



STATE OF WASHINGTON

DEPARTMENT OF SOCIAL AND HEALTH SERVICES

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September 1, 1998

TO: Holders of Children's Administration
OPERATIONS MANUAL

FROM: Rosalyn Oraskovich, Assistant Secretary
Children's Administration

SUBJECT: **OPERATIONS MANUAL**
REVISION #2

Attached are revision pages to the above manual. Please replace the existing pages in your manual with these new pages. Sections with changes have been highlighted with vertical lines in the margin at the left of the text, with the revision date (September 1, 1998) following the revised paragraph or section. The revisions will also be incorporated into the on-line Manual which is available to all Children's Administration (CA) staff through the CA Intranet as soon as possible.

Many of the changes are editorial in nature and additional pages to maintain pagination. This revision does contains the new requirements for case documentation.

If you have questions or comments about the revisions, please contact your representative on the Children's Administration Manual Committee: The members when the revisions were considered are:

Carole Holland, Chair

Tammi Erickson
Tammy Cordova
Art Cantrall

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Development
Federal Funding
Management Services
Division of Program & Policy
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| Chris Robinson | Program and Policy Development |

Table #1, attached, identifies the nature of the change by page or pages. Changes that are merely corrections of errors or that reflect reformatting of pages and resulting movement of text are identified as "EDIT." Substantive changes are identified by topic. Table #2 identifies the manual pages to be replaced, by chapter and by page numbers. Table #3 identifies any interim Children's Administration policies being replaced by this revision.

Attachments

OPERATIONS MANUAL

TABLE 1

REVISION #2 - September 1, 1998

| CHAPTER | PAGE | NATURE OF REVISION |
|----------------------------------|-------------------------------|--|
| Table of Contents | v - vi vii - viii | Edit; incorporates "Case Documentation" heading.. |
| 2000 - Org. Resp. - | 13 - 14 | Inserts reference to DLR <i>Investigating Abuse and Neglect in State-Regulated Care</i> guide. |
| 5000 - Health & Safety | 17 - 20 | Inserts reference to DLR <i>Investigating Abuse and Neglect in State-Regulated Care</i> guide. |
| 7000 - Resource Management | 5 - 6 | Clarifies rules regarding personal use of electronic message systems. |
| 8000 - Human Resource Management | 1 - 10 | Edit. |
| 9000 - Payments & Accounts | 1 - 6 | Adds language clarifying requirement for waiver to be approved and documented for foster parents to receive special rate and exceptional rate foster care when they have not attended Foster Parent Scope; edit. |
| 9000 | 19 - 20 | Removes reference to ITIS as the system is being closed down. |
| 10000 - Contract Management | 23 - 24 | Changes official contract file retention requirements to reflect changes in the Central Contracts Section. |
| 110000 - Federal Funding | Table of Contents iii - iv | Edit. |
| 11000 | 5 - 8 | Inserts federal language regarding reimbursement for youth in school over age 17; edit. |
| 11000 | 11 - 12 | Edit. |
| 11000 | 21 - 26 | Edit; remove references to ITIS |
| 11000 | 47 - 52 | Correct requirements for RMTS to reflect current practice. |
| 12000 - Licensing/ Certification | 13 - 14 | Includes cross-reference to section on training requirement waiver for Foster Parent Scope. |
| | | |

| CHAPTER | PAGE | NATURE OF REVISION |
|---|--------------------------------|---|
| 13000 - Record/ Paperwork Management | Table of Contents i - iv | Edits to reflect numerous changes in page numbering as a result of insertion of new documentation requirements. |
| 13000 | 1 -5 | Incorporates new documentation requirements; edit. |
| 13000 | 6 - 19 | Edit; includes new client case file structure and format. |
| 13000 | 20 - 56 | Edits as a result of repagination of the remainder of the chapter. |
| 14000 - Admin. Support | 1 -2 | Eliminate reference to obsolete brochures and posters. |
| 14000 | 5 - 8 | Adds requirement to deposit negotiable items in a bank within 24 hours of receipt; edit. |
| 15000 - Information System Standards | 3 - 8 | Edit. |
| Appendix A - Definitions | 1 - 2 | Removes reference to ITIS. |

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TABLE 2

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|--|---|---|
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| Chapter 5000 Health & Safety | 5000-17 5000-18 5000-19 5000-20 | 5000-17 5000-18 5000-19 5000-20 |
| Chapter 7000 - Resource Management | 7000-5 7000-6 | 7000-5 7000-6 |
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| Chapter 11000 | 11000-11 11000-12 | 11000-11 11000-12 |
| Chapter 11000 | 11000-21 11000-22 11000-23 11000-24 11000-25 11000-26 | 11000-21 11000-22 11000-23 11000-24 11000-25 11000-26 |
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| Chapter 13000 - Record/Paperwork Management | Entire Chapter after Title Page - i - vi 1 - 62 | Entire Chapter after Title Page - i - iv 1 - 56 |
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| Chapter 15000 - Information System Standards | 15000-3 15000-4 15000-5 15000-6 15000-7 15000-8 | 15000-3 15000-4 15000-5 15000-6 15000-7 15000-8 |
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TABLE 3

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POLICY MEMORANDA

| POLICY | SUBJECT | REMOVE |
|--|--|---|
| Children's Administration Policy 98-10 | Opposing Testimony | Policy 98-10, if not previously removed. |
| Children's Administration Policy 98-13 | Children's Administration Employees - Foster Care Licensing & Adoption Certification | Policy 98-13 |
| Children's Administration Policy 98-17 | Collect Telephone Calls | Policy 98-17, if not previously removed. |

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6. Provide or arrange for the provision of Foster Parent Scope training for foster parents
- B. See chapter 12000 of this manual and chapter 5000 of the *CA Practices and Procedures Guide* for the standards to be implemented by OFCL.

2243 Facility Investigations Unit

The Facility Investigations Unit is responsible for conducting investigations of alleged child abuse and neglect (CA/N) in department-licensed, certified, and regulated facilities for children. The investigative staff conduct their investigations in accordance with the standards outlined in chapter 5000, section 5300, of this manual and the *DLR Child Abuse Section Practice Guide - Investigating Abuse and Neglect in State-Regulated Care*.

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2300 REGIONS

2310 REGIONAL RESPONSIBILITIES

The Regional Administrator for DCFS and the Regional Manager for DLR are responsible for regional performance expectations, service delivery, and administration of all activities related to DCFS or DLR services through the region's local offices and private contractors. The Regional Administrator is responsible for supervision and oversight of all DCFS activities in the region, while the Regional Manager is responsible for all OCCP or OFCL functions, as applicable. Specific responsibilities include the following:

- A. Implement regional performance expectations and communicate Administration expectations to all staff.
- B. For the Regional Administrator, participate as a member of the CA Management Team.

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CHAPTER 2000—ORGANIZATIONAL RESPONSIBILITIES

- C. Develop regional allocation plans and manage expenditures of dollars and Full Time Equivalent (FTE) positions against the approved budget and allotments.
- D. Establish adequate management oversight systems to ensure appropriate resource management, policy compliance, and monitoring and tracking of audit findings.
- E. Develop and implement region-wide procedures to execute the policy provisions of federal and state law and the *Case Services Policy Manual*, the *Practices and Procedures Guide*, and this *Operations Manual* to maintain basic state-wide program consistency.
- F. Disseminate state and regional office program and policy information to field staff.
- G. Communicate the Administration's mission, goals, and objectives to all staff.
- H. Communicate agency and Administration information to all staff to ensