - Therapeutic Counseling and Treatment

The worker uses code I when providing treatment and counseling in order to ameliorate or remedy personal problems, behaviors, or home conditions.

Code J. - Investigation of Reports of Abuse and Neglect

The worker uses code J when receiving or investigating a report of abuse or neglect. This includes public information related to CPS reporting and investigations.

When employing this code, the worker should be careful to differentiate this activity from activities which are more appropriate under Codes E or F.

Code K. - Other Service Activity

The worker uses code K when engaged in programmatic or service activity not fitting any of the codes above. Examples are FRS intake, day care licensing, parent participation day care activities, and completion of initial risk assessment forms.

Code L. - Nonprogram Related Activity

The worker uses code L when the worker is:

1. On a job rotation to some other unit,
2. At lunch or on a break,
3. On any type of leave or not scheduled to work that day, or
4. Or when performing work unrelated to a specific service program of DSHS. Examples of such activities are:

    a. Reviewing office procedures.

b. Performance appraisal/employee evaluation participation.

c. Attending training course on stress management.

02.17 SOCIAL SERVICE MONITORING AND VALIDATION SYSTEM

A. DCFS supervisors monitor services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), is used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.

2. An adequate needs assessment is made.

3. Department policies and procedures are followed.

4. Eligibility and funding sources are correctly determined.

5. Appropriate permanency planning is done.

6. Case documentation is completed.

7. Correct output and management information can be created from the services authorized.

B. The supervisor reads a minimum of three records per month per service worker. Records are selected in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Supervisors retain copies of all completed reading schedules for a minimum of six months for use in preparing service worker performance appraisals. Schedules are stored in a manner assuring the privacy of the service worker.

D. See [Chapter 99] for instructions in form completion.

E. DCFS program managers monitor statewide programs. The eligibility of social S/Rs is validated. In addition to an eligibility validation process, the social service program managers review a random sampling of service records, assessing quality of narrative recording and completeness of service records (e.g., required forms).

F. SO staff on a state office designed schedule determine compliance with statewide program standards, policies, and procedures by reading a random sample of social service records in each DCFS office.

G. DCFS program managers identify: service delivery system problems requiring corrective actions; staff training needs; and operating manuals needing revisions.

02.18 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker:

1. Verifies the amount of fee required for the information needed and obtains the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepares a letter in duplicate to the agency for the designee's signature indicating:

   a. The type of record/information requested.

   b. The name and case number (if applicable) of the party for whom the record is requested.

   c. The DCFS (or CSO) address to which the record is mailed.

B. The DCFS supervisor/designee signs and forwards both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff:

1. Issues a check on the DSHS Administrative Revolving Fund and mails it with the requesting letter to the vital statistics agency indicated.

2. Returns the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

02.20 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. Affidavit of Lost or Destroyed Warrant, DSHS 9-13(X), is the proper form for requesting replacement of a vendor warrant. The top half of this form is completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit is returned to Disbursements. See [Manual E, Chapter 31].

B. The copy of the affidavit is kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office staff checks with the State Treasurer's Office finding if the warrant is outstanding. The replacement process takes from one to two months. If staff finds that the warrant has been cashed, then investigation is necessary before reissuing a warrant.

D. DCFS offices are not authorized to initiate another voucher. DCFS offices ensure only the proper affidavit is completed and submitted to disbursements.

E. This procedure applies to all vendor payments, including foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See [Chapter 99], General Forms, for instructions on these forms:

Service Episode Record, DSHS 2-305(X)

DCFS - Random Moment Time Sample Observation form, DSHS 4-315

DCFS - Random Moment Time Study Follow-up form, DSHS 4-315A

Social Services Reading Schedule, DSHS 14-164(X)

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02.00 INTRODUCTION

This chapter describes the framework within which the Division of Family and Children Services (DCFS) delivers social services to eligible clients. The system is made up of several interdependent parts -- people, procedures, and paper. The system organizes the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers know what to expect from one DCFS office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a fairer method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by DCFS is goal-oriented, time-limited and with specifically defined outcomes. Both staff and clients are knowledgeable of the goals and objectives of the service(s) provided. Unmet goals and objectives which are not achieved or only partially achieved are acknowledged.

B. Services are provided in response to identified need and within department priorities. Services are provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery are utilized. The emphasis is on methods enabling the client to manage their situation with appropriate independence and with the least restrictive alternatives available. Services provided are coordinated with co-existing community agencies and systems, such as crisis clinics, schools, and health care organizations.

C. The department maintains the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

02.02 DCFS OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Service Plan for cases assigned to them. Implementing the plan may include any combination of:

1. Direct provision of service;

2. Arranging for purchased services;

3. Referral to, or collaboration with, peers in other service units; and

4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. Service workers authorize and provide <u>or</u> arrange for:

1.	Child Protective Services (CPS)	Chapter 26
2.	Family Reconciliation Services (FRS)	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8.	Crisis Residential Center (CRC)	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services (I & R)	Chapter 20
12.	Volunteer Services	Chapter 62

C. After assessing the qualifications of staff and the complexity and volume of service requests, the DCFS social service supervisor or their superiors may designate specialists or a specialized unit. Functional specialists may be designated based upon the nature and volume of the service or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers should be able to authorize, provide, or arrange for <u>other</u> services (e.g., day care) which stabilizes or strengthens the family while the children are still at home. Designating intake specialists guarantees that some clients are contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in service delivery to families.

D. The expectation that service workers authorize, provide, or arrange for multiple services does not ignore the fact that there are different levels of work assigned.

Supervisors must take the time to make appropriate worker to client assignments based on their judgment of the difficulty of the case and of the capabilities of the service workers in their unit.

Service workers vary in skill and experience and are not interchangeable. Therefore, the random assignment of workload based on rotating intake worker can result in inequitable workload distribution, frustrated clients (shuttled among DCFS staff), and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. The DCFS office supervisor ensures social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services are seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the service delivery model is to move the client through each step of the process as smoothly as possible. The client contacts as few staff workers as possible.

B. Intake and Assessment

1. All social service workers determine service eligibility, needs assessment and information and referral functions. If the client is not eligible or if the services requested are not available, the service worker refers the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters.

3. Based on the size of the office and the volume of urgent service requests, the DCFS office supervisor may decide to designate individual workers as intake specialists. These individuals do not carry ongoing service caseloads but may provide short-term crisis intervention services. The need for quick response is weighed against the effect (on clients) of transferring cases to other workers for ongoing services. Avoid the latter when practical.

4. Intake/assessment specialists or others performing this function are prepared to:

   a. Take complaints on alleged abuse, neglect, or exploitation of individuals;

   b. Screen referrals for out-of-home placement determining if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention, FRS, or CPS.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. Social service supervisors shall evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02-04 CASE ASSIGNMENT

A. The receptionist refers clients to the section/unit serving the target population to which the client belongs or to the intake/assessment specialist. Refer obvious CPS investigations and requests for ongoing or long-term services directly from reception to the appropriate service unit.

B. Supervisors assign service workers to clients by the appropriate differential use of staff.

C. The same service worker performs intake, service planning, and service delivery activities for a primary recipient whenever possible. If more than one service worker is involved, one service worker is assigned primary responsibility for case management.

D. Whenever possible, assign clients returning for additional services to their original service worker. Exceptions to this policy include:

   1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting Existing/New Social Service Records

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 02-128(X), Application, Registration and Control, and routes it to Master File or the designated clerical staff. Requests specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, the worker obtains a case number and a file folder (record) is established (see [Section 02.12]).

02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) is provided without the development of a Service Plan. The service worker assigned to the case has the full responsibility for all parts of the service plan which are:

1. Assessment of Need

The service worker assures that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker determines if agency services are available to meet the client's need. If agency services are not available, the service worker offers to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services is documented on DSHS 02-305(X), Service Episode Record.

3. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan includes specific objectives and describes the steps taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See the following service chapters for specific program procedures and expectations.)

B. Service plans are developed within the time frames outlined in the service chapter. Workers develop mandatory service plans (CPS, etc.) with the knowledge of the clients. Record the service plan on DSHS 02-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services achieving a stated goal or outcome. A service plan is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limited service episode is recorded on the SER.

D. Where there is a major change from the stated goals of the service plan, worker enters a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

The worker develops a new service plan at any point in a service episode. In all instances, the current plan is evaluated and a disposition of the previously planned action recorded on the DSHS SER.

E. The worker renews the service plan according to specific eligibility and program requirements noted in the program or service [Chapters 06-99]. The SER includes other information required by programs or services. Narrative recording requirements are described in [Section 02.11] and in the instructions to the SER described in [Chapter 99] General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by DCFS staff which are not emergent or short-term crisis intervention services. Generally, continuing ongoing or long-term services are those requiring more than three work days to complete.

B. Delivered services comply with program standards and procedures indicated in each of the program/service chapters. (See [Chapters 05 through 62].)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within DCFS offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who frequently provide that service.

B. After such consultation, the assigned service worker decides to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and shall be used as needed and with the knowledge of the supervisor.

D. DCFS staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation, and Juvenile Parole service staff.

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers make social service eligibility determinations based on situational or behavioral criteria by completing the Social Services Intake, DSHS 04-114(X); and the DSHS Family Face Sheet, DSHS 14-024(X). The program eligibility criteria is described in each service chapter.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker attempts to keep within that time frame. Time frames and response standards are described in each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

c. When needed and authorized services are reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker terminates services through mutual negotiation with the client in an exit interview. The service plan is evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker enters on the SER the appropriate narrative recording to evaluate the service plan and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the Change of Service Authorization, DSHS 14-159, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. The service worker reviews the service record for completeness when all authorized services are terminated (including court data, the SER and other required service forms). The service worker sends it to their supervisor for review or to closed files clerk per DCFS area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients (A/Rs) of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. A/Rs may also request a fair hearing if the A/R feels the department failed to act upon a request for service within 30 days. Requests for a fair hearing are made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See [RCW 74.08.070 and WACs 388-08-002 and 388-15-030].)

B. A comparable right is also established in [RCW 74.15.130] for any legally defined child welfare agency including a foster home or day care home which believes its application for license was improperly denied, suspended, or revoked or not renewed by the department.

C. The appellant in a fair hearing has the opportunity to present a grievance or case to the fair hearing examiner or seek the aid of others such as legal counsel. Departmental staff shall not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an A/R expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The service worker determines whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker advises the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, WA 98504, as soon as possible but within 90 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker notes in the service record the date, the issue, and the client's expressed intent. The service worker also notifies the DCFS fair hearing coordinator of the client's name, case number, and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker notes the date of the request in the SER and immediately forwards the written request to the fair hearing coordinator or designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker notes <u>the date</u> in the SER, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The DCFS office field fair hearing coordinator or designee will:

1. Present the DCFS case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the DCFS.

3. Have overall responsibility and authority in reviewing the DCFS case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the DCFS witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the DCFS administrative secretary which supervisory unit does the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the Fair Hearing Report, DSHS 09-354(X), upon receipt of the fair hearing request and route a copy to the service worker. The service worker files the copy in the service record. (See [Chapter 99], General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see [WAC 388-73-054]).

B. Service Documentation

Service workers maintain social service records for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent [RCW 74.04.060]. State law requires records to be kept for services to children (see [RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133] and adults [RCW 74.08.545]). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service [RCW 74.15].

C. Service workers use social service records as tools to provide readily accessible information on the results achieved through the provision of services and document activities for court reports and social summaries.

D. Except for brief information and referral contacts or other social services of less than 30 minutes, the service worker opens a record and completes the appropriate paperwork for each individual/family who applies for and receives social services. Maintain records on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see [RCW 74.13.133]).

E. Service Record Required Contents

1. DCFS requires the service worker to document basic information in a service record on the:

   a. Service Episode Record, DSHS 02-305(X) (Narrative recording);

b. Social Service Intake, DSHS 04-114(X);

c. Family Face Sheet, DSHS 14-024(X);

d. Social Services Authorization, DSHS 14-154(X) (service, objectives, payment rates, client data);

e. Change of Service Authorization, DSHS 14-159 (turnaround document);

f. Referral to Financial Services for Child in Placement, DSHS 14-226(X); and

g. Child Placement and Legal History, DSHS 15-192(X).

Instructions for the completion and use of these forms are detailed in the [Social Service Payment System Manual], and [Chapter 99] General Forms.

2. The record contains proof that the person was eligible and that eligibility was determined. A copy of DSHS 04-114(X) or DSHS 14-024(X) provides documentation.

3. The record indicates which services are provided and if services are agency provided (direct service) or vendor provided (purchased service). Enter this information on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See [Social Service Payment System Manual, Appendix C.])

4. The record contains an service plan. Document service plans and objectives on the DSHS 14-154(X), which has service and objective codes, and the DSHS 15-209, ISP.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the SER be legible. Use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

A clear statement of the problem or identified needs.

2. Narrative (NARR)

Information adequate for probable future uses of the record include:

(a) Dates of client contact;

(b) A brief description of specific events and observable acts which have importance;

(c) Additions or changes to the plan;

(d) Names and addresses of referrals and others involved in providing services; and

(e) Any supporting data needed for court activity.

When more than one worker provides services to the same individual/family, both workers enter a recording or coordinate a summary.

3. Evaluation (EVAL)

An evaluation of the service plan with a statement of the outcome. This statement relates back to the identified problem and indicates whether the objectives of the service are achieved. The summary indicates what factors influence the outcome of the service plan and summarize major events in the course of service delivery. Make it brief, about one page or less.

4. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with a notation of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the SER; however, other required service recording or data forms and samples are shown in [Chapter 99] Forms.

2. Records contain statements of fact. Service workers make nonjudgmental entries. If wishing to record opinions or personal inferences, label them clearly as opinion or judgment of the situation.

3. Brief phrases describing key points are used whenever possible.

4. The worker responsible for providing a service writes the needed record narrative. Supervisors assure necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see [Chapter 23]). For details about what program or service information (in addition to that described above) is recorded in the service record, refer to the service chapters [Chapters 05-40].

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations maintain records substantiating that eligibility decision.

2. Contractor records contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Contractor records must contain copies of the quarterly progress reports prepared by the contractor and sent to the DCFS office, depending on where the contract was negotiated.

4. Contractor maintains and stores records in a professional manner meeting all requirements of DCFS service records.

5. Child-placing agencies maintain adoption records with the safeguards required for DCFS adoption records (see [Section 02.14]).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., [Chapter 34], Private Agency/ Child Group Care).

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpoenaed into court.

B. Clerical staff builds the original service record, and assigns a case number. DCFS office procedures for building, filing, storing, securing, and transferring social service records are consistent with Manual E and the following guidelines.

C. All nonactive service records are maintained in a central file location under clerical control (see [Manual E]). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case maintains the contents in the manner described below. When a service record is ready for closure, the service worker reviews for both completeness of information and conformity to the sequence described in the next paragraph. (See [Chapters 36 and 38] for instructions on closing adoption records.)

E. The service record contains four separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - Family Face Sheet, DSHS 04-114 or 14-024, and the Service Episode Record, DSHS 02-305(X). The Social Service Application and SERs are placed in this section in chronological order with the most current social service application or Family Face Sheet on top. Slide fasteners are inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section contains all forms documenting eligibility or authorizing or awarding services and service invoices. The Social Services Authorization, DSHS 14-154(X); Change of Service Authorization, DSHS 14-159; and Notice of Funding Category for Placement, DSHS 02-501, is placed in chronological order with the most current at the front. Place the most recent DSHS 02-501 at the front or it may be stapled to the inside left cover of the record. The most current DSHS 14-159 should be left loose and not stapled. Insert slide fasteners from back to front.

3. Section 3. Document Section. This section contains all medical reports, program specific forms, other documents and correspondence. Place in chronological order with the most current at the front. Insert fasteners from back to front.

4. Section 4. Permanency Planning: Case files that have/have had services from DCFS from September 1985 have a fourth section which contains:

   a. Child Placement and Legal History Sheet, DSHS 15-192(X). File this sheet at the front of the section.

   b. Legal/court documents (petitions/orders) relative to juvenile custody matters.

   c. Reports to the court for hearings.

   d. Voluntary Consent to Place, DSHS 09-004.

   e. Periodic Review Report/ISP, DSHS 15-209s, relevant to placement interventions.

   f. Administrative Review conclusions report.

g. Other case review recommendations such as LICWAC, Adoption Planning, etc., constituting a review of permanent planning activity.

Place court orders in chronological order with the most current at the front. Place the most recent court order at the front. Insert slide fasteners from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the Record Transfer Notice, DSHS 01-001(X), that a Volume II folder be created.

2. The clerical support person places all documents and forms that are more than one year old (except the most recent court order) in the Volume I service record in their original chronological order. The service worker requests exceptions to the one-year time frame of the DCFS office supervisor or his designee in writing.

3. Unless it is being used, The service worker keeps the Volume I service record in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Send any requests for combining or separating service records to the clerical support person for action. The file clerk or other designated clerical support maintains the central file location (see [Manual E]). No one, other than these designated persons, are permitted to remove or replace records from central files.

H. Purge all nonadoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) from central files and transfer to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS office, the closed (inactive) service records are destroyed. Closed adoptive records are sent directly to SO adoptions staff who forward them to State Archives (see [Chapter 36]).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the [DSHS Records Management Procedures Manual] (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information is not released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian is advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints remain anonymous and their names are purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DCFS staff members having an assigned responsibility for the client or DSHS SO or DCFS staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing is open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see [WAC 388-08 and 388-09]).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures used for release of records, see the [DSHS Records Management Manual] (3/83) and [WAC 388-320]. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33H, Olympia, WA 98504.

2. The worker completes the following forms when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-041 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-063 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-062 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area is consulted in advance of the hearing (see [Chapter 23] Juvenile Court Process and [Chapter 32] Child Foster Family Care).

4. No individual is permitted to make a partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

G. Adoption Records

The records of a child in preadoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information may be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) may be released only by written order of a Superior Court (see [RCW 26.32, WAC 388-70-480] and [Manual G, Chapter 36] Adoption Services).

H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 [RCW 13.04] shall be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies providing services to DSHS clients are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients are briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. The office releasing the information briefs the receiving agency on these requirements.

3. No duplicate records may be made if the whole record is requested. It should be checked out with the requirement that it be returned. The record is reviewed in the DCFS office.

4. Supervisory personnel review service records for completeness and accuracy before the information is released. Care and documentation is employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department supplies no record which is not complete, i.e., contains no information on action taken to date on any incident, even if that action is taken by another agency.

I. The service worker/supervisor complies with the requirements of [RCW 13.04.270 through 13.04.276 and WAC 388-70-700], regarding the confidential sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, their parents or their attorney, may make a written request asking the department about the existence and content of custody or care records. The inquiry provides the name of the juvenile, the approximate date of the juvenile's contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department makes written response to the inquiry within ten working days after receipt. The department gives priority to, and expedites processing of, inquiries involving litigation. The department provides to the juvenile, their parents, or attorney making the inquiry, information regarding the location, nature, and content of any records in the department's possession. A juvenile, their parents, or attorney, wishing to challenge the information contained in the department records, notifies the department in writing. The notification provides:

   a. The name of the juvenile;

   b. If the records are alleged to be inaccurate, a statement of those portions alleged to be inaccurate; and

   c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department reviews the notification of challenge to the record and responds in writing within 30 calendar days. The response indicates the corrections which have been or will be made or states the basis for denial of any requested corrections. If appropriate, the department's response also includes a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, their parents, or attorney are notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in [Chapter 34.04 RCW].

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Service workers make every effort to avoid transferring active clients from one worker to another within the DCFS office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible consult about the reasons for the transfer and responsibility for the continued service planning for the client. The service worker documents their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

   a. The client or worker requests a transfer based on a legitimate personality conflict.

   b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

   c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

   d. The service worker transfers out of the section, DCFS office, or terminates employment.

B. Transfer Process Within DCFS Office for Active Cases

1. The transferring service worker makes certain that the service record is complete and all documentation is current.

2. The transferring service worker discusses the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion determines which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments are not interrupted (i.e., Authorization Not Terminated, DSHS 14-159). See the [Social Service Payment System Manual].

3. The transferring worker completes Records Transfer Notice, DSHS 01-001(X), attaches it to the service record, and forwards them to the receiving service worker.

4. The receiving service worker reviews the service record and the DSHS 01-001(X) for completeness and routes the DSHS 01-001(X) to clerical support/master file/central file.

5. The receiving service worker, within ten days, updates the current DSHS 14-159 with the new worker ID, authorizes any new services, and confirms the accuracy of any transferred services.

6. The receiving service worker reviews the service plan with the client and makes any required changes on the Service Episode Record, DSHS 02-305(X).

C. Transfer Process Between DCFS Offices (closed cases)

Requests for transfers of closed cases is handled by clerical support. The transfer-out is made within five working days of the receipt of the request (see [Manual E]).

D. Transfer Process Between DCFS Offices (active cases)

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker reviews the service record for completeness. All documentation and recording must be current. However, the service record is not held for more than five working days after the request is made. Additional material is forwarded to the receiving office at a later date. The service worker notes in the record what material will be sent later.

2. If the department purchases a service for this client and the provider or payee does not change as a result of the transfer, the transferring service worker does not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee changes, the service worker terminates payment on the DSHS 14-159 prior to the transfer out to the new DCFS office. (See the [SSPS Manual].)

4. If the client receives no purchased services, the sending service worker terminates all services on the DSHS 14-159 and submits it as a regular termination. The receiving worker then submits a new authorization to open services.

02.15 RANDOM MOMENT TIME STUDY INSTRUCTIONS

A. Introduction

The Random Moment Time Sample (RMTS) is used to generate statistically valid statewide estimates of various activities performed by Division of Children and Family Services (DCFS) staff which are federally and state funded. The sampling procedure is designed to satisfy federal financial participation requirements for claiming matching funds for social service staff salaries and benefits and provide an audit trail for the State Auditors.

Data from the samples is computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable and state program activity. These calculations are used to claim federal reimbursement under Titles IV-E, IV-B, XIX, and XX of the Social Security Act.

The RMTS sample will be conducted by headquarters data compilers who will contact social workers by telephone to gather the necessary case/program information. In the event that the social worker is unavailable for the phone, the data compiler will fax an RMTS contact log to the local RMTS coordinator who will leave it at the workers work station. After the worker completes the contact log, it will be faxed to state office by the RMTS coordinator. The contact logs indicating case specific activities will be drop filed in the specific case record by the RMTS coordinator. A copy of all completed contact logs will be maintained in chronological order by the RMTS coordinator.

Each service worker is contacted several times each quarter about his/her activities at that moment according to RMTS definitions of the activities. Coordinators submit and update lists of workers participating in this study and assure follow-up activities as needed.

B. Participants

All DCFS service workers participate in the time study. Adoption Program Managers, at state office, are also included in the time study. Students, interns, homemakers, clerical staff, intermittent staff, after hour staff, weekend staff are excluded from the RMTS as are Community Resource Coordinators, etc., Social Workers 4 (supervisors), Service Delivery Coordinators, and other management staff. However, the federal reimbursement for their salaries and benefits are based on data from the RMTS.

C. State Office Responsibilities

1. The RMTS data compiler shall be responsible for the following actions:

   a. Every quarter the compiler generates an RMTS contact list for each work day of the quarter. The contact list has three variables:
      - Random Starting Time
      - Random Interval Time
      - Random Employee List

   b. Complete the telephone samples at the random moments. The data compiler shall gather the following information from the social worker or RMTS coordinator.

      (1) Status of worker:
         - on the job
         - on work break
         - position vacant
         - on job rotation or temporary assignment elsewhere

      (2) If on the job, the compiler informs the worker that an RMTS sample is being made.

(3) The compiler asks the worker for the code best describing the worker activity at that moment. If a case specific activity is reported, the compiler asks the worker for the following information:
- case number
- case name
- SSPS code (primary placement payment code)
- specific activity (brief)

c. The compiler completes the contact log with the information reported by the worker, enters it into the database, and mails a copy to the RMTS coordinator.

d. If a worker is unavailable for phone contact, the compiler contacts the RMTS coordinator to determine the worker's status. If the worker is on the job, or if the RMTS coordinator cannot determine the workers status, the compiler faxes a contact log to the RMTS coordinator for completion by the worker (see page 25, D-5).

e. The compiler logs uncompleted contacts and follows up with the RMTS coordinators to ensure that contact logs are returned in a timely manner.

f. On a monthly and quarterly basis, the compiler generates a survey data summary.

g. The compiler updates the service worker list as worker employment status changes are reported by the regional administrator or RMTS coordinator. The compiler checks the service worker list quarterly against the central payroll registry assuring that all workers who should be time studied remain in the sample.

D. Region Responsibilities

1. A regional administrator shall appoint RMTS coordinators for each field office. Ordinarily this is a clerical position assignment. Social workers, or any DCFS staff person who may be observed as part of the time study cannot be a coordinator.

2. A regional administrator shall be responsible for reporting any changes in social service staff or RMTS coordinators to the RMTS data compiler at:

Federal Funding Unit
Attention: RMTS Data Compiler
Mail Stop: OB-41
FAX: 753-0727

3. Casework supervisors shall be responsible for training social workers on the RMTS System - The supervisor ensures that the workers, especially new workers, are trained in the RMTS system and knowledgeable of the RMTS code definitions. The state office RMTS staff is also available to provide consultation and training to workers upon the supervisor's request.

4. The social worker shall be responsible for the following actions upon contact:

   a. Report the appropriate code from the DCFS social worker activity code descriptions attached.

   b. Report the case number, case name, specific activity and primary SSPS placement payment code if the activity is case specific.

5. The social worker shall be responsible for the following action if unavailable when a RMTS telephone contact is attempted.

   Upon return to the workstation, the worker completes the RMTS contact log and promptly returns it to the RMTS coordinator. The RMTS coordinator returns the contact log to state office (see page 26 7 b). The contact must be received by state office within 72 hours of the sample time.

6. The RMTS coordinator shall be responsible for the following actions:

   a. Receive the data compiler's phone contacts for workers not at their work stations. Determine and report social worker status (as information is available).

   b. If the worker status is on the job, but unavailable to the phone or worker status information is not readily available the RMTS coordinator will be sent an RMTS contact log for distribution and completion (see page 26 7 a-d).

   c. Receive completed contact logs from state office, by fax or mail.

   d. Maintain a file for all completed RMTS contact logs. File the RMTS contact logs in chronological order by date of contact.

   e. Copy and drop file the completed RMTS contact logs into the specific case records for logs indicating case specific activity.

   f. Notify the state office data compiler of any change in the employment status or contact telephone number of a worker participating in the RMTS survey within five working days of the change.

7. The RMTS coordinator shall be responsible for the following actions if the social worker is unavailable or worker status is not readily available upon contact:

   a. Deliver the faxed contact log to the worker's work station.

   b. Return the completed log to state office by fax or telephone the sample results to state office within 72 hours of the sample time.

   c. File the completed log in the field office RMTS file.

   d. File a copy of the completed log in the case record if case specific activity is indicated.

E. Random Moment Time Study Codes

Code A	-	Substitute Care Related Activity
Code B	-	Child Support Enforcement
Code C	-	IV-E Eligibility Determination
Code D	-	Training
Code E	-	Court Related Activity
Code F	-	Case Management and Administration of Placement Prevention Services
Code G	-	Targeted Case Management - Foster Care/Adoption Support
Code H	-	Administration of Adoption Support Programs
Code I	-	Therapeutic Counseling and Treatment
Code J	-	Investigation of Reports of Abuse and Neglect
Code K	-	Other Service Activity
Code L	-	Non-program Related Activity

F. Approach to Categorizing the RMTS Activities

When an RMTS observation is requested, DCFS social workers report to the data compiler the activity code which best describes their activities at the moment of the contact.

If the activity is not specific to a child, choose from Codes A, D, H, K or L; if the activity is specific to a child choose from Codes B, C, E, F, G, I, J on the definitions for the codes and child's status.

G. Random Moment Time Study Definitions

Code A. - Substitute Care Related Activity

The worker uses this code when engaged in the general administration of the department's full spectrum of out of home care program. This category covers those activities that are not child specific.

Examples include:

1. Public information about foster care, receiving care and other placement programs.

2. Recruitment, training, completing a home study, and licensing of foster care receiving homes.

3. Planning and paperwork contributing to the above activities.

4. Travel associated with the above activities.

Code B. - Child Support Enforcement

The worker uses code B when the activity is related to gaining or collecting support from parents of children in foster care. This includes assistance or collateral or written contacts with the Office of Support Enforcement. Included are any actions directed toward gathering financial data from clients for support purposes.

Code C. - IV-E Eligibility Determination

The worker uses code C when performing an activity contributing to the determination of a child's eligibility for the Title IV-E Foster Care or Title IV-E Adoption Support funds. The following are examples of Eligibility Determination activities:

1. Collecting information from family or others which is used in the determination, e.g., income, parental whereabouts, resources, social security numbers, birth certificates, family living arrangements.

2. Verifying the information above.

3. Filling out and processing eligibility forms.

4. Querying systems, records, and contacts with financial and other staff to determine AFDC status.

5. Redetermining Title IV-E eligibility.

6. Preparing for and participating in all fair hearings and appeals related to IV-E eligibility.

Code D. - Training

The worker uses code D when:

1. Engaged in (or preparing for) training, either as a trainer of other department staff, or as a trainee; and

2. The training subject is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs.

This includes the Child Welfare Training Academy, HRD training programs, conferences and training in unit meetings provided by supervisors or State Office Program Managers.

Code E. - Court Related Activity for Placement

The worker uses code E when engaged in any court activity related to placement, including preparing for or participating in a judicial proceeding. Examples of activities fitting this code are:

1. Preparing a report for court recommending child for placement or removal.

2. Preparing a petition or making the determination to file a petition seeking custody of a child.

3. A court appearance where the department seeks placement of a child, or the foster care status of a child is reviewed.

4. Documenting for the court that the department has made a reasonable effort to prevent placement.

5. Working with the Assistant Attorney General (AAG) or prosecutor in preparing a case for court.

6. Documenting for the court that continuation in the home is contrary to the welfare of a child.

7. Travel associated with the above activities.

Code F. - Case Management and Administration of Placement Prevention Services

The worker uses code F when engaged in case management or administrative activities directed toward preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The primary CPS, FRS or CWS case plan recording indicates that without services a child is a candidate for an out of home placement, or

2. A CPS referral has been received regarding the child, or

3. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or

4. A petition or court order is obtained indicating a need for placement, or

5. A child is in the first six months period following the child's return home from substitute care and the department seeks to prevent a return to placement.

The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs.

Examples of Case Management and Administration of Placement Prevention Services are:

1. Case plan development.

2. Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals.

3. Referral to other services for placement prevention.

4. Arranging for the provision of preventive services.

5. Completing Risk Assessment Summary Forms for children remaining in their own homes.

6. Post placement follow-up activities within the first six months, or longer, with supervisory approval, of the child's return home.

7. Case conferences.

8. Routine supervisory contacts and consultations.

9. Public information for protecting children via placement prevention services.

10. Planning and paperwork contributing to the above activities.

11. Travel associated with the above activities.

Code G. - Targeted Case Management - Foster Care/Adoption Support

The worker uses code G when engaged in activities aimed at assisting children in substitute care or receiving adoption support and their caretakers or families to develop and follow through with case plans designed to enable a child and caretakers/family to utilize medical, educational and social services necessary for maintaining the child's physical, psychological and developmental health.

Examples of Targeted Case Management:

1. Developing, monitoring, and updating of the case plan, including maintaining the case file and completing Risk Assessment Summary Forms for children in placement.

2. Case conferences related to planning for the provision of services necessary for maximizing a child's health and development.

3. Contacts and communications with parents, children and service providers about the status of a case, child or family's needs, and progress in meeting the case plan and goals.

4. Referral and/or arrangements made for medical/health services or evaluations. This includes mental health services.

5. Liaison with medical providers, including mental health providers.

6. Development of health plans.

7. Assistance in implementing health regimens.

8. Personal care assessments.

9. Case and administrative reviews. (These include a review of a child's medical history.)

10. Gathering medical and educational data during the process of freeing a child for adoption for the purpose of providing adoptive parents with a record so that continuity of a child's health plan can be sustained.

11. Completion of adoption support annual reviews. (These include a review of a child's medical needs for the purpose of future planning.)

12. Planning and paperwork contributing to the above activities.

13. Travel associated with the above activities.

Code H. - Administration of Adoption Support Program
(For State Office Staff Use Only)

The worker use this code when engaged in activities related to the administration of the department's Adoption Support Program other than targeted case management services provided by DCFS staff to children and their adoptive families who are recipients of adoption support.

Examples of Code H are:

1. Designing training regarding adoption support program for social workers in the field.

2. Interpreting and/or re-writing manuals, WACs, RCWs and federal regulations relating to adoption program.

3. Providing public information about adoption program.

4. Providing adoption program education for legislature.

5. Serving on adoption related committees, task forces, etc.

6. Budget planning.

7. Planning and paperwork contributing to the above activities.

8. Travel associated with the above activities.

Code I. - Therapeutic Counseling and Treatment

The worker uses code I when providing treatment and counseling in order to ameliorate or remedy personal problems, behaviors, or home conditions.

Code J. - Investigation of Abuse and Neglect Reports

The worker uses code J when receiving or investigating a report of abuse or neglect. This includes public information related to CPS reporting and investigations.

When using this code, the worker should be careful to differentiate this activity from activities which are more appropriate under codes E or F.

Code K. - Other Service Activity

The worker uses code K when engaged in a program or service activity not fitting any of the codes above. Examples are FRS intake, day care licensing, or parent participation day care activities, adoption home studies, preparation for adoption orientations, etc.

Code L. - Non-program Related Activity

The worker uses code L when the worker is:

1. On a job rotation to some other unit.

2. At lunch or on break.

3. On any type of leave or not scheduled to work that day.

4. Or when performing work unrelated to a specific department service program. Example activities are:

   a. Reviewing office procedures,

   b. Performance appraisal/employee evaluation participation, and

   c. Attending a training course on stress management.

CONTACT LOG

DIVISION OF CHILDREN AND FAMILY SERVICES
DEPARTMENT OF SOCIAL AND HEALTH SERVICES
CONTACT LOG

SECTION I:

A. Sample Time: _____

B. Sample Date: _____

C. Position Number: _____

D. Worker Name: _____

E. Worker Phone: _____

F. Coordinator Name: _____

G. Coordinator Phone: _____ FAX: _____

SECTION II:

A. Worker status at moment of sample (check one box only).

1. On the job ☐
2. On work break ☐
3. On leave ☐
4. On job rotation ☐
5. Position vacant ☐

Note: If you checked a box other than "On the Job" skip the following sections, enter your name at the bottom of this page and return to the RMTS Coordinator.

SECTION III:

A. If worker status is "On the job" from Section II complete this section. Use RMTS definitions to determine activity code best describing activity.

Activity Code: _____

From RMTS Activity Code Summary Sheet

SECTION IV:

If working on a specific case (Activity Codes B, C, E, F, G, I, J) complete this section.

Case Number: _____

Case Name: _____

SSPS Payment Code (primary): _____

Explain Activity: _____

_____

Completed by: _____
(initials)

FOR STATE OFFICE USE ONLY

COMPLETED BY TELEPHONE CONTACT ___ **COMPLETED BY FAX:** _____

02.16 SOCIAL SERVICE MONITORING AND VALIDATION SYSTEM

A. DCFS supervisors monitor services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), is used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.
2. An adequate needs assessment is made.
3. Department policies and procedures are followed.
4. Eligibility and funding sources are correctly determined.
5. Appropriate permanency planning is done.
6. Case documentation is completed.
7. Correct output and management information can be created from the services authorized.

B. The supervisor reads a minimum of three records per month per service worker. Records are selected in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Supervisors retain copies of all completed reading schedules for a minimum of six months for use in preparing service worker performance appraisals. Schedules are stored in a manner assuring the privacy of the service worker.

D. See [Chapter 99] for instructions in form completion.

E. DCFS program managers monitor statewide programs. The eligibility of social S/Rs is validated. In addition to an eligibility validation process, the social service program managers review a random sampling of service records, assessing quality of narrative recording and completeness of service records (e.g., required forms).

F. SO staff on a state office designed schedule determine compliance with statewide program standards, policies, and procedures by reading a random sample of social service records in each DCFS office.

G. DCFS program managers identify: service delivery system problems requiring corrective actions; staff training needs; and operating manuals needing revisions.

02.17 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker:

1. Verifies the amount of fee required for the information needed and obtains the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepares a letter in duplicate to the agency for the designee's signature indicating:

   a. The type of record/information requested.

   b. The name and case number (if applicable) of the party for whom the record is requested.

   c. The DCFS (or CSO) address to which the record is mailed.

B. The DCFS supervisor/designee signs and forwards both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff:

1. Issues a check on the DSHS Administrative Revolving Fund and mails it with the requesting letter to the vital statistics agency indicated.

2. Returns the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

02.19 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. Affidavit of Lost or Destroyed Warrant, DSHS 09-013(X), is the proper form for requesting replacement of a vendor warrant. The top half of this form is completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit is returned to Disbursements. See [Manual E, Chapter 31].

B. The copy of the affidavit is kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office staff checks with the State Treasurer's Office finding if the warrant is outstanding. The replacement process takes from one to two months. If staff finds that the warrant has been cashed, then investigation is necessary before reissuing a warrant.

D. DCFS offices are not authorized to initiate another voucher. DCFS offices ensure only the proper affidavit is completed and submitted to disbursements.

E. This procedure applies to all vendor payments, including foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See [Chapter 99], General Forms, for instructions on these forms:

Service Episode Record, DSHS 02-305(X)

DCFS - Random Moment Time Sample Observation form, DSHS 04-315

DCFS - Random Moment Time Study Follow-up form, DSHS 04-315A

Social Services Reading Schedule, DSHS 14-164(X)

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02.00 INTRODUCTION

This chapter describes the framework within which the Division of Family and Children Services (DCFS) delivers social services to eligible clients. The system is made up of several interdependent parts -- people, procedures, and paper. The system organizes the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers know what to expect from one DCFS office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a fairer method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by DCFS is goal-oriented, time-limited and with specifically defined outcomes. Both staff and clients are knowledgeable of the goals and objectives of the service(s) provided. Unmet goals and objectives which are not achieved or only partially achieved are acknowledged.

B. Services are provided in response to identified need and within department priorities. Services are provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery are utilized. The emphasis is on methods enabling the client to manage their situation with appropriate independence and with the least restrictive alternatives available. Services provided are coordinated with co-existing community agencies and systems, such as crisis clinics, schools, and health care organizations.

C. The department maintains the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

02.02 DCFS OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Service Plan for cases assigned to them. Implementing the plan may include any combination of:

1. Direct provision of service;

2. Arranging for purchased services;

3. Referral to, or collaboration with, peers in other service units; and

4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. Service workers authorize and provide <u>or</u> arrange for:

1.	Child Protective Services (CPS)	Chapter 26
2.	Family Reconciliation Services (FRS)	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8.	Crisis Residential Center (CRC)	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services (I & R)	Chapter 20
12.	Volunteer Services	Chapter 62

C. After assessing the qualifications of staff and the complexity and volume of service requests, the DCFS social service supervisor or their superiors may designate specialists or a specialized unit. Functional specialists may be designated based upon the nature and volume of the service or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers should be able to authorize, provide, or arrange for <u>other</u> services (e.g., day care) which stabilizes or strengthens the family while the children are still at home. Designating intake specialists guarantees that some clients are contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in service delivery to families.

D. The expectation that service workers authorize, provide, or arrange for multiple services does not ignore the fact that there are different levels of work assigned.

Supervisors must take the time to make appropriate worker to client assignments based on their judgment of the difficulty of the case and of the capabilities of the service workers in their unit.

Service workers vary in skill and experience and are not interchangeable. Therefore, the random assignment of workload based on rotating intake worker can result in inequitable workload distribution, frustrated clients (shuttled among DCFS staff), and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. The DCFS office supervisor ensures social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services are seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the service delivery model is to move the client through each step of the process as smoothly as possible. The client contacts as few staff workers as possible.

B. Intake and Assessment

1. All social service workers determine service eligibility, needs assessment and information and referral functions. If the client is not eligible or if the services requested are not available, the service worker refers the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters.

3. Based on the size of the office and the volume of urgent service requests, the DCFS office supervisor may decide to designate individual workers as intake specialists. These individuals do not carry ongoing service caseloads but may provide short-term crisis intervention services. The need for quick response is weighed against the effect (on clients) of transferring cases to other workers for ongoing services. Avoid the latter when practical.

4. Intake/assessment specialists or others performing this function are prepared to:

   a. Take complaints on alleged abuse, neglect, or exploitation of individuals;

   b. Screen referrals for out-of-home placement determining if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention, FRS, or CPS.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. Social service supervisors shall evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02.04 CASE ASSIGNMENT

A. The receptionist refers clients to the section/unit serving the target population to which the client belongs or to the intake/assessment specialist. Refer obvious CPS investigations and requests for ongoing or long-term services directly from reception to the appropriate service unit.

B. Supervisors assign service workers to clients by the appropriate differential use of staff.

C. The same service worker performs intake, service planning, and service delivery activities for a primary recipient whenever possible. If more than one service worker is involved, one service worker is assigned primary responsibility for case management.

D. Whenever possible, assign clients returning for additional services to their original service worker. Exceptions to this policy include:

   1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting Existing/New Social Service Records

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 02-128(X), Application, Registration and Control, and routes it to Master File or the designated clerical staff. Requests specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, the worker obtains a case number and a file folder (record) is established (see [Section 02.12]).

02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) is provided without the development of a Service Plan. The service worker assigned to the case has the full responsibility for all parts of the service plan which are:

1. Assessment of Need

The service worker assures that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker determines if agency services are available to meet the client's need. If agency services are not available, the service worker offers to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services is documented on DSHS 02-305(X), Service Episode Record.

3. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan includes specific objectives and describes the steps taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See the following service chapters for specific program procedures and expectations.)

B. Service plans are developed within the time frames outlined in the service chapter. Workers develop mandatory service plans (CPS, etc.) with the knowledge of the clients. Record the service plan on DSHS 02-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services achieving a stated goal or outcome. A service plan is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limited service episode is recorded on the SER.

D. Where there is a major change from the stated goals of the service plan, worker enters a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

The worker develops a new service plan at any point in a service episode. In all instances, the current plan is evaluated and a disposition of the previously planned action recorded on the DSHS SER.

E. The worker renews the service plan according to specific eligibility and program requirements noted in the program or service [Chapters 06-99]. The SER includes other information required by programs or services. Narrative recording requirements are described in [Section 02.11] and in the instructions to the SER described in [Chapter 99] General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by DCFS staff which are not emergent or short-term crisis intervention services. Generally, continuing ongoing or long-term services are those requiring more than three work days to complete.

B. Delivered services comply with program standards and procedures indicated in each of the program/service chapters. (See [Chapters 05 through 62].)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within DCFS offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who frequently provide that service.

B. After such consultation, the assigned service worker decides to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and shall be used as needed and with the knowledge of the supervisor.

D. DCFS staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation, and Juvenile Parole service staff.

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers make social service eligibility determinations based on situational or behavioral criteria by completing the Social Services Intake, DSHS 04-114(X); and the DSHS Family Face Sheet, DSHS 14-024(X). The program eligibility criteria is described in each service chapter.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker attempts to keep within that time frame. Time frames and response standards are described in each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

c. When needed and authorized services are reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker terminates services through mutual negotiation with the client in an exit interview. The service plan is evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker enters on the SER the appropriate narrative recording to evaluate the service plan and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the Change of Service Authorization, DSHS 14-159, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. The service worker reviews the service record for completeness when all authorized services are terminated (including court data, the SER and other required service forms). The service worker sends it to their supervisor for review or to closed files clerk per DCFS area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients (A/Rs) of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. A/Rs may also request a fair hearing if the A/R feels the department failed to act upon a request for service within 30 days. Requests for a fair hearing are made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See [RCW 74.08.070 and WACs 388-08-002 and 388-15-030].)

B. A comparable right is also established in [RCW 74.15.130] for any legally defined child welfare agency including a foster home or day care home which believes its application for license was improperly denied, suspended, or revoked or not renewed by the department.

C. The appellant in a fair hearing has the opportunity to present a grievance or case to the fair hearing examiner or seek the aid of others such as legal counsel. Departmental staff shall not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an A/R expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The service worker determines whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker advises the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, WA 98504, as soon as possible but within 90 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker notes in the service record the date, the issue, and the client's expressed intent. The service worker also notifies the DCFS fair hearing coordinator of the client's name, case number, and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker notes the date of the request in the SER and immediately forwards the written request to the fair hearing coordinator or designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker notes <u>the date</u> in the SER, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The DCFS office field fair hearing coordinator or designee will:

1. Present the DCFS case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the DCFS.

3. Have overall responsibility and authority in reviewing the DCFS case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the DCFS witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the DCFS administrative secretary which supervisory unit does the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the Fair Hearing Report, DSHS 09-354(X), upon receipt of the fair hearing request and route a copy to the service worker. The service worker files the copy in the service record. (See [Chapter 99], General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see [WAC 388-73-054]).

B. Service Documentation

Service workers maintain social service records for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent [RCW 74.04.060]. State law requires records to be kept for services to children (see [RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133] and adults [RCW 74.08.545]). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service [RCW 74.15].

C. Service workers use social service records as tools to provide readily accessible information on the results achieved through the provision of services and document activities for court reports and social summaries.

D. Except for brief information and referral contacts or other social services of less than 30 minutes, the service worker opens a record and completes the appropriate paperwork for each individual/family who applies for and receives social services. Maintain records on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see [RCW 74.13.133]).

E. Service Record Required Contents

1. DCFS requires the service worker to document basic information in a service record on the:

   a. Service Episode Record, DSHS 02-305(X) (Narrative recording);

b. Social Service Intake, DSHS 04-114(X);

c. Family Face Sheet, DSHS 14-024(X);

d. Social Services Authorization, DSHS 14-154(X) (service, objectives, payment rates, client data);

e. Change of Service Authorization, DSHS 14-159 (turnaround document);

f. Referral to Financial Services for Child in Placement, DSHS 14-226(X); and

g. Child Placement and Legal History, DSHS 15-192(X).

Instructions for the completion and use of these forms are detailed in the [Social Service Payment System Manual], and [Chapter 99] General Forms.

2. The record contains proof that the person was eligible and that eligibility was determined. A copy of DSHS 04-114(X) or DSHS 14-024(X) provides documentation.

3. The record indicates which services are provided and if services are agency provided (direct service) or vendor provided (purchased service). Enter this information on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See [Social Service Payment System Manual, Appendix C.])

4. The record contains an service plan. Document service plans and objectives on the DSHS 14-154(X), which has service and objective codes, and the DSHS 15-209, ISP.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the SER be legible. Use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

A clear statement of the problem or identified needs.

2. Narrative (NARR)

Information adequate for probable future uses of the record include:

(a) Dates of client contact;

(b) A brief description of specific events and observable acts which have importance;

(c) Additions or changes to the plan;

(d) Names and addresses of referrals and others involved in providing services; and

(e) Any supporting data needed for court activity.

When more than one worker provides services to the same individual/family, both workers enter a recording or coordinate a summary.

3. Evaluation (EVAL)

An evaluation of the service plan with a statement of the outcome. This statement relates back to the identified problem and indicates whether the objectives of the service are achieved. The summary indicates what factors influence the outcome of the service plan and summarize major events in the course of service delivery. Make it brief, about one page or less.

4. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with a notation of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the SER; however, other required service recording or data forms and samples are shown in [Chapter 99] Forms.

2. Records contain statements of fact. Service workers make nonjudgmental entries. If wishing to record opinions or personal inferences, label them clearly as opinion or judgment of the situation.

3. Brief phrases describing key points are used whenever possible.

4. The worker responsible for providing a service writes the needed record narrative. Supervisors assure necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see [Chapter 23]). For details about what program or service information (in addition to that described above) is recorded in the service record, refer to the service chapters [Chapters 05-40].

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations maintain records substantiating that eligibility decision.

2. Contractor records contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Contractor records must contain copies of the quarterly progress reports prepared by the contractor and sent to the DCFS office, depending on where the contract was negotiated.

4. Contractor maintains and stores records in a professional manner meeting all requirements of DCFS service records.

5. Child-placing agencies maintain adoption records with the safeguards required for DCFS adoption records (see [Section 02.14]).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., [Chapter 34], Private Agency/ Child Group Care).

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpoenaed into court.

B. Clerical staff builds the original service record, and assigns a case number. DCFS office procedures for building, filing, storing, securing, and transferring social service records are consistent with Manual E and the following guidelines.

C. All nonactive service records are maintained in a central file location under clerical control (see [Manual E]). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case maintains the contents in the manner described below. When a service record is ready for closure, the service worker reviews for both completeness of information and conformity to the sequence described in the next paragraph. (See [Chapters 36 and 38] for instructions on closing adoption records.)

E. The service record contains four separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - Family Face Sheet, DSHS 04-114 or 14-024, and the Service Episode Record, DSHS 02-305(X). The Social Service Application and SERs are placed in this section in chronological order with the most current social service application or Family Face Sheet on top. Slide fasteners are inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section contains all forms documenting eligibility or authorizing or awarding services and service invoices. The Social Services Authorization, DSHS 14-154(X); Change of Service Authorization, DSHS 14-159; and Notice of Funding Category for Placement, DSHS 02-501, is placed in chronological order with the most current at the front. Place the most recent DSHS 02-501 at the front or it may be stapled to the inside left cover of the record. The most current DSHS 14-159 should be left loose and not stapled. Insert slide fasteners from back to front.

3. Section 3. Document Section. This section contains all medical reports, program specific forms, other documents and correspondence. Place in chronological order with the most current at the front. Insert fasteners from back to front.

4. Section 4. Permanency Planning: Case files that have/have had services from DCFS from September 1985 have a fourth section which contains:

   a. Child Placement and Legal History Sheet, DSHS 15-192(X). File this sheet at the front of the section.

   b. Legal/court documents (petitions/orders) relative to juvenile custody matters.

   c. Reports to the court for hearings.

   d. Voluntary Consent to Place, DSHS 09-004.

   e. Periodic Review Report/ISP, DSHS 15-209s, relevant to placement interventions.

   f. Administrative Review conclusions report.

g. Other case review recommendations such as LICWAC, Adoption Planning, etc., constituting a review of permanent planning activity.

Place court orders in chronological order with the most current at the front. Place the most recent court order at the front. Insert slide fasteners from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the Record Transfer Notice, DSHS 01-001(X), that a Volume II folder be created.

2. The clerical support person places all documents and forms that are more than one year old (except the most recent court order) in the Volume I service record in their original chronological order. The service worker requests exceptions to the one-year time frame of the DCFS office supervisor or his designee in writing.

3. Unless it is being used, The service worker keeps the Volume I service record in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Send any requests for combining or separating service records to the clerical support person for action. The file clerk or other designated clerical support maintains the central file location (see [Manual E]). No one, other than these designated persons, are permitted to remove or replace records from central files.

H. Purge all nonadoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) from central files and transfer to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS office, the closed (inactive) service records are destroyed. Closed adoptive records are sent directly to SO adoptions staff who forward them to State Archives (see [Chapter 36]).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the [DSHS Records Management Procedures Manual] (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information is not released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian is advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints remain anonymous and their names are purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DCFS staff members having an assigned responsibility for the client or DSHS SO or DCFS staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing is open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see [WAC 388-08 and 388-09]).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures used for release of records, see the [DSHS Records Management Manual] (3/83) and [WAC 388-320]. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33H, Olympia, WA 98504.

2. The worker completes the following forms when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-041 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-063 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-062 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area is consulted in advance of the hearing (see [Chapter 23] Juvenile Court Process and [Chapter 32] Child Foster Family Care).

4. No individual is permitted to make a partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

G. Adoption Records

The records of a child in preadoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information may be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) may be released only by written order of a Superior Court (see [RCW 26.32, WAC 388-70-480] and [Manual G, Chapter 36] Adoption Services).

H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 [RCW 13.04] shall be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies providing services to DSHS clients are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients are briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. The office releasing the information briefs the receiving agency on these requirements.

3. No duplicate records may be made if the whole record is requested. It should be checked out with the requirement that it be returned. The record is reviewed in the DCFS office.

4. Supervisory personnel review service records for completeness and accuracy before the information is released. Care and documentation is employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department supplies no record which is not complete, i.e., contains no information on action taken to date on any incident, even if that action is taken by another agency.

I. The service worker/supervisor complies with the requirements of [RCW 13.04.270 through 13.04.276 and WAC 388-70-700], regarding the confidential sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, their parents or their attorney, may make a written request asking the department about the existence and content of custody or care records. The inquiry provides the name of the juvenile, the approximate date of the juvenile's contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department makes written response to the inquiry within ten working days after receipt. The department gives priority to, and expedites processing of, inquiries involving litigation. The department provides to the juvenile, their parents, or attorney making the inquiry, information regarding the location, nature, and content of any records in the department's possession. A juvenile, their parents, or attorney, wishing to challenge the information contained in the department records, notifies the department in writing. The notification provides:

   a. The name of the juvenile;

   b. If the records are alleged to be inaccurate, a statement of those portions alleged to be inaccurate; and

   c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department reviews the notification of challenge to the record and responds in writing within 30 calendar days. The response indicates the corrections which have been or will be made or states the basis for denial of any requested corrections. If appropriate, the department's response also includes a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, their parents, or attorney are notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in [Chapter 34.04 RCW].

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Service workers make every effort to avoid transferring active clients from one worker to another within the DCFS office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible consult about the reasons for the transfer and responsibility for the continued service planning for the client. The service worker documents their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

   a. The client or worker requests a transfer based on a legitimate personality conflict.

   b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

   c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

   d. The service worker transfers out of the section, DCFS office, or terminates employment.

B. Transfer Process Within DCFS Office for Active Cases

1. The transferring service worker makes certain that the service record is complete and all documentation is current.

2. The transferring service worker discusses the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion determines which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments are not interrupted (i.e., Authorization Not Terminated, DSHS 14-159). See the [Social Service Payment System Manual].

3. The transferring worker completes Records Transfer Notice, DSHS 01-001(X), attaches it to the service record, and forwards them to the receiving service worker.

4. The receiving service worker reviews the service record and the DSHS 01-001(X) for completeness and routes the DSHS 01-001(X) to clerical support/master file/central file.

5. The receiving service worker, within ten days, updates the current DSHS 14-159 with the new worker ID, authorizes any new services, and confirms the accuracy of any transferred services.

6. The receiving service worker reviews the service plan with the client and makes any required changes on the Service Episode Record, DSHS 02-305(X).

C. Transfer Process Between DCFS Offices (closed cases)

Requests for transfers of closed cases is handled by clerical support. The transfer-out is made within five working days of the receipt of the request (see [Manual E]).

D. Transfer Process Between DCFS Offices (active cases)

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker reviews the service record for completeness. All documentation and recording must be current. However, the service record is not held for more than five working days after the request is made. Additional material is forwarded to the receiving office at a later date. The service worker notes in the record what material will be sent later.

2. If the department purchases a service for this client and the provider or payee does not change as a result of the transfer, the transferring service worker does not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee changes, the service worker terminates payment on the DSHS 14-159 prior to the transfer out to the new DCFS office. (See the [SSPS Manual].)

4. If the client receives no purchased services, the sending service worker terminates all services on the DSHS 14-159 and submits it as a regular termination. The receiving worker then submits a new authorization to open services.

02.15 RANDOM MOMENT TIME STUDY INSTRUCTIONS

A. Introduction

The Random Moment Time Sample (RMTS) is used to generate statistically valid statewide estimates of various activities performed by Division of Children and Family Services (DCFS) staff which are federally and state funded. The sampling procedure is designed to satisfy federal financial participation requirements for claiming matching funds for social service staff salaries and benefits and provide audit documentation for state or federal review .

Data from the samples is computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable program activity. These calculations are used to claim federal reimbursement under Titles IV-A, IV-B, IV-E, XIX, and XX of the Social Security Act.

The RMTS sample will be conducted by headquarters data compilers who will contact social workers by telephone to gather the necessary case/program information. In the event that the social worker is unavailable by phone, the data compiler will fax an RMTS contact log to the local RMTS coordinator who will leave it at the worker's work station. After the worker completes the contact log, it will be faxed to headquarters by the RMTS coordinator. The contact logs indicating case specific activities will be drop filed in the specific case record by the RMTS coordinator. A copy of all completed contact logs will be maintained in chronological order by the RMTS coordinator. The local office shall be required to retain only the present and previous quarter completed logs.

Each service worker is contacted several times each quarter about his/her activities at that moment according to RMTS definitions of the activities. Coordinators submit and update lists of workers participating in this study and assure follow-up activities as needed.

B. Participants

All DCFS service workers participate in the time study. Adoption Program Managers, at Headquarters, are also included in the time study. Students, interns, homemakers, clerical staff, intermittent staff, after hour staff, weekend staff are excluded from the RMTS as are Community Resource Coordinators, etc., Social Workers 4 (supervisors), Service Delivery Coordinators, and other management staff. However, the federal reimbursement for their salaries and benefits are based on data from the RMTS.

C. State Office Responsibilities

1. The RMTS data compiler shall be responsible for the following actions:

   a. Every quarter the compiler generates an RMTS contact list for each work day of the quarter. The contact list has three variables:

      - Random Starting Time
      - Random Interval Time
      - Random Employee List

   b. Complete the telephone samples at the random moments. The data compiler shall gather the following information from the social worker or RMTS coordinator.

      (1) Status of worker:

      - on the job
      - on work break
      - position vacant
      - on job rotation or temporary assignment elsewhere

(2) If on the job, the compiler informs the worker that an RMTS sample is being made.

(3) The compiler asks the worker for the code best describing the worker activity at that moment. If a case specific activity is reported, the compiler asks the worker for the following information:
- case number
- case name
- SSPS code (primary placement payment code)
- legally free status of the child
- specific activity (brief)

c. The compiler completes the contact log with the information reported by the worker, enters it into the database, and mails a copy to the RMTS coordinator.

d. If a worker is unavailable for phone contact, the compiler contacts the RMTS coordinator to determine the worker's status. If the worker is on the job, or if the RMTS coordinator cannot determine the worker's status, the compiler faxes a contact log to the RMTS coordinator for completion by the worker (see page 25, D-5).

e. The compiler logs uncompleted contacts and follows up with the RMTS coordinators to ensure that contact logs are returned in a timely manner.

f. On a monthly and quarterly basis, the compiler generates a survey data summary.

g. The compiler updates the service worker list as worker employment status changes are reported by the regional administrator or RMTS coordinator.

D. Region Responsibilities

1. A regional administrator shall appoint RMTS coordinators for each field office. Ordinarily this is a clerical position assignment. Social workers, or any DCFS staff person who may be sampled as part of the time study cannot be a coordinator.

2. A regional administrator shall be responsible for reporting any changes in social service staff or RMTS coordinators to the RMTS data compiler at:

Financial Resource Unit
Attention: RMTS Data Compiler
Mail Stop: 5710/OB-41
FAX: 753-0727

3. Casework supervisors shall be responsible for training social workers on the RMTS System - The supervisor ensures that the workers, especially new workers, are trained in the RMTS system and knowledgeable of the RMTS code definitions. The Headquarters RMTS staff is also available to provide consultation and training to workers upon the supervisor's request.

4. The social worker shall be responsible for the following actions upon contact:

   a. Report the appropriate code from the DCFS social worker activity code descriptions attached.

   b. Report the case number, case name, specific activity, primary SSPS placement payment code if the activity is case specific, and, if the child is legally free for adoption or not.

5. The social worker shall be responsible for the following action if unavailable when a RMTS telephone contact is attempted.

   Upon return to the work station, the worker completes the RMTS contact log and promptly returns it to the RMTS coordinator. The RMTS coordinator returns the contact log to state office (see page 26, 7, b). The contact must be received by state office within 72 hours of the sample time.

6. The RMTS coordinator shall be responsible for the following actions:

   a. Receive the data compiler's phone contacts for workers not at their work stations. Determine and report social worker status (as information is available).

   b. If the worker status is on the job, but unavailable to the phone or worker status information is not readily available the RMTS coordinator will be sent an RMTS contact log for distribution and completion (see page 26, 7 a-d).

   c. Receive completed contact logs from Headquarters, by fax or mail.

   d. Maintain a file for all completed RMTS contact logs. File the RMTS contact logs in chronological order by date of contact. The local office shall be required to retain only the present and previous quarter completed logs.

   e. Copy and drop file the completed RMTS contact logs into the specific case records for logs indicating case specific activity.

f. Notify the state office data compiler of any change in the employment status or contact telephone number of a worker participating in the RMTS survey within five working days of the change.

7. The RMTS coordinator shall be responsible for the following actions if the social worker is unavailable or worker status is not readily available upon contact:

a. Deliver the faxed contact log to the worker's work station.

b. Return the completed log to Headquarters by fax or telephone the sample results to state office within 72 hours of the sample time.

c. File the completed log in the field office RMTS file. The local office shall be required to retain only the present and previous quarter completed logs.

d. File a copy of the completed log in the case record if case specific activity is indicated.

E. Random Moment Time Study Codes

Code A	-	Substitute Care Related Activity
Code B	-	Child Support Enforcement
Code C	-	IV-E Eligibility Determination
Code D	-	Training
Code E	-	Court Related Activity
Code F	-	Case Management and Administration of Placement Prevention Services
Code G	-	Targeted Case Management - Foster Care/Adoption Support
Code H	-	Administration of Adoption Support Programs
Code I	-	Therapeutic Counseling and Treatment
Code J	-	Emergency Assistance Services
Code K	-	Other Service Activity
Code L	-	Non-program Related Activity

F. Approach to Categorizing the RMTS Activities

When an RMTS observation is requested, DCFS social workers report to the data compiler the activity code which best describes their activities at the moment of the contact.

If the activity is not specific to a child, choose from Codes A, D, H, K or L; if the activity is specific to a child choose from Codes B, C, E, F, G, I, J based on the definitions for the codes and child's status.

G. Random Moment Time Study Definitions

Code A. - Substitute Care Related Activity

The worker uses this code when engaged in the general administration of the department's full spectrum of out of home care program. This category covers those activities that are not child specific.

Examples include:

1. Public information about foster care, receiving care and other placement programs.

2. Recruitment, training, completing a home study, and licensing of foster care receiving homes.

3. Planning and paperwork contributing to the above activities.

4. Travel associated with the above activities.

Code B. - Child Support Enforcement

The worker uses code B when the activity is related to gaining or collecting support from parents of children in foster care. This includes assistance or collateral or written contacts with the Office of Support Enforcement. Included are any actions directed toward gathering financial data from clients for support purposes.

Code C. - IV-E Eligibility Determination

The worker uses code C when performing an activity contributing to the determination of a child's eligibility for the Title IV-E Foster Care or Title IV-E Adoption Support funds. The following are examples of Eligibility Determination activities:

1. Collecting information from family or others which is used in the determination, e.g., income, parental whereabouts, resources, social security numbers, birth certificates, family living arrangements.

2. Verifying the information above.

3. Filling out and processing eligibility forms.

4. Querying systems, records, and contacts with financial and other staff to determine AFDC status.

5. Redetermining Title IV-E eligibility.

6. Preparing for and participating in all fair hearings and appeals related to IV-E eligibility.

Code D. - Training

The worker uses code D when:

1. Engaged in (or preparing for) training, either as a trainer of other department staff, or as a trainee; and

2. The training subject is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs, including preparations for adoption orientations.

This includes the Child Welfare Training Academy, HRD training programs, conferences and training in unit meetings provided by supervisors or State Office Program Managers.

Code E. - Court Related Activity for Placement

The worker uses code E when engaged in any court activity related to placement, including preparing reports for or participating in a judicial proceeding. Examples of activities fitting this code are:

1. Preparing a report for court recommending child for placement or removal.

2. Preparing a petition or making the determination to file a petition seeking custody of a child.

3. A court appearance where the department seeks placement of a child, or the foster care status of a child is reviewed.

4. Documenting for the court that the department has made a reasonable effort to prevent placement.

5. Working with the Assistant Attorney General (AAG) or prosecutor in preparing a case for court.

6. Documenting for the court that continuation in the home is contrary to the welfare of a child.

7. Travel associated with the above activities.

Code F. - Case Management and Administration of Placement Prevention Services

The worker uses code F when engaged in case management or administrative activities directed toward preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The primary CPS, FRS, or CWS case plan recording indicates that without services a child is a candidate for an out of home placement, or

2. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or

3. A petition or court order is obtained indicating a need for placement, or

4. A child is in the first six months period following the child's return home from substitute care and the case plan indicates that without services the child is a candidate for a return to placement.

The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs.

Examples of Case Management and Administration of Placement Prevention Services are:

1. Case plan development.

2. Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals.

3. Referral to other services for placement prevention.

4. Arranging for the provision of preventive services.

5. Completing Risk Assessment Summary Forms for children remaining in their own homes.

7. Case conferences

8. Routine supervisory contacts and consultations.

9. Public information for protecting children via placement prevention services.

10. Planning and paperwork contributing to the above activities.

11. Travel associated with the above activities.

Code G. - Targeted Case Management - Foster Care/Adoption Support

The worker uses code G when engaged in activities aimed at assisting children in substitute care or receiving adoption support and their caretakers or families to develop and follow through with case plans.

Examples of Targeted Case Management:

1. Developing, monitoring, and updating of the case plan, including maintaining the case file and completing Risk Assessment Summary Forms for children in placement.

2. Case conferences related to planning for the provision of services necessary for maximizing a child's health and development.

3. Contracts and communications with parents, children and service providers about the status of a case, child or family's needs, and progress in meeting the case plan and goals.

4. Referral and/or arrangements made for services or evaluations.

5. Development of Health and Education Form (DSHS 15-209A).

6. Case and administrative reviews.

7. Gathering medical and educational data during the process of freeing a child for adoption for the purpose of providing adoptive parents with a record so that continuity of a child's health plan can be sustained.

8. Completion of adoption support annual reviews.

9. Planning and paperwork contributing to the above activities.

10. Travel associated with the above activities.

Code H. - Administration of Adoption Support Program
(For State Office Staff Use Only)

The worker uses this code when engaged in activities related to the administration of the department's Adoption Support Program other than targeted case management services provided by DCFS staff to children and their adoptive families who are recipients of adoption support.

Examples of Code H are:

1. Designing training regarding adoption support program for social workers in the field.

2. Interpreting and/or re-writing manuals, WACs, RCWs and federal regulations relating to adoption program.

3. Providing public information about adoption program.

4. Providing adoption program education for legislature.

5. Serving on adoption related committees, task forces, etc.

6. Budget planning.

7. Planning and paperwork contributing to the above activities.

8. Travel associated with the above activities.

Code I. - Therapeutic Counseling and Treatment

The worker uses code I when providing treatment and counseling in order to ameliorate or remedy personal problems, behaviors, or home conditions.

Code J. - Emergency Assistance Services

The worker uses code J when performing any activity related to investigating/evaluating a child's or family's need for emergency services. An emergency is defined as actual, suspected or potential inability to provide needed care or supervision. In the case of older children, parent/child conflict which may result in separation of the child from the family home is also defined as an emergency.

When using this code, the worker should be careful to differentiate this activity from activities which are more appropriate under codes E or F.

Examples of Code J include:

1. Receiving, investigation or evaluating reports of child abuse and/or neglect.

2. Completing an Emergency Assistance Services application, including collecting information from the family which is used in the determination of IV-A eligibility, e.g., social security numbers, resources, citizenship, signatures, etc.

3. Working with support staff to determine a client's Title IV-A Emergency Assistance eligibility.

4. Coordinating or cooperating with police or other public service officials during the initial response to neglect or abuse of a child.

5. Providing immediate visitation to the family home, services, or other assistance to a child or family in order to prevent or evaluate an emergency.

6. F.R.S. intake for the first four hours.

7. Arranging for services, shelter, food, clothing, or other necessities in an emergent situation.

8. Arranging for on-site counseling, case management or other services in an emergency.

9. Travel related to the investigation/evaluation phase.

10. Paperwork related to the investigation/evaluation phase.

Code K. - Other Service Activity

The worker uses code K when engaged in a program or service activity not fitting any of the codes above. Examples are day care licensing, or parent participation day care activities, adoption home studies, implementation of health regimes, personal care assessments, unit meetings.

Code L. - Non-program Related Activity

The worker uses code L when the worker is:

1. On a job rotation to some other unit.

2. At lunch or on break.

3. On any type of leave or not scheduled to work that day.

4. Or when performing work unrelated to a specific department service program. Example activities are:

   a. Reviewing office procedures,

   b. Performance appraisal/employee evaluation participation, and

   c. Attending a training course on stress management.

CONTACT LOG

Date:
To:
Office:
Page 1 of 1

Return to: FAX 234-0727 (206 753 0727)
Voice No: 234 5093 or 5095
Off SCAN 753 5093 or 5095

DIVISION OF CHILDREN AND FAMILY SERVICES
DIVISION OF JUVENILE REHABILITATION
DEPARTMENT OF SOCIAL AND HEALTH SERVICES
CONTACT LOG

This form must be returned by at

SECTION I

A. Sample Time:
B. Sample Date:
C. RMTS Control #:
D. Worker Name:
E. Worker Phone: ( )
F. Coordinator Name: Office
G. Coordinator Phone: ( ) FAX: ( )

SECTION II

A. Worker status at the moment of sample (check one box only)

1. On the job [ ]
2. On work break [ ]
3. On leave [ ]
4. On job rotation [ ]
5. Position vacant [ ]

NOTE: If you checked a box OTHER than On The Job skip the following sections, enter your name at the bottom of this page and return to the RMTS coordinator.

SECTION III

A. If worker status is On The Job from section II complete this section. Use RMTS definition to determine activity code best describing activity.

Activity Code:_____
(From RMTS Activity Code Summary Sheet)

SECTION IV

If working on a specific case (Activity Codes B, C, E, F, G, I, J) complete this section.

Case Number:_____

Case Name:_____

SSPS Payment Code (primary):_____

Child is legally free for adoption: [ ] YES [ ] NO

Explain Activity: _____

_____

Completed by:_____

FOR STATE OFFICE USE ONLY

COMPLETED BY TELEPHONE CONTACT_____COMPLETED BY FAX_____

02.16 SOCIAL SERVICE MONITORING AND VALIDATION SYSTEM

A. DCFS supervisors monitor services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), is used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.

2. An adequate needs assessment is made.

3. Department policies and procedures are followed.

4. Eligibility and funding sources are correctly determined.

5. Appropriate permanency planning is done.

6. Case documentation is completed.

7. Correct output and management information can be created from the services authorized.

B. The supervisor reads a minimum of three records per month per service worker. Records are selected in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Supervisors retain copies of all completed reading schedules for a minimum of six months for use in preparing service worker performance appraisals. Schedules are stored in a manner assuring the privacy of the service worker.

D. See [Chapter 99] for instructions in form completion.

E. DCFS program managers monitor statewide programs. The eligibility of social S/Rs is validated. In addition to an eligibility validation process, the social service program managers review a random sampling of service records, assessing quality of narrative recording and completeness of service records (e.g., required forms).

F. SO staff on a state office designed schedule determine compliance with statewide program standards, policies, and procedures by reading a random sample of social service records in each DCFS office.

G. DCFS program managers identify: service delivery system problems requiring corrective actions; staff training needs; and operating manuals needing revisions.

02.17 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker:

1. Verifies the amount of fee required for the information needed and obtains the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepares a letter in duplicate to the agency for the designee's signature indicating:

   a. The type of record/information requested.

   b. The name and case number (if applicable) of the party for whom the record is requested.

   c. The DCFS (or CSO) address to which the record is mailed.

B. The DCFS supervisor/designee signs and forwards both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff:

1. Issues a check on the DSHS Administrative Revolving Fund and mails it with the requesting letter to the vital statistics agency indicated.

2. Returns the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

02.19 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. Affidavit of Lost or Destroyed Warrant, DSHS 09-013(X), is the proper form for requesting replacement of a vendor warrant. The top half of this form is completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit is returned to Disbursements. See [Manual E, Chapter 31].

B. The copy of the affidavit is kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office staff checks with the State Treasurer's Office finding if the warrant is outstanding. The replacement process takes from one to two months. If staff finds that the warrant has been cashed, then investigation is necessary before reissuing a warrant.

D. DCFS offices are not authorized to initiate another voucher. DCFS offices ensure only the proper affidavit is completed and submitted to disbursements.

E. This procedure applies to all vendor payments, including foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See [Chapter 99], General Forms, for instructions on these forms:

Service Episode Record, DSHS 02-305(X)

Social Services Reading Schedule, DSHS 14-164(X)

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02.00 INTRODUCTION

This chapter describes the framework within which the Division of Family and Children Services (DCFS) delivers social services to eligible clients. The system is made up of several interdependent parts -- people, procedures, and paper. The system organizes the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers know what to expect from one DCFS office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a fairer method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by DCFS is goal-oriented, time-limited and with specifically defined outcomes. Both staff and clients are knowledgeable of the goals and objectives of the service(s) provided. Unmet goals and objectives which are not achieved or only partially achieved are acknowledged.

B. Services are provided in response to identified need and within department priorities. Services are provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery are utilized. The emphasis is on methods enabling the client to manage their situation with appropriate independence and with the least restrictive alternatives available. Services provided are coordinated with co-existing community agencies and systems, such as crisis clinics, schools, and health care organizations.

C. The department maintains the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

02.02 DCFS OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Service Plan for cases assigned to them. Implementing the plan may include any combination of:

1. Direct provision of service;

2. Arranging for purchased services;

3. Referral to, or collaboration with, peers in other service units; and

4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. Service workers authorize and provide <u>or</u> arrange for:

1.	Child Protective Services (CPS)	Chapter 26
2.	Family Reconciliation Services (FRS)	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8.	Crisis Residential Center (CRC)	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services (I & R)	Chapter 20
12.	Volunteer Services	Chapter 62

C. After assessing the qualifications of staff and the complexity and volume of service requests, the DCFS social service supervisor or their superiors may designate specialists or a specialized unit. Functional specialists may be designated based upon the nature and volume of the service or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers should be able to authorize, provide, or arrange for <u>other</u> services (e.g., day care) which stabilizes or strengthens the family while the children are still at home. Designating intake specialists guarantees that some clients are contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in service delivery to families.

D. The expectation that service workers authorize, provide, or arrange for multiple services does not ignore the fact that there are different levels of work assigned.

Supervisors must take the time to make appropriate worker to client assignments based on their judgment of the difficulty of the case and of the capabilities of the service workers in their unit.

Service workers vary in skill and experience and are not interchangeable. Therefore, the random assignment of workload based on rotating intake worker can result in inequitable workload distribution, frustrated clients (shuttled among DCFS staff), and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. The DCFS office supervisor ensures social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services are seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the service delivery model is to move the client through each step of the process as smoothly as possible. The client contacts as few staff workers as possible.

B. Intake and Assessment

1. All social service workers determine service eligibility, needs assessment and information and referral functions. If the client is not eligible or if the services requested are not available, the service worker refers the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters.

3. Based on the size of the office and the volume of urgent service requests, the DCFS office supervisor may decide to designate individual workers as intake specialists. These individuals do not carry ongoing service caseloads but may provide short-term crisis intervention services. The need for quick response is weighed against the effect (on clients) of transferring cases to other workers for ongoing services. Avoid the latter when practical.

4. Intake/assessment specialists or others performing this function are prepared to:

   a. Take complaints on alleged abuse, neglect, or exploitation of individuals;

   b. Screen referrals for out-of-home placement determining if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention, FRS, or CPS.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. Social service supervisors shall evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02.04 CASE ASSIGNMENT

A. The receptionist refers clients to the section/unit serving the target population to which the client belongs or to the intake/assessment specialist. Refer obvious CPS investigations and requests for ongoing or long-term services directly from reception to the appropriate service unit.

B. Supervisors assign service workers to clients by the appropriate differential use of staff.

C. The same service worker performs intake, service planning, and service delivery activities for a primary recipient whenever possible. If more than one service worker is involved, one service worker is assigned primary responsibility for case management.

D. Whenever possible, assign clients returning for additional services to their original service worker. Exceptions to this policy include:

   1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting Existing/New Social Service Records

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 02-128(X), Application, Registration and Control, and routes it to Master File or the designated clerical staff. Requests specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, the worker obtains a case number and a file folder (record) is established (see [Section 02.12]).

02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) is provided without the development of a Service Plan. The service worker assigned to the case has the full responsibility for all parts of the service plan which are:

1. Assessment of Need

The service worker assures that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker determines if agency services are available to meet the client's need. If agency services are not available, the service worker offers to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services is documented on DSHS 02-305(X), Service Episode Record.

3. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan includes specific objectives and describes the steps taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See the following service chapters for specific program procedures and expectations.)

B. Service plans are developed within the time frames outlined in the service chapter. Workers develop mandatory service plans (CPS, etc.) with the knowledge of the clients. Record the service plan on DSHS 02-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services achieving a stated goal or outcome. A service plan is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limited service episode is recorded on the SER.

D. Where there is a major change from the stated goals of the service plan, worker enters a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

The worker develops a new service plan at any point in a service episode. In all instances, the current plan is evaluated and a disposition of the previously planned action recorded on the DSHS SER.

E. The worker renews the service plan according to specific eligibility and program requirements noted in the program or service [Chapters 06-99]. The SER includes other information required by programs or services. Narrative recording requirements are described in [Section 02.11] and in the instructions to the SER described in [Chapter 99] General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by DCFS staff which are not emergent or short-term crisis intervention services. Generally, continuing ongoing or long-term services are those requiring more than three work days to complete.

B. Delivered services comply with program standards and procedures indicated in each of the program/service chapters. (See [Chapters 05 through 62].)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within DCFS offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who frequently provide that service.

B. After such consultation, the assigned service worker decides to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and shall be used as needed and with the knowledge of the supervisor.

D. DCFS staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation, and Juvenile Parole service staff.

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers make social service eligibility determinations based on situational or behavioral criteria by completing the Social Services Intake, DSHS 04-114(X); and the DSHS Family Face Sheet, DSHS 14-024(X). The program eligibility criteria is described in each service chapter.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker attempts to keep within that time frame. Time frames and response standards are described in each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

c. When needed and authorized services are reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker terminates services through mutual negotiation with the client in an exit interview. The service plan is evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker enters on the SER the appropriate narrative recording to evaluate the service plan and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the Change of Service Authorization, DSHS 14-159, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. The service worker reviews the service record for completeness when all authorized services are terminated (including court data, the SER and other required service forms). The service worker sends it to their supervisor for review or to closed files clerk per DCFS area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients (A/Rs) of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. A/Rs may also request a fair hearing if the A/R feels the department failed to act upon a request for service within 30 days. Requests for a fair hearing are made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See [RCW 74.08.070 and WACs 388-08-002 and 388-15-030].)

B. A comparable right is also established in [RCW 74.15.130] for any legally defined child welfare agency including a foster home or day care home which believes its application for license was improperly denied, suspended, or revoked or not renewed by the department.

C. The appellant in a fair hearing has the opportunity to present a grievance or case to the fair hearing examiner or seek the aid of others such as legal counsel. Departmental staff shall not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an A/R expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The service worker determines whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker advises the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, WA 98504, as soon as possible but within 90 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker notes in the service record the date, the issue, and the client's expressed intent. The service worker also notifies the DCFS fair hearing coordinator of the client's name, case number, and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker notes the date of the request in the SER and immediately forwards the written request to the fair hearing coordinator or designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker notes <u>the date</u> in the SER, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The DCFS office field fair hearing coordinator or designee will:

1. Present the DCFS case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the DCFS.

3. Have overall responsibility and authority in reviewing the DCFS case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the DCFS witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the DCFS administrative secretary which supervisory unit does the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the Fair Hearing Report, DSHS 09-354(X), upon receipt of the fair hearing request and route a copy to the service worker. The service worker files the copy in the service record. (See [Chapter 99], General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see [WAC 388-73-054]).

B. Service Documentation

Service workers maintain social service records for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent [RCW 74.04.060]. State law requires records to be kept for services to children (see [RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133] and adults [RCW 74.08.545]). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service [RCW 74.15].

C. Service workers use social service records as tools to provide readily accessible information on the results achieved through the provision of services and document activities for court reports and social summaries.

D. Except for brief information and referral contacts or other social services of less than 30 minutes, the service worker opens a record and completes the appropriate paperwork for each individual/family who applies for and receives social services. Maintain records on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see [RCW 74.13.133]).

E. Service Record Required Contents

1. DCFS requires the service worker to document basic information in a service record on the:

   a. Service Episode Record, DSHS 02-305(X) (Narrative recording);

b. Social Service Intake, DSHS 04-114(X);

c. Family Face Sheet, DSHS 14-024(X);

d. Social Services Authorization, DSHS 14-154(X) (service, objectives, payment rates, client data);

e. Change of Service Authorization, DSHS 14-159 (turnaround document);

f. Referral to Financial Services for Child in Placement, DSHS 14-226(X); and

g. Child Placement and Legal History, DSHS 15-192(X).

Instructions for the completion and use of these forms are detailed in the [Social Service Payment System Manual], and [Chapter 99] General Forms.

2. The record contains proof that the person was eligible and that eligibility was determined. A copy of DSHS 04-114(X) or DSHS 14-024(X) provides documentation.

3. The record indicates which services are provided and if services are agency provided (direct service) or vendor provided (purchased service). Enter this information on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See [Social Service Payment System Manual, Appendix C.])

4. The record contains an service plan. Document service plans and objectives on the DSHS 14-154(X), which has service and objective codes, and the DSHS 15-209, ISP.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the SER be legible. Use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

A clear statement of the problem or identified needs.

2. Narrative (NARR)

Information adequate for probable future uses of the record include:

(a) Dates of client contact;

(b) A brief description of specific events and observable acts which have importance;

(c) Additions or changes to the plan;

(d) Names and addresses of referrals and others involved in providing services; and

(e) Any supporting data needed for court activity.

When more than one worker provides services to the same individual/family, both workers enter a recording or coordinate a summary.

3. Evaluation (EVAL)

An evaluation of the service plan with a statement of the outcome. This statement relates back to the identified problem and indicates whether the objectives of the service are achieved. The summary indicates what factors influence the outcome of the service plan and summarize major events in the course of service delivery. Make it brief, about one page or less.

4. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with a notation of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the SER; however, other required service recording or data forms and samples are shown in [Chapter 99] Forms.

2. Records contain statements of fact. Service workers make nonjudgmental entries. If wishing to record opinions or personal inferences, label them clearly as opinion or judgment of the situation.

3. Brief phrases describing key points are used whenever possible.

4. The worker responsible for providing a service writes the needed record narrative. Supervisors assure necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see [Chapter 23]). For details about what program or service information (in addition to that described above) is recorded in the service record, refer to the service chapters [Chapters 05-40].

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations maintain records substantiating that eligibility decision.

2. Contractor records contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Contractor records must contain copies of the quarterly progress reports prepared by the contractor and sent to the DCFS office, depending on where the contract was negotiated.

4. Contractor maintains and stores records in a professional manner meeting all requirements of DCFS service records.

5. Child-placing agencies maintain adoption records with the safeguards required for DCFS adoption records (see [Section 02.14]).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., [Chapter 34], Private Agency/ Child Group Care).

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpoenaed into court.

B. Clerical staff builds the original service record, and assigns a case number. DCFS office procedures for building, filing, storing, securing, and transferring social service records are consistent with Manual E and the following guidelines.

C. All nonactive service records are maintained in a central file location under clerical control (see [Manual E]). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case maintains the contents in the manner described below. When a service record is ready for closure, the service worker reviews for both completeness of information and conformity to the sequence described in the next paragraph. (See [Chapters 36 and 38] for instructions on closing adoption records.)

E. The service record contains four separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - Family Face Sheet, DSHS 04-114 or 14-024, and the Service Episode Record, DSHS 02-305(X). The Social Service Application and SERs are placed in this section in chronological order with the most current social service application or Family Face Sheet on top. Slide fasteners are inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section contains all forms documenting eligibility or authorizing or awarding services and service invoices. The Social Services Authorization, DSHS 14-154(X); Change of Service Authorization, DSHS 14-159; and Notice of Funding Category for Placement, DSHS 02-501, is placed in chronological order with the most current at the front. Place the most recent DSHS 02-501 at the front or it may be stapled to the inside left cover of the record. The most current DSHS 14-159 should be left loose and not stapled. Insert slide fasteners from back to front.

3. Section 3. Document Section. This section contains all medical reports, program specific forms, other documents and correspondence. Place in chronological order with the most current at the front. Insert fasteners from back to front.

4. Section 4. Permanency Planning: Case files that have/have had services from DCFS from September 1985 have a fourth section which contains:

   a. Child Placement and Legal History Sheet, DSHS 15-192(X). File this sheet at the front of the section.

   b. Legal/court documents (petitions/orders) relative to juvenile custody matters.

   c. Reports to the court for hearings.

   d. Voluntary Consent to Place, DSHS 09-004.

   e. Periodic Review Report/ISP, DSHS 15-209s, relevant to placement interventions.

   f. Administrative Review conclusions report.

g. Other case review recommendations such as LICWAC, Adoption Planning, etc., constituting a review of permanent planning activity.

Place court orders in chronological order with the most current at the front. Place the most recent court order at the front. Insert slide fasteners from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the Record Transfer Notice, DSHS 01-001(X), that a Volume II folder be created.

2. The clerical support person places all documents and forms that are more than one year old (except the most recent court order) in the Volume I service record in their original chronological order. The service worker requests exceptions to the one-year time frame of the DCFS office supervisor or his designee in writing.

3. Unless it is being used, The service worker keeps the Volume I service record in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Send any requests for combining or separating service records to the clerical support person for action. The file clerk or other designated clerical support maintains the central file location (see [Manual E]). No one, other than these designated persons, are permitted to remove or replace records from central files.

H. Purge all nonadoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) from central files and transfer to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS office, the closed (inactive) service records are destroyed. Closed adoptive records are sent directly to SO adoptions staff who forward them to State Archives (see [Chapter 36]).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the [DSHS Records Management Procedures Manual] (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information is not released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian is advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints remain anonymous and their names are purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DCFS staff members having an assigned responsibility for the client or DSHS SO or DCFS staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing is open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see [WAC 388-08 and 388-09]).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures used for release of records, see the [DSHS Records Management Manual] (3/83) and [WAC 388-320]. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33H, Olympia, WA 98504.

2. The worker completes the following forms when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-041 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-063 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-062 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area is consulted in advance of the hearing (see [Chapter 23] Juvenile Court Process and [Chapter 32] Child Foster Family Care).

4. No individual is permitted to make a partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

G. Adoption Records

The records of a child in preadoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information may be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) may be released only by written order of a Superior Court (see [RCW 26.32, WAC 388-70-480] and [Manual G, Chapter 36] Adoption Services).

H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 [RCW 13.04] shall be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies providing services to DSHS clients are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients are briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. The office releasing the information briefs the receiving agency on these requirements.

3. No duplicate records may be made if the whole record is requested. It should be checked out with the requirement that it be returned. The record is reviewed in the DCFS office.

4. Supervisory personnel review service records for completeness and accuracy before the information is released. Care and documentation is employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department supplies no record which is not complete, i.e., contains no information on action taken to date on any incident, even if that action is taken by another agency.

I. The service worker/supervisor complies with the requirements of [RCW 13.04.270 through 13.04.276 and WAC 388-70-700], regarding the confidential sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, their parents or their attorney, may make a written request asking the department about the existence and content of custody or care records. The inquiry provides the name of the juvenile, the approximate date of the juvenile's contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department makes written response to the inquiry within ten working days after receipt. The department gives priority to, and expedites processing of, inquiries involving litigation. The department provides to the juvenile, their parents, or attorney making the inquiry, information regarding the location, nature, and content of any records in the department's possession. A juvenile, their parents, or attorney, wishing to challenge the information contained in the department records, notifies the department in writing. The notification provides:

   a. The name of the juvenile;

   b. If the records are alleged to be inaccurate, a statement of those portions alleged to be inaccurate; and

   c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department reviews the notification of challenge to the record and responds in writing within 30 calendar days. The response indicates the corrections which have been or will be made or states the basis for denial of any requested corrections. If appropriate, the department's response also includes a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, their parents, or attorney are notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in [Chapter 34.04 RCW].

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Service workers make every effort to avoid transferring active clients from one worker to another within the DCFS office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible consult about the reasons for the transfer and responsibility for the continued service planning for the client. The service worker documents their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

   a. The client or worker requests a transfer based on a legitimate personality conflict.

   b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

   c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

   d. The service worker transfers out of the section, DCFS office, or terminates employment.

B. Transfer Process Within DCFS Office for Active Cases

1. The transferring service worker makes certain that the service record is complete and all documentation is current.

2. The transferring service worker discusses the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion determines which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments are not interrupted (i.e., Authorization Not Terminated, DSHS 14-159). See the [Social Service Payment System Manual].

3. The transferring worker completes Records Transfer Notice, DSHS 01-001(X), attaches it to the service record, and forwards them to the receiving service worker.

4. The receiving service worker reviews the service record and the DSHS 01-001(X) for completeness and routes the DSHS 01-001(X) to clerical support/master file/central file.

5. The receiving service worker, within ten days, updates the current DSHS 14-159 with the new worker ID, authorizes any new services, and confirms the accuracy of any transferred services.

6. The receiving service worker reviews the service plan with the client and makes any required changes on the Service Episode Record, DSHS 02-305(X).

C. Transfer Process Between DCFS Offices (closed cases)

Requests for transfers of closed cases is handled by clerical support. The transfer-out is made within five working days of the receipt of the request (see [Manual E]).

D. Transfer Process Between DCFS Offices (active cases)

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker reviews the service record for completeness. All documentation and recording must be current. However, the service record is not held for more than five working days after the request is made. Additional material is forwarded to the receiving office at a later date. The service worker notes in the record what material will be sent later.

2. If the department purchases a service for this client and the provider or payee does not change as a result of the transfer, the transferring service worker does not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee changes, the service worker terminates payment on the DSHS 14-159 prior to the transfer out to the new DCFS office. (See the [SSPS Manual].)

4. If the client receives no purchased services, the sending service worker terminates all services on the DSHS 14-159 and submits it as a regular termination. The receiving worker then submits a new authorization to open services.

02.15 RANDOM MOMENT TIME STUDY INSTRUCTIONS

A. Introduction

The Random Moment Time Sample (RMTS) is used to generate statistically valid statewide estimates of various activities performed by Division of Children and Family Services (DCFS) staff which are federally and state funded. The sampling procedure is designed to satisfy federal financial participation requirements for claiming matching funds for social service staff salaries and benefits and provide an audit trail for the State Auditors.

Data from the samples is computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable and state program activity. These calculations are used to claim federal reimbursement under Titles IV-E, IV-B, XIX, and XX of the Social Security Act.

The RMTS sample will be conducted by headquarters data compilers who will contact social workers by telephone to gather the necessary case/program information. In the event that the social worker is unavailable for the phone, the data compiler will fax an RMTS contact log to the local RMTS coordinator who will leave it at the workers work station. After the worker completes the contact log, it will be faxed to state office by the RMTS coordinator. The contact logs indicating case specific activities will be drop filed in the specific case record by the RMTS coordinator. A copy of all completed contact logs will be maintained in chronological order by the RMTS coordinator.

Each service worker is contacted several times each quarter about his/her activities at that moment according to RMTS definitions of the activities. Coordinators submit and update lists of workers participating in this study and assure follow-up activities as needed.

B. Participants

All DCFS service workers participate in the time study. Adoption Program Managers, at state office, are also included in the time study. Students, interns, homemakers, clerical staff, intermittent staff, after hour staff, weekend staff are excluded from the RMTS as are Community Resource Coordinators, etc., Social Workers 4 (supervisors), Service Delivery Coordinators, and other management staff. However, the federal reimbursement for their salaries and benefits are based on data from the RMTS.

C. State Office Responsibilities

1. The RMTS data compiler shall be responsible for the following actions:

   a. Every quarter the compiler generates an RMTS contact list for each work day of the quarter. The contact list has three variables:
      - Random Starting Time
      - Random Interval Time
      - Random Employee List

   b. Complete the telephone samples at the random moments. The data compiler shall gather the following information from the social worker or RMTS coordinator.

      (1) Status of worker:
         - on the job
         - on work break
         - position vacant
         - on job rotation or temporary assignment elsewhere

      (2) If on the job, the compiler informs the worker that an RMTS sample is being made.

(3) The compiler asks the worker for the code best describing the worker activity at that moment. If a case specific activity is reported, the compiler asks the worker for the following information:
- case number
- case name
- SSPS code (primary placement payment code)
- specific activity (brief)

c. The compiler completes the contact log with the information reported by the worker, enters it into the database, and mails a copy to the RMTS coordinator.

d. If a worker is unavailable for phone contact, the compiler contacts the RMTS coordinator to determine the worker's status. If the worker is on the job, or if the RMTS coordinator cannot determine the workers status, the compiler faxes a contact log to the RMTS coordinator for completion by the worker (see page 25, D-5).

e. The compiler logs uncompleted contacts and follows up with the RMTS coordinators to ensure that contact logs are returned in a timely manner.

f. On a monthly and quarterly basis, the compiler generates a survey data summary.

g. The compiler updates the service worker list as worker employment status changes are reported by the regional administrator or RMTS coordinator. The compiler checks the service worker list quarterly against the central payroll registry assuring that all workers who should be time studied remain in the sample.

D. Region Responsibilities

1. A regional administrator shall appoint RMTS coordinators for each field office. Ordinarily this is a clerical position assignment. Social workers, or any DCFS staff person who may be observed as part of the time study cannot be a coordinator.

2. A regional administrator shall be responsible for reporting any changes in social service staff or RMTS coordinators to the RMTS data compiler at:

Federal Funding Unit
Attention: RMTS Data Compiler
Mail Stop: OB-41
FAX: 753-0727

3. Casework supervisors shall be responsible for training social workers on the RMTS System - The supervisor ensures that the workers, especially new workers, are trained in the RMTS system and knowledgeable of the RMTS code definitions. The state office RMTS staff is also available to provide consultation and training to workers upon the supervisor's request.

4. The social worker shall be responsible for the following actions upon contact:

   a. Report the appropriate code from the DCFS social worker activity code descriptions attached.

   b. Report the case number, case name, specific activity and primary SSPS placement payment code if the activity is case specific.

5. The social worker shall be responsible for the following action if unavailable when a RMTS telephone contact is attempted.

   Upon return to the workstation, the worker completes the RMTS contact log and promptly returns it to the RMTS coordinator. The RMTS coordinator returns the contact log to state office (see page 26 7 b). The contact must be received by state office within 72 hours of the sample time.

6. The RMTS coordinator shall be responsible for the following actions:

   a. Receive the data compiler's phone contacts for workers not at their work stations. Determine and report social worker status (as information is available).

   b. If the worker status is on the job, but unavailable to the phone or worker status information is not readily available the RMTS coordinator will be sent an RMTS contact log for distribution and completion (see page 26 7 a-d).

   c. Receive completed contact logs from state office, by fax or mail.

   d. Maintain a file for all completed RMTS contact logs. File the RMTS contact logs in chronological order by date of contact.

   e. Copy and drop file the completed RMTS contact logs into the specific case records for logs indicating case specific activity.

   f. Notify the state office data compiler of any change in the employment status or contact telephone number of a worker participating in the RMTS survey within five working days of the change.

7. The RMTS coordinator shall be responsible for the following actions if the social worker is unavailable or worker status is not readily available upon contact:

   a. Deliver the faxed contact log to the worker's work station.

   b. Return the completed log to state office by fax or telephone the sample results to state office within 72 hours of the sample time.

   c. File the completed log in the field office RMTS file.

   d. File a copy of the completed log in the case record if case specific activity is indicated.

E. Random Moment Time Study Codes

Code A	-	Substitute Care Related Activity
Code B	-	Child Support Enforcement
Code C	-	IV-E Eligibility Determination
Code D	-	Training
Code E	-	Court Related Activity
Code F	-	Case Management and Administration of Placement Prevention Services
Code G	-	Targeted Case Management - Foster Care/Adoption Support
Code H	-	Administration of Adoption Support Programs
Code I	-	Therapeutic Counseling and Treatment
Code J	-	Investigation of Reports of Abuse and Neglect
Code K	-	Other Service Activity
Code L	-	Non-program Related Activity

F. Approach to Categorizing the RMTS Activities

When an RMTS observation is requested, DCFS social workers report to the data compiler the activity code which best describes their activities at the moment of the contact.

If the activity is not specific to a child, choose from Codes A, D, H, K or L; if the activity is specific to a child choose from Codes B, C, E, F, G, I, J on the definitions for the codes and child's status.

G. Random Moment Time Study Definitions

Code A. - Substitute Care Related Activity

The worker uses this code when engaged in the general administration of the department's full spectrum of out of home care program. This category covers those activities that are not child specific.

Examples include:

1. Public information about foster care, receiving care and other placement programs.

2. Recruitment, training, completing a home study, and licensing of foster care receiving homes.

3. Planning and paperwork contributing to the above activities.

4. Travel associated with the above activities.

Code B. - Child Support Enforcement

The worker uses code B when the activity is related to gaining or collecting support from parents of children in foster care. This includes assistance or collateral or written contacts with the Office of Support Enforcement. Included are any actions directed toward gathering financial data from clients for support purposes.

Code C. - IV-E Eligibility Determination

The worker uses code C when performing an activity contributing to the determination of a child's eligibility for the Title IV-E Foster Care or Title IV-E Adoption Support funds. The following are examples of Eligibility Determination activities:

1. Collecting information from family or others which is used in the determination, e.g., income, parental whereabouts, resources, social security numbers, birth certificates, family living arrangements.

2. Verifying the information above.

3. Filling out and processing eligibility forms.

4. Querying systems, records, and contacts with financial and other staff to determine AFDC status.

5. Redetermining Title IV-E eligibility.

6. Preparing for and participating in all fair hearings and appeals related to IV-E eligibility.

Code D. - Training

The worker uses code D when:

1. Engaged in (or preparing for) training, either as a trainer of other department staff, or as a trainee; and

2. The training subject is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs.

This includes the Child Welfare Training Academy, HRD training programs, conferences and training in unit meetings provided by supervisors or State Office Program Managers.

Code E. - Court Related Activity for Placement

The worker uses code E when engaged in any court activity related to placement, including preparing for or participating in a judicial proceeding. Examples of activities fitting this code are:

1. Preparing a report for court recommending child for placement or removal.

2. Preparing a petition or making the determination to file a petition seeking custody of a child.

3. A court appearance where the department seeks placement of a child, or the foster care status of a child is reviewed.

4. Documenting for the court that the department has made a reasonable effort to prevent placement.

5. Working with the Assistant Attorney General (AAG) or prosecutor in preparing a case for court.

6. Documenting for the court that continuation in the home is contrary to the welfare of a child.

7. Travel associated with the above activities.

Code F. - Case Management and Administration of Placement Prevention Services

The worker uses code F when engaged in case management or administrative activities directed toward preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The primary CPS, FRS or CWS case plan recording indicates that without services a child is a candidate for an out of home placement, or

2. A CPS referral has been received regarding the child, or

3. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or

4. A petition or court order is obtained indicating a need for placement, or

5. A child is in the first six months period following the child's return home from substitute care and the department seeks to prevent a return to placement.

The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs.

Examples of Case Management and Administration of Placement Prevention Services are:

1. Case plan development.

2. Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals.

3. Referral to other services for placement prevention.

4. Arranging for the provision of preventive services.

5. Completing Risk Assessment Summary Forms for children remaining in their own homes.

6. Post placement follow-up activities within the first six months, or longer, with supervisory approval, of the child's return home.

7. Case conferences.

8. Routine supervisory contacts and consultations.

9. Public information for protecting children via placement prevention services.

10. Planning and paperwork contributing to the above activities.

11. Travel associated with the above activities.

Code G. - Targeted Case Management - Foster Care/Adoption Support

The worker uses code G when engaged in activities aimed at assisting children in substitute care or receiving adoption support and their caretakers or families to develop and follow through with case plans designed to enable a child and caretakers/family to utilize medical, educational and social services necessary for maintaining the child's physical, psychological and developmental health.

Examples of Targeted Case Management:

1. Developing, monitoring, and updating of the case plan, including maintaining the case file and completing Risk Assessment Summary Forms for children in placement.

2. Case conferences related to planning for the provision of services necessary for maximizing a child's health and development.

3. Contacts and communications with parents, children and service providers about the status of a case, child or family's needs, and progress in meeting the case plan and goals.

4. Referral and/or arrangements made for medical/health services or evaluations. This includes mental health services.

5. Liaison with medical providers, including mental health providers.

6. Development of health plans.

7. Assistance in implementing health regimens.

8. Personal care assessments.

9. Case and administrative reviews. (These include a review of a child's medical history.)

10. Gathering medical and educational data during the process of freeing a child for adoption for the purpose of providing adoptive parents with a record so that continuity of a child's health plan can be sustained.

11. Completion of adoption support annual reviews. (These include a review of a child's medical needs for the purpose of future planning.)

12. Planning and paperwork contributing to the above activities.

13. Travel associated with the above activities.

Code H. - Administration of Adoption Support Program
(For State Office Staff Use Only)

The worker use this code when engaged in activities related to the administration of the department's Adoption Support Program other than targeted case management services provided by DCFS staff to children and their adoptive families who are recipients of adoption support.

Examples of Code H are:

1. Designing training regarding adoption support program for social workers in the field.

2. Interpreting and/or re-writing manuals, WACs, RCWs and federal regulations relating to adoption program.

3. Providing public information about adoption program.

4. Providing adoption program education for legislature.

5. Serving on adoption related committees, task forces, etc.

6. Budget planning.

7. Planning and paperwork contributing to the above activities.

8. Travel associated with the above activities.

Code I. - Therapeutic Counseling and Treatment

The worker uses code I when providing treatment and counseling in order to ameliorate or remedy personal problems, behaviors, or home conditions.

Code J. - Investigation of Abuse and Neglect Reports

The worker uses code J when receiving or investigating a report of abuse or neglect. This includes public information related to CPS reporting and investigations.

When using this code, the worker should be careful to differentiate this activity from activities which are more appropriate under codes E or F.

Code K. - Other Service Activity

The worker uses code K when engaged in a program or service activity not fitting any of the codes above. Examples are FRS intake, day care licensing, or parent participation day care activities, adoption home studies, preparation for adoption orientations, etc.

Code L. - Non-program Related Activity

The worker uses code L when the worker is:

1. On a job rotation to some other unit.

2. At lunch or on break.

3. On any type of leave or not scheduled to work that day.

4. Or when performing work unrelated to a specific department service program. Example activities are:

   a. Reviewing office procedures,

   b. Performance appraisal/employee evaluation participation, and

   c. Attending a training course on stress management.

CONTACT LOG

DIVISION OF CHILDREN AND FAMILY SERVICES
DEPARTMENT OF SOCIAL AND HEALTH SERVICES
CONTACT LOG

SECTION I:

A. Sample Time: _____

B. Sample Date: _____

C. Position Number: _____

D. Worker Name: _____

E. Worker Phone: _____

F. Coordinator Name: _____

G. Coordinator Phone: _____ FAX: _____

SECTION II:

A. Worker status at moment of sample (check one box only).

1. On the job ☐
2. On work break ☐
3. On leave ☐
4. On job rotation ☐
5. Position vacant ☐

Note: If you checked a box other than "On the Job" skip the following sections, enter your name at the bottom of this page and return to the RMTS Coordinator.

SECTION III:

A. If worker status is "On the job" from Section II complete this section. Use RMTS definitions to determine activity code best describing activity.

Activity Code: _____

From RMTS Activity Code Summary Sheet

SECTION IV:

If working on a specific case (Activity Codes B, C, E, F, G, I, J) complete this section.

Case Number: _____

Case Name: _____

SSPS Payment Code (primary): _____

Explain Activity: _____

_____

Completed by: _____
(initials)

FOR STATE OFFICE USE ONLY

COMPLETED BY TELEPHONE CONTACT __ COMPLETED BY FAX: _____

02.16 SOCIAL SERVICE MONITORING AND VALIDATION SYSTEM

A. DCFS supervisors monitor services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), is used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.

2. An adequate needs assessment is made.

3. Department policies and procedures are followed.

4. Eligibility and funding sources are correctly determined.

5. Appropriate permanency planning is done.

6. Case documentation is completed.

7. Correct output and management information can be created from the services authorized.

B. The supervisor reads a minimum of three records per month per service worker. Records are selected in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Supervisors retain copies of all completed reading schedules for a minimum of six months for use in preparing service worker performance appraisals. Schedules are stored in a manner assuring the privacy of the service worker.

D. See [Chapter 99] for instructions in form completion.

E. DCFS program managers monitor statewide programs. The eligibility of social S/Rs is validated. In addition to an eligibility validation process, the social service program managers review a random sampling of service records, assessing quality of narrative recording and completeness of service records (e.g., required forms).

F. SO staff on a state office designed schedule determine compliance with statewide program standards, policies, and procedures by reading a random sample of social service records in each DCFS office.

G. DCFS program managers identify: service delivery system problems requiring corrective actions; staff training needs; and operating manuals needing revisions.

02.17 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker:

1. Verifies the amount of fee required for the information needed and obtains the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepares a letter in duplicate to the agency for the designee's signature indicating:

   a. The type of record/information requested.

   b. The name and case number (if applicable) of the party for whom the record is requested.

   c. The DCFS (or CSO) address to which the record is mailed.

B. The DCFS supervisor/designee signs and forwards both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff:

1. Issues a check on the DSHS Administrative Revolving Fund and mails it with the requesting letter to the vital statistics agency indicated.

2. Returns the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

02.19 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. Affidavit of Lost or Destroyed Warrant, DSHS 09-013(X), is the proper form for requesting replacement of a vendor warrant. The top half of this form is completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit is returned to Disbursements. See [Manual E, Chapter 31].

B. The copy of the affidavit is kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office staff checks with the State Treasurer's Office finding if the warrant is outstanding. The replacement process takes from one to two months. If staff finds that the warrant has been cashed, then investigation is necessary before reissuing a warrant.

D. DCFS offices are not authorized to initiate another voucher. DCFS offices ensure only the proper affidavit is completed and submitted to disbursements.

E. This procedure applies to all vendor payments, including foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See [Chapter 99], General Forms, for instructions on these forms:

Service Episode Record, DSHS 02-305(X)

DCFS - Random Moment Time Sample Observation form, DSHS 04-315

DCFS - Random Moment Time Study Follow-up form, DSHS 04-315A

Social Services Reading Schedule, DSHS 14-164(X)

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02.00 INTRODUCTION

This chapter describes the framework within which the Division of Family and Children Services (DCFS) delivers social services to eligible clients. The system is made up of several interdependent parts -- people, procedures, and paper. The system organizes the operations and resources (people, paper, etc.) in about the same way across the state so that clients and workers know what to expect from one DCFS office to another.

Standardization of policy and procedures permits equal treatment regardless of geographical location and permits a fairer method of measuring workloads and performances. It is extremely difficult to develop equitable workload standards without standardized forms and procedures. Workload standards are essential for documenting the need for and use of social service staff.

02.01 SOCIAL SERVICE DELIVERY

A. Social services delivered by DCFS is goal-oriented, time-limited and with specifically defined outcomes. Both staff and clients are knowledgeable of the goals and objectives of the service(s) provided. Unmet goals and objectives which are not achieved or only partially achieved are acknowledged.

B. Services are provided in response to identified need and within department priorities. Services are provided directly by the department or by purchase from the private sector. All appropriate methods of service delivery are utilized. The emphasis is on methods enabling the client to manage their situation with appropriate independence and with the least restrictive alternatives available. Services provided are coordinated with co-existing community agencies and systems, such as crisis clinics, schools, and health care organizations.

C. The department maintains the capacity to respond on a 24-hour basis to requests for short-term crisis intervention services and protective services.

02.02 DCFS OFFICE ORGANIZATION

A. All social service workers are responsible for determining eligibility, authorizing needed services and developing and implementing the Service Plan for cases assigned to them. Implementing the plan may include any combination of:

1. Direct provision of service;

2. Arranging for purchased services;

3. Referral to, or collaboration with, peers in other service units; and

4. Referral to, or collaboration with, non-DCFS service providers/ community agencies.

B. Service workers authorize and provide <u>or</u> arrange for:

1.	Child Protective Services (CPS)	Chapter 26
2.	Family Reconciliation Services (FRS)	Chapter 24
3.	Juvenile Court Process	Chapter 23
4.	Interstate Compact Placement Services	Chapter 30
5.	Day Care Services for Children	Chapter 28
6.	Child Foster Family Services	Chapter 32
7.	Private Agency/Child Group Care Services	Chapter 34
8.	Crisis Residential Center (CRC)	Chapter 31
9.	Adoption Services	Chapter 36
10.	Health Support Services	Chapter 48
11.	Information and Referral Services (I & R)	Chapter 20
12.	Volunteer Services	Chapter 62

C. After assessing the qualifications of staff and the complexity and volume of service requests, the DCFS social service supervisor or their superiors may designate specialists or a specialized unit. Functional specialists may be designated based upon the nature and volume of the service or the special expertise of the individual worker (e.g., intake/assessment specialist). However, the need to adopt this alternative must be carefully assessed because the goal is for clients to see as few workers as possible.

For example, after the investigation phase, CPS workers should be able to authorize, provide, or arrange for <u>other</u> services (e.g., day care) which stabilizes or strengthens the family while the children are still at home. Designating intake specialists guarantees that some clients are contacted by a second (continuing) service worker. The goal is to reduce intra-DCFS case transfers and reduce fragmentation in service delivery to families.

D. The expectation that service workers authorize, provide, or arrange for multiple services does not ignore the fact that there are different levels of work assigned.

Supervisors must take the time to make appropriate worker to client assignments based on their judgment of the difficulty of the case and of the capabilities of the service workers in their unit.

Service workers vary in skill and experience and are not interchangeable. Therefore, the random assignment of workload based on rotating intake worker can result in inequitable workload distribution, frustrated clients (shuttled among DCFS staff), and unachieved objectives.

02.03 RECEPTION/INTAKE AND ASSESSMENT

A. Initial Contact/Reception

1. A client may come into contact with the agency through a variety of means. The staff worker having the initial contact is responsible for ensuring the client is referred to, and the referral acknowledged by, the appropriate service unit. The DCFS office supervisor ensures social service staff and clerical workers are advised of specific procedures for referral to the appropriate social service unit.

2. Generally, the reception functions are performed by clerical staff. The receptionist identifies the category of service requested and immediately refers the person to the appropriate service unit. Clients who are obviously in a state of crisis or who request emergency services are seen by a social service worker as soon as possible. All social service workers are responsible for providing information and referral services.

3. The intent of the service delivery model is to move the client through each step of the process as smoothly as possible. The client contacts as few staff workers as possible.

B. Intake and Assessment

1. All social service workers determine service eligibility, needs assessment and information and referral functions. If the client is not eligible or if the services requested are not available, the service worker refers the client to other agency or community resources.

2. For program eligibility/intake and assessment procedures, see the specific program/service chapters.

3. Based on the size of the office and the volume of urgent service requests, the DCFS office supervisor may decide to designate individual workers as intake specialists. These individuals do not carry ongoing service caseloads but may provide short-term crisis intervention services. The need for quick response is weighed against the effect (on clients) of transferring cases to other workers for ongoing services. Avoid the latter when practical.

4. Intake/assessment specialists or others performing this function are prepared to:

   a. Take complaints on alleged abuse, neglect, or exploitation of individuals;

   b. Screen referrals for out-of-home placement determining if they are appropriate for action;

   c. Arrange for emergency out-of-home placements as appropriate;

   d. Provide short-term crisis intervention, FRS, or CPS.

5. Rotating the intake and assessment assignment among all service workers in a section (excluding trainees) does not and should not dictate random assignment of workers to clients. Social service supervisors shall evaluate the facts and assign workers to clients based on the workers' skills and experience as well as workload.

02.04 CASE ASSIGNMENT

A. The receptionist refers clients to the section/unit serving the target population to which the client belongs or to the intake/assessment specialist. Refer obvious CPS investigations and requests for ongoing or long-term services directly from reception to the appropriate service unit.

B. Supervisors assign service workers to clients by the appropriate differential use of staff.

C. The same service worker performs intake, service planning, and service delivery activities for a primary recipient whenever possible. If more than one service worker is involved, one service worker is assigned primary responsibility for case management.

D. Whenever possible, assign clients returning for additional services to their original service worker. Exceptions to this policy include:

   1. Referrals for protective services;

2. Clients no longer in the target population served by the initial service worker;

3. Client/worker requests and their supervisor agrees to a change based on a personality conflict; or

4. The service worker's workload is too large to permit an adequate and timely service response.

E. Requesting Existing/New Social Service Records

1. The social service worker requests a new or any existing social service record and file clearance by completing DSHS 02-128(X), Application, Registration and Control, and routes it to Master File or the designated clerical staff. Requests specify names and birth dates.

2. If Master File (clerical staff) responds that no service record exists, the worker obtains a case number and a file folder (record) is established (see [Section 02.12]).

02.05 SOCIAL SERVICE PLANNING

A. No service (other than I&R) is provided without the development of a Service Plan. The service worker assigned to the case has the full responsibility for all parts of the service plan which are:

1. Assessment of Need

The service worker assures that the client's service needs are clearly stated and are understood by both the client and the service worker.

2. Availability of Services

The service worker determines if agency services are available to meet the client's need. If agency services are not available, the service worker offers to refer the client to an agency, community, or volunteer resource. The client may accept or reject the offer of referral. For cases where a social service record already exists, the nonavailability of services is documented on DSHS 02-305(X), Service Episode Record.

3. Plan of Action

a. Problems as perceived by the client are explored and clarified in the initial interview. Then the client and the service worker mutually develop a plan of action--who will do what and when.

b. The plan includes specific objectives and describes the steps taken to alleviate the problem or meet the need identified.

c. The client and service worker must arrive at some agreement about the frequency of their contact and the duration of the service(s). (See the following service chapters for specific program procedures and expectations.)

B. Service plans are developed within the time frames outlined in the service chapter. Workers develop mandatory service plans (CPS, etc.) with the knowledge of the clients. Record the service plan on DSHS 02-305(X), Service Episode Record (SER).

C. A service episode is defined as the time-limited delivery of a variable number of services achieving a stated goal or outcome. A service plan is developed with certain tasks to be completed (by the client and the worker) within that given time frame. This planned time limited service episode is recorded on the SER.

D. Where there is a major change from the stated goals of the service plan, worker enters a new service episode and new narrative recording. Changes in the time allowed to complete tasks or changes in the number of tasks to be completed (as long as the goal doesn't change) do not constitute a new service episode.

The worker develops a new service plan at any point in a service episode. In all instances, the current plan is evaluated and a disposition of the previously planned action recorded on the DSHS SER.

E. The worker renews the service plan according to specific eligibility and program requirements noted in the program or service [Chapters 06-99]. The SER includes other information required by programs or services. Narrative recording requirements are described in [Section 02.11] and in the instructions to the SER described in [Chapter 99] General Forms.

02.06 CONTINUING SOCIAL SERVICES

A. Continuing social services are defined as all social services delivered by DCFS staff which are not emergent or short-term crisis intervention services. Generally, continuing ongoing or long-term services are those requiring more than three work days to complete.

B. Delivered services comply with program standards and procedures indicated in each of the program/service chapters. (See [Chapters 05 through 62].)

02.07 CASE CONSULTATION

A. In order to avoid the transfer of active cases within DCFS offices, service workers may consult with one another about difficult or unfamiliar functions. For example, if a service need arises which is not usually part of the assigned service worker's functions, the service worker may discuss the service need and appropriate action with service workers who frequently provide that service.

B. After such consultation, the assigned service worker decides to provide the service, request supervisory approval to transfer the case, or request the continued assistance of the consulting service worker.

C. During the consultation process, the assigned service worker maintains all direct contact with the client. Case consultation does not replace supervision. Case consultation is a process for utilizing peer expertise and shall be used as needed and with the knowledge of the supervisor.

D. DCFS staff may also reach an agreement to consult with non-DCFS DSHS service workers in their community such as Developmental Disabilities, Vocational Rehabilitation, and Juvenile Parole service staff.

02.08 DENIAL/REDUCTION/TERMINATION OF SERVICE

A. Denial

1. Social services are not provided to persons who do not meet applicable program eligibility criteria. These criteria are described in each program chapter.

2. Service workers make social service eligibility determinations based on situational or behavioral criteria by completing the Social Services Intake, DSHS 04-114(X); and the DSHS Family Face Sheet, DSHS 14-024(X). The program eligibility criteria is described in each service chapter.

B. Reduction/Termination

1. Once the client and the service worker have mutually developed a time-limited service plan, the service worker attempts to keep within that time frame. Time frames and response standards are described in each service chapter.

2. The amount of service purchased or provided to a client by the department may be reduced or terminated:

   a. At the client's request (nonmandatory services).

   b. When the service worker determines that a level of service is no longer necessary or appropriate.

c. When needed and authorized services are reduced or terminated because of program funding cutbacks.

3. Whenever possible, the service worker terminates services through mutual negotiation with the client in an exit interview. The service plan is evaluated with the client. Skill in conducting the termination process is critical as it may seriously impact the stability of goal or objective attainment.

4. The service worker enters on the SER the appropriate narrative recording to evaluate the service plan and indicate case disposition at the earliest possible time after contacting the client. The service worker will also complete the Change of Service Authorization, DSHS 14-159, within two working days of the termination contact. Timeliness in completing this form is particularly important when a payment is involved.

5. The service worker reviews the service record for completeness when all authorized services are terminated (including court data, the SER and other required service forms). The service worker sends it to their supervisor for review or to closed files clerk per DCFS area office policy.

02.09 FAIR HEARING PROCESS

A. Applicants or recipients (A/Rs) of social services have a right to appeal any action to deny, reduce, suspend or terminate social services and may request a fair hearing. A/Rs may also request a fair hearing if the A/R feels the department failed to act upon a request for service within 30 days. Requests for a fair hearing are made in writing within 90 days of the notification of decision by the department to deny, reduce, suspend or terminate services. (See [RCW 74.08.070 and WACs 388-08-002 and 388-15-030].)

B. A comparable right is also established in [RCW 74.15.130] for any legally defined child welfare agency including a foster home or day care home which believes its application for license was improperly denied, suspended, or revoked or not renewed by the department.

C. The appellant in a fair hearing has the opportunity to present a grievance or case to the fair hearing examiner or seek the aid of others such as legal counsel. Departmental staff shall not represent appellants.

D. A fair hearing request may be withdrawn by the appellant at any time prior to the date of the fair hearing.

E. When an A/R expresses dissatisfaction with an action or decision of the department, the service worker will:

1. Explain the reasons for the action or decision in question, including the facts upon which the decision is based.

2. Explain the criteria for initiating the fair hearing process.

3. Inform A/Rs of their right to have counsel at a hearing.

4. Not coerce clients into applying for or withdrawing hearing requests.

F. The service worker determines whether the client's expressed dissatisfaction is intended to be a request for a fair hearing. If the client does request a fair hearing, the service worker advises the client to put the request in writing and submit it to the Office of Hearings, DSHS, P.O. Box 2465, Olympia, WA 98504, as soon as possible but within 90 days.

G. If the client makes a verbal request for a fair hearing but does not provide a written appeal at that time, the service worker notes in the service record the date, the issue, and the client's expressed intent. The service worker also notifies the DCFS fair hearing coordinator of the client's name, case number, and date of verbal request.

H. If the service worker receives a written request for a fair hearing, the worker notes the date of the request in the SER and immediately forwards the written request to the fair hearing coordinator or designee.

I. If the client decides <u>not</u> to request a fair hearing, the service worker notes <u>the date</u> in the SER, the topic of discussion, that the fair hearing process has been explained, and the client's decision.

J. The DCFS office field fair hearing coordinator or designee will:

1. Present the DCFS case to the fair hearing examiner.

2. Be the contact person between the Office of Hearings and the DCFS.

3. Have overall responsibility and authority in reviewing the DCFS case, including but not limited to: contacting workers involved and/or their supervisor(s), notifying the DCFS witnesses who are to be present at the hearing, reviewing what documents need to be available to present the department's case, etc.

4. Provide instructions regarding fair hearing procedure.

5. Determine if the attendance of an Attorney General is needed.

6. Notify the DCFS administrative secretary which supervisory unit does the fair hearing report and also when hearings are withdrawn and/or rescheduled.

7. Prepare the Fair Hearing Report, DSHS 09-354(X), upon receipt of the fair hearing request and route a copy to the service worker. The service worker files the copy in the service record. (See [Chapter 99], General Forms, for a copy of this form and instructions.)

02.10 SOCIAL SERVICE RECORDS

A. Purpose of Service Records

The purpose of social service records is to record essential information concerning each individual for whom services are requested or provided to document eligibility, to document progress toward service plan objectives and to provide accountability for federal and state fund expenditures (see [WAC 388-73-054]).

B. Service Documentation

Service workers maintain social service records for each person/family receiving social services. Records provide the basic documentation for federal and state audits of services provided and funds spent [RCW 74.04.060]. State law requires records to be kept for services to children (see [RCW 13.34.120, 13.50.010, 26.32.200, 26.36.20 and 74.13.133] and adults [RCW 74.08.545]). Adequate records must also be maintained on licensed or approved vendors (providers) and for persons who apply and are subsequently denied licensure or approval for service [RCW 74.15].

C. Service workers use social service records as tools to provide readily accessible information on the results achieved through the provision of services and document activities for court reports and social summaries.

D. Except for brief information and referral contacts or other social services of less than 30 minutes, the service worker opens a record and completes the appropriate paperwork for each individual/family who applies for and receives social services. Maintain records on all persons or providers licensed or approved by the department. Persons or agencies from whom the department purchases services must also maintain service records on service recipients (see [RCW 74.13.133]).

E. Service Record Required Contents

1. DCFS requires the service worker to document basic information in a service record on the:

   a. Service Episode Record, DSHS 02-305(X) (Narrative recording);

b. Social Service Intake, DSHS 04-114(X);

c. Family Face Sheet, DSHS 14-024(X);

d. Social Services Authorization, DSHS 14-154(X) (service, objectives, payment rates, client data);

e. Change of Service Authorization, DSHS 14-159 (turnaround document);

f. Referral to Financial Services for Child in Placement, DSHS 14-226(X); and

g. Child Placement and Legal History, DSHS 15-192(X).

Instructions for the completion and use of these forms are detailed in the [Social Service Payment System Manual], and [Chapter 99] General Forms.

2. The record contains proof that the person was eligible and that eligibility was determined. A copy of DSHS 04-114(X) or DSHS 14-024(X) provides documentation.

3. The record indicates which services are provided and if services are agency provided (direct service) or vendor provided (purchased service). Enter this information on the DSHS 14-154(X)/159 by use of the appropriate service codes. (See [Social Service Payment System Manual, Appendix C.])

4. The record contains an service plan. Document service plans and objectives on the DSHS 14-154(X), which has service and objective codes, and the DSHS 15-209, ISP.

02.11 NARRATIVE RECORDINGS

A. It is important that entries on the SER be legible. Use appropriate headings and address all of the following components:

1. Identified Problem(s) (IP)

A clear statement of the problem or identified needs.

2. Narrative (NARR)

Information adequate for probable future uses of the record include:

(a) Dates of client contact;

(b) A brief description of specific events and observable acts which have importance;

(c) Additions or changes to the plan;

(d) Names and addresses of referrals and others involved in providing services; and

(e) Any supporting data needed for court activity.

When more than one worker provides services to the same individual/family, both workers enter a recording or coordinate a summary.

3. Evaluation (EVAL)

An evaluation of the service plan with a statement of the outcome. This statement relates back to the identified problem and indicates whether the objectives of the service are achieved. The summary indicates what factors influence the outcome of the service plan and summarize major events in the course of service delivery. Make it brief, about one page or less.

4. Disposition (DISP)

A statement of action and future plans, i.e., whether the case is to be closed completely or continued for the same or different services with a notation of why this is the plan for the client.

B. Narrative Recording - Completeness and Accuracy

1. Most narrative recording is done on the SER; however, other required service recording or data forms and samples are shown in [Chapter 99] Forms.

2. Records contain statements of fact. Service workers make nonjudgmental entries. If wishing to record opinions or personal inferences, label them clearly as opinion or judgment of the situation.

3. Brief phrases describing key points are used whenever possible.

4. The worker responsible for providing a service writes the needed record narrative. Supervisors assure necessary recording is completed including accurate completion of the DSHS 14-154(X) and 14-159 SSPS forms.

5. The length and completeness of the narrative depends on the type of service and probable future need for the record. Protective and substitute care services require extensive recording to allow preparation of reports to Juvenile Court (see [Chapter 23]). For details about what program or service information (in addition to that described above) is recorded in the service record, refer to the service chapters [Chapters 05-40].

C. Recording Requirements for Service Contractors (Purchased Services)

1. All social service contractors maintain records on each person served. Providers having contracts authorizing their staff to make eligibility determinations maintain records substantiating that eligibility decision.

2. Contractor records contain an entry for each service given, indicating how the service relates to the goals and objectives stated in the contract.

3. Contractor records must contain copies of the quarterly progress reports prepared by the contractor and sent to the DCFS office, depending on where the contract was negotiated.

4. Contractor maintains and stores records in a professional manner meeting all requirements of DCFS service records.

5. Child-placing agencies maintain adoption records with the safeguards required for DCFS adoption records (see [Section 02.14]).

6. For additional provider required documents or information, see the appropriate service chapter (e.g., [Chapter 34], Private Agency/ Child Group Care).

02.12 SERVICE RECORD MAKE-UP AND MANAGEMENT

A. A consistent format for the make-up of service records is essential because the record is:

1. A tool for the service worker to use during service delivery.

2. The official documentation of all actions related to the client.

3. Subject to being subpoenaed into court.

B. Clerical staff builds the original service record, and assigns a case number. DCFS office procedures for building, filing, storing, securing, and transferring social service records are consistent with Manual E and the following guidelines.

C. All nonactive service records are maintained in a central file location under clerical control (see [Manual E]). Active service records may be located with the assigned service worker.

D. Once a service record is made up, the service worker assigned to the case maintains the contents in the manner described below. When a service record is ready for closure, the service worker reviews for both completeness of information and conformity to the sequence described in the next paragraph. (See [Chapters 36 and 38] for instructions on closing adoption records.)

E. The service record contains four separate sections placed in a folder (but not attached to it) in the following order:

1. Section 1. Narrative Recording Section: This section contains the current Social Service Application - Family Face Sheet, DSHS 04-114 or 14-024, and the Service Episode Record, DSHS 02-305(X). The Social Service Application and SERs are placed in this section in chronological order with the most current social service application or Family Face Sheet on top. Slide fasteners are inserted from front to back.

2. Section 2. Service Authorization/Payment Section: This section contains all forms documenting eligibility or authorizing or awarding services and service invoices. The Social Services Authorization, DSHS 14-154(X); Change of Service Authorization, DSHS 14-159; and Notice of Funding Category for Placement, DSHS 02-501, is placed in chronological order with the most current at the front. Place the most recent DSHS 02-501 at the front or it may be stapled to the inside left cover of the record. The most current DSHS 14-159 should be left loose and not stapled. Insert slide fasteners from back to front.

3. Section 3. Document Section. This section contains all medical reports, program specific forms, other documents and correspondence. Place in chronological order with the most current at the front. Insert fasteners from back to front.

4. Section 4. Permanency Planning: Case files that have/have had services from DCFS from September 1985 have a fourth section which contains:

   a. Child Placement and Legal History Sheet, DSHS 15-192(X). File this sheet at the front of the section.

   b. Legal/court documents (petitions/orders) relative to juvenile custody matters.

   c. Reports to the court for hearings.

   d. Voluntary Consent to Place, DSHS 09-004.

   e. Periodic Review Report/ISP, DSHS 15-209s, relevant to placement interventions.

   f. Administrative Review conclusions report.

g. Other case review recommendations such as LICWAC, Adoption Planning, etc., constituting a review of permanent planning activity.

Place court orders in chronological order with the most current at the front. Place the most recent court order at the front. Insert slide fasteners from back to front.

F. The service worker determines the need for a Volume II service record.

1. The service worker requests in writing on the Record Transfer Notice, DSHS 01-001(X), that a Volume II folder be created.

2. The clerical support person places all documents and forms that are more than one year old (except the most recent court order) in the Volume I service record in their original chronological order. The service worker requests exceptions to the one-year time frame of the DCFS office supervisor or his designee in writing.

3. Unless it is being used, The service worker keeps the Volume I service record in the central file. If Volume II is filled again, the purge process must be repeated, moving material older than one year into Volume I or create Volume III.

G. Send any requests for combining or separating service records to the clerical support person for action. The file clerk or other designated clerical support maintains the central file location (see [Manual E]). No one, other than these designated persons, are permitted to remove or replace records from central files.

H. Purge all nonadoption social service records (all volumes) which have been closed (i.e., no service authorizations open) for a minimum of one year and which have no active financial service record (also closed for one year) from central files and transfer to Records Reference Center, Mailstop N 43-2, in Kent.

The Records Reference Center retains closed records for three (3) years. After being closed for a total of four (4) years, and due notice to the DCFS office, the closed (inactive) service records are destroyed. Closed adoptive records are sent directly to SO adoptions staff who forward them to State Archives (see [Chapter 36]).

I. For procedures and forms required to prepare, submit or retrieve records from the Records Reference Center, see the [DSHS Records Management Procedures Manual] (3/83).

02.13 PRIVACY, SECURITY AND ACCURACY OF SOCIAL SERVICE RECORDS

A. Information in a social service record is confidential. In general, confidential information is not released outside the department without the knowledge and written consent of the client or guardian. In instances where the department has an obligation to report or release data, the client or guardian is advised of this requirement.

B. By law (Freedom of Information Act) clients with proper identification have the right to look at their records if they request to do so. They may also challenge the accuracy, completeness or relevance of statements. Therefore, it is important to record factual statements and to label opinion or hearsay if it is written in the service record. Sources of CPS complaints remain anonymous and their names are purged from the record prior to the client's review.

C. Information in social service records must be complete and accurate and can be shared only with authorized representatives of public or private agencies having a legitimate need to be informed concerning clients whom they are actively serving.

D. Records are available to DCFS staff members having an assigned responsibility for the client or DSHS SO or DCFS staff who are engaged in officially sanctioned and authorized research or program monitoring.

E. All material presented at a fair hearing is open to the examination of the client and his/her representatives, even though such material would ordinarily be considered confidential (see [WAC 388-08 and 388-09]).

F. Sharing Information Outside the Agency

1. For policy, forms and procedures used for release of records, see the [DSHS Records Management Manual] (3/83) and [WAC 388-320]. The DSHS Records Manager is Troyce Warner, Office of Administrative Regulations, OB-33H, Olympia, WA 98504.

2. The worker completes the following forms when processing requests for information or records:

   a. Request for Disclosure of Records, DSHS 17-041 (Revised 12/80).

   b. Authorization to Disclose Personal Information, DSHS 17-063 (Revised 12/80).

   c. Denial of the Disclosure of Public Records, DSHS 17-062 (Revised 12/80).

3. Staff subpoenaed to appear in court do not take the social service record unless it also is subpoenaed. If the record is subpoenaed, the Assistant Attorney General assigned to that program area is consulted in advance of the hearing (see [Chapter 23] Juvenile Court Process and [Chapter 32] Child Foster Family Care).

4. No individual is permitted to make a partial or complete list of service recipient names or addresses, or amounts paid to any person (vendor) out of DSHS offices. Social Service Payment System reports (including DSHS 14-154s and 159s) are considered confidential.

G. Adoption Records

The records of a child in preadoption placement or for whom adoption preparations are being made, are confidential and not available for dissemination. Before the Adoption Petition is filed, information may be released as from any other DSHS record. After the petition is filed, information in the child's record (except medical reports) may be released only by written order of a Superior Court (see [RCW 26.32, WAC 388-70-480] and [Manual G, Chapter 36] Adoption Services).

H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements of the Washington State Juvenile Justice Act of 1977 [RCW 13.04] shall be followed.

1. Under this law, all agencies in the Juvenile Justice and Juvenile Care Systems have access to social service records only when those agencies are active in an investigation or providing service to a client. For example, public/private agencies providing services to DSHS clients are privileged to information from DSHS records and are subject to the requirements of the law.

2. Each agency providing services for DSHS clients are briefed on the requirements of the law and their responsibility for the security, privacy and completeness of records. The office releasing the information briefs the receiving agency on these requirements.

3. No duplicate records may be made if the whole record is requested. It should be checked out with the requirement that it be returned. The record is reviewed in the DCFS office.

4. Supervisory personnel review service records for completeness and accuracy before the information is released. Care and documentation is employed in properly identifying the requestor of the record. Birth records and/or statements by parent, guardian, or custodian are sufficient verification of identity. The department supplies no record which is not complete, i.e., contains no information on action taken to date on any incident, even if that action is taken by another agency.

I. The service worker/supervisor complies with the requirements of [RCW 13.04.270 through 13.04.276 and WAC 388-70-700], regarding the confidential sealing, accuracy, release to public, inquiry and challenge, transfer and destruction of juvenile custody and child care records.

1. A juvenile, their parents or their attorney, may make a written request asking the department about the existence and content of custody or care records. The inquiry provides the name of the juvenile, the approximate date of the juvenile's contact with the department, the nature of the contact, the location of the contact, and the purpose of the request.

2. The department makes written response to the inquiry within ten working days after receipt. The department gives priority to, and expedites processing of, inquiries involving litigation. The department provides to the juvenile, their parents, or attorney making the inquiry, information regarding the location, nature, and content of any records in the department's possession. A juvenile, their parents, or attorney, wishing to challenge the information contained in the department records, notifies the department in writing. The notification provides:

   a. The name of the juvenile;

   b. If the records are alleged to be inaccurate, a statement of those portions alleged to be inaccurate; and

   c. If the contained possession of the record is being challenged, a statement as to the reason why the record should be destroyed.

3. The department reviews the notification of challenge to the record and responds in writing within 30 calendar days. The response indicates the corrections which have been or will be made or states the basis for denial of any requested corrections. If appropriate, the department's response also includes a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

4. The juvenile, their parents, or attorney are notified that if they dispute the department's response, they may seek an administrative review of the department's decision as provided in [Chapter 34.04 RCW].

02.14 CASE TRANSFER POLICIES

A. Case Transfer

1. Service workers make every effort to avoid transferring active clients from one worker to another within the DCFS office. Exceptions to this policy require supervisory approval.

2. When a transfer is necessary, the two service workers and the client when possible consult about the reasons for the transfer and responsibility for the continued service planning for the client. The service worker documents their decisions/actions in the service record.

3. Appropriate reasons for transferring an active case from one service worker to another include:

   a. The client or worker requests a transfer based on a legitimate personality conflict.

   b. An evaluation by the supervisor and the service worker that the service need extends beyond the knowledge or current skill level of the assigned service worker.

   c. Program guidelines require the intervention of a different service work function such as a referral to Child Protective Services or Family Reconciliation Service.

   d. The service worker transfers out of the section, DCFS office, or terminates employment.

B. Transfer Process Within DCFS Office for Active Cases

1. The transferring service worker makes certain that the service record is complete and all documentation is current.

2. The transferring service worker discusses the case with the receiving service worker, or if unavailable, the appropriate service supervisor. The discussion determines which services will be terminated, when the transfer will occur and whether a joint conference with the client is appropriate. If there is no change in purchased services and no change in provider, payments are not interrupted (i.e., Authorization Not Terminated, DSHS 14-159). See the [Social Service Payment System Manual].

3. The transferring worker completes Records Transfer Notice, DSHS 01-001(X), attaches it to the service record, and forwards them to the receiving service worker.

4. The receiving service worker reviews the service record and the DSHS 01-001(X) for completeness and routes the DSHS 01-001(X) to clerical support/master file/central file.

5. The receiving service worker, within ten days, updates the current DSHS 14-159 with the new worker ID, authorizes any new services, and confirms the accuracy of any transferred services.

6. The receiving service worker reviews the service plan with the client and makes any required changes on the Service Episode Record, DSHS 02-305(X).

C. Transfer Process Between DCFS Offices (closed cases)

Requests for transfers of closed cases is handled by clerical support. The transfer-out is made within five working days of the receipt of the request (see [Manual E]).

D. Transfer Process Between DCFS Offices (active cases)

1. The request for transfer of active cases may be initiated by either the receiving or sending office. When the request for transfer is made, the transferring service worker reviews the service record for completeness. All documentation and recording must be current. However, the service record is not held for more than five working days after the request is made. Additional material is forwarded to the receiving office at a later date. The service worker notes in the record what material will be sent later.

2. If the department purchases a service for this client and the provider or payee does not change as a result of the transfer, the transferring service worker does not terminate payment on the DSHS 14-159. See the SSPS Manual.

3. If the provider or payee changes, the service worker terminates payment on the DSHS 14-159 prior to the transfer out to the new DCFS office. (See the [SSPS Manual].)

4. If the client receives no purchased services, the sending service worker terminates all services on the DSHS 14-159 and submits it as a regular termination. The receiving worker then submits a new authorization to open services.

02.15 RANDOM MOMENT TIME STUDY INSTRUCTIONS

A. Introduction

The Random Moment Time Sample (RMTS) is used to generate statistically valid statewide estimates of various activities performed by Division of Children and Family Services (DCFS) staff which are federally and state funded. The sampling procedure is designed to satisfy federal financial participation requirements for claiming matching funds for social service staff salaries and benefits and provide audit documentation for state or federal review .

Data from the samples is computer processed and a monthly report is produced. This report is used to estimate the proportion of total service worker time devoted to each federally matchable program activity. These calculations are used to claim federal reimbursement under Titles IV-A, IV-B, IV-E, XIX, and XX of the Social Security Act.

The RMTS sample will be conducted by headquarters data compilers who will contact social workers by telephone to gather the necessary case/program information. In the event that the social worker is unavailable by phone, the data compiler will fax an RMTS contact log to the local RMTS coordinator who will leave it at the worker's work station. After the worker completes the contact log, it will be faxed to headquarters by the RMTS coordinator. The contact logs indicating case specific activities will be drop filed in the specific case record by the RMTS coordinator. A copy of all completed contact logs will be maintained in chronological order by the RMTS coordinator. The local office shall be required to retain only the present and previous quarter completed logs.

Each service worker is contacted several times each quarter about his/her activities at that moment according to RMTS definitions of the activities. Coordinators submit and update lists of workers participating in this study and assure follow-up activities as needed.

B. Participants

All DCFS service workers participate in the time study. Adoption Program Managers, at Headquarters, are also included in the time study. Students, interns, homemakers, clerical staff, intermittent staff, after hour staff, weekend staff are excluded from the RMTS as are Community Resource Coordinators, etc., Social Workers 4 (supervisors), Service Delivery Coordinators, and other management staff. However, the federal reimbursement for their salaries and benefits are based on data from the RMTS.

C. State Office Responsibilities

1. The RMTS data compiler shall be responsible for the following actions:

   a. Every quarter the compiler generates an RMTS contact list for each work day of the quarter. The contact list has three variables:

      - Random Starting Time
      - Random Interval Time
      - Random Employee List

   b. Complete the telephone samples at the random moments. The data compiler shall gather the following information from the social worker or RMTS coordinator.

      (1) Status of worker:

      - on the job
      - on work break
      - position vacant
      - on job rotation or temporary assignment elsewhere

(2) If on the job, the compiler informs the worker that an RMTS sample is being made.

(3) The compiler asks the worker for the code best describing the worker activity at that moment. If a case specific activity is reported, the compiler asks the worker for the following information:
- case number
- case name
- SSPS code (primary placement payment code)
- legally free status of the child
- specific activity (brief)

c. The compiler completes the contact log with the information reported by the worker, enters it into the database, and mails a copy to the RMTS coordinator.

d. If a worker is unavailable for phone contact, the compiler contacts the RMTS coordinator to determine the worker's status. If the worker is on the job, or if the RMTS coordinator cannot determine the worker's status, the compiler faxes a contact log to the RMTS coordinator for completion by the worker (see page 25, D-5).

e. The compiler logs uncompleted contacts and follows up with the RMTS coordinators to ensure that contact logs are returned in a timely manner.

f. On a monthly and quarterly basis, the compiler generates a survey data summary.

g. The compiler updates the service worker list as worker employment status changes are reported by the regional administrator or RMTS coordinator.

D. Region Responsibilities

1. A regional administrator shall appoint RMTS coordinators for each field office. Ordinarily this is a clerical position assignment. Social workers, or any DCFS staff person who may be sampled as part of the time study cannot be a coordinator.

2. A regional administrator shall be responsible for reporting any changes in social service staff or RMTS coordinators to the RMTS data compiler at:

Financial Resource Unit
Attention: RMTS Data Compiler
Mail Stop: 5710/OB-41
FAX: 753-0727

3. Casework supervisors shall be responsible for training social workers on the RMTS System - The supervisor ensures that the workers, especially new workers, are trained in the RMTS system and knowledgeable of the RMTS code definitions. The Headquarters RMTS staff is also available to provide consultation and training to workers upon the supervisor's request.

4. The social worker shall be responsible for the following actions upon contact:

   a. Report the appropriate code from the DCFS social worker activity code descriptions attached.

   b. Report the case number, case name, specific activity, primary SSPS placement payment code if the activity is case specific, and, if the child is legally free for adoption or not.

5. The social worker shall be responsible for the following action if unavailable when a RMTS telephone contact is attempted.

   Upon return to the work station, the worker completes the RMTS contact log and promptly returns it to the RMTS coordinator. The RMTS coordinator returns the contact log to state office (see page 26, 7, b). The contact must be received by state office within 72 hours of the sample time.

6. The RMTS coordinator shall be responsible for the following actions:

   a. Receive the data compiler's phone contacts for workers not at their work stations. Determine and report social worker status (as information is available).

   b. If the worker status is on the job, but unavailable to the phone or worker status information is not readily available the RMTS coordinator will be sent an RMTS contact log for distribution and completion (see page 26, 7 a-d).

   c. Receive completed contact logs from Headquarters, by fax or mail.

   d. Maintain a file for all completed RMTS contact logs. File the RMTS contact logs in chronological order by date of contact. The local office shall be required to retain only the present and previous quarter completed logs.

   e. Copy and drop file the completed RMTS contact logs into the specific case records for logs indicating case specific activity.

f. Notify the state office data compiler of any change in the employment status or contact telephone number of a worker participating in the RMTS survey within five working days of the change.

7. The RMTS coordinator shall be responsible for the following actions if the social worker is unavailable or worker status is not readily available upon contact:

a. Deliver the faxed contact log to the worker's work station.

b. Return the completed log to Headquarters by fax or telephone the sample results to state office within 72 hours of the sample time.

c. File the completed log in the field office RMTS file. The local office shall be required to retain only the present and previous quarter completed logs.

d. File a copy of the completed log in the case record if case specific activity is indicated.

E. Random Moment Time Study Codes

Code A	-	Substitute Care Related Activity
Code B	-	Child Support Enforcement
Code C	-	IV-E Eligibility Determination
Code D	-	Training
Code E	-	Court Related Activity
Code F	-	Case Management and Administration of Placement Prevention Services
Code G	-	Targeted Case Management - Foster Care/Adoption Support
Code H	-	Administration of Adoption Support Programs
Code I	-	Therapeutic Counseling and Treatment
Code J	-	Emergency Assistance Services
Code K	-	Other Service Activity
Code L	-	Non-program Related Activity

F. Approach to Categorizing the RMTS Activities

When an RMTS observation is requested, DCFS social workers report to the data compiler the activity code which best describes their activities at the moment of the contact.

If the activity is not specific to a child, choose from Codes A, D, H, K or L; if the activity is specific to a child choose from Codes B, C, E, F, G, I, J based on the definitions for the codes and child's status.

G. Random Moment Time Study Definitions

Code A. - Substitute Care Related Activity

The worker uses this code when engaged in the general administration of the department's full spectrum of out of home care program. This category covers those activities that are not child specific.

Examples include:

1. Public information about foster care, receiving care and other placement programs.

2. Recruitment, training, completing a home study, and licensing of foster care receiving homes.

3. Planning and paperwork contributing to the above activities.

4. Travel associated with the above activities.

Code B. - Child Support Enforcement

The worker uses code B when the activity is related to gaining or collecting support from parents of children in foster care. This includes assistance or collateral or written contacts with the Office of Support Enforcement. Included are any actions directed toward gathering financial data from clients for support purposes.

Code C. - IV-E Eligibility Determination

The worker uses code C when performing an activity contributing to the determination of a child's eligibility for the Title IV-E Foster Care or Title IV-E Adoption Support funds. The following are examples of Eligibility Determination activities:

1. Collecting information from family or others which is used in the determination, e.g., income, parental whereabouts, resources, social security numbers, birth certificates, family living arrangements.

2. Verifying the information above.

3. Filling out and processing eligibility forms.

4. Querying systems, records, and contacts with financial and other staff to determine AFDC status.

5. Redetermining Title IV-E eligibility.

6. Preparing for and participating in all fair hearings and appeals related to IV-E eligibility.

Code D. - Training

The worker uses code D when:

1. Engaged in (or preparing for) training, either as a trainer of other department staff, or as a trainee; and

2. The training subject is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs, including preparations for adoption orientations.

This includes the Child Welfare Training Academy, HRD training programs, conferences and training in unit meetings provided by supervisors or State Office Program Managers.

Code E. - Court Related Activity for Placement

The worker uses code E when engaged in any court activity related to placement, including preparing reports for or participating in a judicial proceeding. Examples of activities fitting this code are:

1. Preparing a report for court recommending child for placement or removal.

2. Preparing a petition or making the determination to file a petition seeking custody of a child.

3. A court appearance where the department seeks placement of a child, or the foster care status of a child is reviewed.

4. Documenting for the court that the department has made a reasonable effort to prevent placement.

5. Working with the Assistant Attorney General (AAG) or prosecutor in preparing a case for court.

6. Documenting for the court that continuation in the home is contrary to the welfare of a child.

7. Travel associated with the above activities.

Code F. - Case Management and Administration of Placement Prevention Services

The worker uses code F when engaged in case management or administrative activities directed toward preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The primary CPS, FRS, or CWS case plan recording indicates that without services a child is a candidate for an out of home placement, or

2. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or

3. A petition or court order is obtained indicating a need for placement, or

4. A child is in the first six months period following the child's return home from substitute care and the case plan indicates that without services the child is a candidate for a return to placement.

The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs.

Examples of Case Management and Administration of Placement Prevention Services are:

1. Case plan development.

2. Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals.

3. Referral to other services for placement prevention.

4. Arranging for the provision of preventive services.

5. Completing Risk Assessment Summary Forms for children remaining in their own homes.

7. Case conferences

8. Routine supervisory contacts and consultations.

9. Public information for protecting children via placement prevention services.

10. Planning and paperwork contributing to the above activities.

11. Travel associated with the above activities.

Code G. - Targeted Case Management - Foster Care/Adoption Support

The worker uses code G when engaged in activities aimed at assisting children in substitute care or receiving adoption support and their caretakers or families to develop and follow through with case plans.

Examples of Targeted Case Management:

1. Developing, monitoring, and updating of the case plan, including maintaining the case file and completing Risk Assessment Summary Forms for children in placement.

2. Case conferences related to planning for the provision of services necessary for maximizing a child's health and development.

3. Contracts and communications with parents, children and service providers about the status of a case, child or family's needs, and progress in meeting the case plan and goals.

4. Referral and/or arrangements made for services or evaluations.

5. Development of Health and Education Form (DSHS 15-209A).

6. Case and administrative reviews.

7. Gathering medical and educational data during the process of freeing a child for adoption for the purpose of providing adoptive parents with a record so that continuity of a child's health plan can be sustained.

8. Completion of adoption support annual reviews.

9. Planning and paperwork contributing to the above activities.

10. Travel associated with the above activities.

Code H. - Administration of Adoption Support Program
(For State Office Staff Use Only)

The worker uses this code when engaged in activities related to the administration of the department's Adoption Support Program other than targeted case management services provided by DCFS staff to children and their adoptive families who are recipients of adoption support.

Examples of Code H are:

1. Designing training regarding adoption support program for social workers in the field.

2. Interpreting and/or re-writing manuals, WACs, RCWs and federal regulations relating to adoption program.

3. Providing public information about adoption program.

4. Providing adoption program education for legislature.

5. Serving on adoption related committees, task forces, etc.

6. Budget planning.

7. Planning and paperwork contributing to the above activities.

8. Travel associated with the above activities.

Code I. - Therapeutic Counseling and Treatment

The worker uses code I when providing treatment and counseling in order to ameliorate or remedy personal problems, behaviors, or home conditions.

Code J. - Emergency Assistance Services

The worker uses code J when performing any activity related to investigating/evaluating a child's or family's need for emergency services. An emergency is defined as actual, suspected or potential inability to provide needed care or supervision. In the case of older children, parent/child conflict which may result in separation of the child from the family home is also defined as an emergency.

When using this code, the worker should be careful to differentiate this activity from activities which are more appropriate under codes E or F.

Examples of Code J include:

1. Receiving, investigation or evaluating reports of child abuse and/or neglect.

2. Completing an Emergency Assistance Services application, including collecting information from the family which is used in the determination of IV-A eligibility, e.g., social security numbers, resources, citizenship, signatures, etc.

3. Working with support staff to determine a client's Title IV-A Emergency Assistance eligibility.

4. Coordinating or cooperating with police or other public service officials during the initial response to neglect or abuse of a child.

5. Providing immediate visitation to the family home, services, or other assistance to a child or family in order to prevent or evaluate an emergency.

6. F.R.S. intake for the first four hours.

7. Arranging for services, shelter, food, clothing, or other necessities in an emergent situation.

8. Arranging for on-site counseling, case management or other services in an emergency.

9. Travel related to the investigation/evaluation phase.

10. Paperwork related to the investigation/evaluation phase.

Code K. - Other Service Activity

The worker uses code K when engaged in a program or service activity not fitting any of the codes above. Examples are day care licensing, or parent participation day care activities, adoption home studies, implementation of health regimes, personal care assessments, unit meetings.

Code L. - Non-program Related Activity

The worker uses code L when the worker is:

1. On a job rotation to some other unit.

2. At lunch or on break.

3. On any type of leave or not scheduled to work that day.

4. Or when performing work unrelated to a specific department service program. Example activities are:

   a. Reviewing office procedures,

   b. Performance appraisal/employee evaluation participation, and

   c. Attending a training course on stress management.

CONTACT LOG

Date:
To:
Office:
Page 1 of 1

Return to: FAX 234-0727 (206 753 0727)
Voice No: 234 5093 or 5095
Off SCAN 753 5093 or 5095

DIVISION OF CHILDREN AND FAMILY SERVICES
DIVISION OF JUVENILE REHABILITATION
DEPARTMENT OF SOCIAL AND HEALTH SERVICES
CONTACT LOG

This form must be returned by at

SECTION I

A. Sample Time:
B. Sample Date:
C. RMTS Control #:
D. Worker Name:
E. Worker Phone: ( )
F. Coordinator Name: Office
G. Coordinator Phone: ( ) FAX: ( )

SECTION II

A. Worker status at the moment of sample (check one box only)

1. On the job [ ]
2. On work break [ ]
3. On leave [ ]
4. On job rotation [ ]
5. Position vacant [ ]

NOTE: If you checked a box OTHER than On The Job skip the following sections, enter your name at the bottom of this page and return to the RMTS coordinator.

SECTION III

A. If worker status is On The Job from section II complete this section. Use RMTS definition to determine activity code best describing activity.

Activity Code:_____
(From RMTS Activity Code Summary Sheet)

SECTION IV

If working on a specific case (Activity Codes B, C, E, F, G, I, J) complete this section.

Case Number:_____

Case Name:_____

SSPS Payment Code (primary):_____

Child is legally free for adoption: [ ] YES [ ] NO

Explain Activity: _____

_____

Completed by:_____

FOR STATE OFFICE USE ONLY

COMPLETED BY TELEPHONE CONTACT_____COMPLETED BY FAX_____

02.16 SOCIAL SERVICE MONITORING AND VALIDATION SYSTEM

A. DCFS supervisors monitor services and expenditures authorized by their staff. The Social Service Reading Schedule, DSHS 15-164(X), is used to document:

1. Mandated services are authorized, provided, and closed in a timely manner.

2. An adequate needs assessment is made.

3. Department policies and procedures are followed.

4. Eligibility and funding sources are correctly determined.

5. Appropriate permanency planning is done.

6. Case documentation is completed.

7. Correct output and management information can be created from the services authorized.

B. The supervisor reads a minimum of three records per month per service worker. Records are selected in a manner ensuring an unbiased cross section is reviewed over a period of a few months.

C. Supervisors retain copies of all completed reading schedules for a minimum of six months for use in preparing service worker performance appraisals. Schedules are stored in a manner assuring the privacy of the service worker.

D. See [Chapter 99] for instructions in form completion.

E. DCFS program managers monitor statewide programs. The eligibility of social S/Rs is validated. In addition to an eligibility validation process, the social service program managers review a random sampling of service records, assessing quality of narrative recording and completeness of service records (e.g., required forms).

F. SO staff on a state office designed schedule determine compliance with statewide program standards, policies, and procedures by reading a random sample of social service records in each DCFS office.

G. DCFS program managers identify: service delivery system problems requiring corrective actions; staff training needs; and operating manuals needing revisions.

02.17 PAYMENT OF FEES FOR VITAL STATISTICS

A. When it is necessary to pay advance fees to vital statistics agencies in other states for records of birth, death, marriage, etc., the service worker:

1. Verifies the amount of fee required for the information needed and obtains the address of the state vital statistics agency. The Disbursements Section of the Office of Accounting Services has a catalog of state vital statistic agencies in the event the address or fee amount are unknown.

2. Prepares a letter in duplicate to the agency for the designee's signature indicating:

a. The type of record/information requested.

b. The name and case number (if applicable) of the party for whom the record is requested.

c. The DCFS (or CSO) address to which the record is mailed.

B. The DCFS supervisor/designee signs and forwards both copies of the letter, along with a memorandum requesting a check be issued for the appropriate fee, to:

Department of Social and Health Services
Supervisor, Disbursements Section
Attn: Administrative Revolving Fund
MS OB-24B
Olympia, Washington 98504

C. Disbursements staff:

1. Issues a check on the DSHS Administrative Revolving Fund and mails it with the requesting letter to the vital statistics agency indicated.

2. Returns the copy of letter to the originator notifying them the request has been forwarded to the vital statistics agency.

02.19 REPLACEMENT OF LOST OR DESTROYED VENDOR WARRANTS

A. Affidavit of Lost or Destroyed Warrant, DSHS 09-013(X), is the proper form for requesting replacement of a vendor warrant. The top half of this form is completed in duplicate. When completed, signed by the vendor, and notarized, the original of the Affidavit is returned to Disbursements. See [Manual E, Chapter 31].

B. The copy of the affidavit is kept in the social service record attached to the copy of the original payment authorization document (DSHS 14-154/159).

C. The Disbursements Office staff checks with the State Treasurer's Office finding if the warrant is outstanding. The replacement process takes from one to two months. If staff finds that the warrant has been cashed, then investigation is necessary before reissuing a warrant.

D. DCFS offices are not authorized to initiate another voucher. DCFS offices ensure only the proper affidavit is completed and submitted to disbursements.

E. This procedure applies to all vendor payments, including foster home vouchers, day care vouchers, and special one-time payments for "L" program chore services, administrative payments, etc.

02.99 REQUIRED FORMS

See [Chapter 99], General Forms, for instructions on these forms:

Service Episode Record, DSHS 02-305(X)

Social Services Reading Schedule, DSHS 14-164(X)

TO: Holders of DCFS Manuals

NOTICE NO.: T-99
ISSUED: 02/01/92

FROM: DIVISION OF CHILDREN AND FAMILY SERVICES
Diana Roberts, Director

SECTIONS REVISED:
Chapter 02

EFFECTIVE: On Receipt
FOR INFORMATION CALL:
586-5430 or SCAN 321-5430

IF NOT DELIVERABLE, RETURN TO: MANUAL DISTRIBUTION CENTER, MS: 5807. FOR DISTRIBUTION CHANGES, NOTIFY: MANUAL PRODUCTION, MS: 5806.

SUBJECT: RMTS CODE REVISION

Place this notice in front of DCFS Manual, Chapter 2, and note on the Tan Notice Control Sheet the date Notice No. T-99 was entered.

BACKGROUND

Recent federal audits have identified problems in the current definition and examples of Random Moment Time Study codes. Revision will allow a maximizing of federal resources and avoidance of federal disallowances.

RMTS CODE REVISIONS:

A. Code F. - Case Management and Administration of Placement Prevention Services

In order to correctly identify a child as a candidate for placement prevention services the following changes are made. Criteria for candidacy number two (2) "a CPS referral has been received regarding the child" is deleted. The federal interpretation is that a CPS referral is at a significantly earlier point in time in comparison with the other criteria and that this criteria in and of itself is not sufficient for a child to be considered a candidate for placement prevention services. In order for an activity to be correctly coded under code F, the child involved has to meet one of the four remaining criteria.

The revised code F case management and administration of placement preventions will now read:

The worker uses code F when engaged in case management or administrative activities directed toward preventing the placement of children in foster care. A child is considered a placement prevention case if:

1. The primary CPS, FRS, or CWS case plan recording indicates that without services a child is a candidate for an out-of-home placement, or

2. For FRS services, the case plan states that FRS Phase 2 counseling, homebuilders, or other services are authorized to prevent an out-of-home placement, or

3. A petition or court order is obtained indicating a need for placement, or

4. A child is in the first six months period following the child's return home from substitute care and case plan indicates that without services the child is a candidate for a return to placement.

The worker uses this code even if the activity is not related to a specific child but is primarily supportive of the department's prevention service programs.

Examples of Case Management and Administration of Placement Prevention Services are:

1. Case plan development.

2. Contacts and communications with parents, children, and service providers regarding the status of the case, the child or family needs, and progress in meeting case plans and goals.

3. Referral to other services for placement prevention.

4. Arranging for the provision of preventive services.

5. Completing Risk Assessment Summary Forms for children remaining in their own home.

6. Case conferences.

7. Routine supervisory contacts and consultations.

8. Public information for protecting children via placement prevention services.

9. Planning and paperwork contributing to the above activities.

10. Travel associated with the above activities.

B. Code K - Other Service Activity

In Code K - other service activity example "preparation for adoption orientations" has been deleted. Activity in preparing for an adoption orientations is more correctly described by Code D - training and allows for a maximizing of federal resources in financing programs.

DCFS MANUAL: CHAPTER 02 -- SOCIAL SERVICE DELIVERY SYSTEM

TO: Holders of DCFS Manuals

NOTICE NO.: T-103
ISSUED: 07/27/92

FROM: Diana Roberts, Director
Division of Children & Family Services
MS 5710

SECTIONS REVISED:
Chapter 02

EFFECTIVE: Immediately
FOR INFORMATION CALL:
SCAN 321-5430 or
586-5430

IF NOT DELIVERABLE, RETURN TO: MANUAL DISTRIBUTION CENTER, MS 5807.
FOR DISTRIBUTION CHANGES, NOTIFY: MANUAL PRODUCTION, MS 5806.

SUBJECT: RMTS CODE REVISION

Place this notice in front of Chapter 02, and note on Tan Notice Control Sheet the date T-103 was entered.

BACKGROUND

This revision of the Random Moment Time Study was done to clarify the types of activities which are eligible for claiming purposes under Title IV-E of the Social Security Act. The modifications describe the activities which further promote permanency planning for the child. Additionally, these revisions will maximize federal financial participation in the services.

RMTS CODE REVISIONS:

(NOTE: Only Code D, Code G and Code K are being revised. All other codes remain the same.)

Code D - Training

The worker uses Code D when:

1. Engaged in (or preparing for) training, either as a trainer of other department staff, or as a trainee; and

2. The training subject is the development of skills utilized in the department's FRS, CWS, CPS, Day Care, or Adoption programs, including preparation for adoption orientations.

This includes the Child Welfare Training Academy, HRD training programs, conferences and training in unit meetings provided by supervisors or State Office Program Mangers.

Code G - Targeted Case Management - Foster Care/Adoption Support

The worker uses Code G when engaged in activities aimed at assisting children in substitute care or receiving adoption support and their caretakers or families to develop and follow through with case plans.

Examples of Targeted Case Management:

1. Developing, monitoring, and updating of the case plan, including maintaining the case file and completing Risk Assessment Summary Forms for children in placement.

2. Case conferences related to planning for the provision of services necessary for maximizing a child's health and development.

3. Contacts and communications with parents, children and service providers about the status of case, child or family's needs, and progress in meeting the case plan goals.

4. Referral and/or arrangements made for services or evaluations. This includes mental health services.

5. Development of the Health and Education Form (DSHS 15-209A).

6. Case and administrative reviews.

7. Gathering medical and educational data for inclusion in the case file during the process of freeing a child for adoption for the purpose of providing adoptive parents with a record so that continuity of a child's health plan can be sustained.

8. Completion of adoption support annual reviews.

9. Planning and paperwork contributing to the above activities.

10. Travel associated with the above activities.

Code K - Other Service Activity

The worker uses Code k when engaged in a program or service activity not fitting any of the codes above. Examples are FRS intake, day care licensing, or parent participation day care activities, adoption home studies, implementation of health regimes, personal care assessments, etc.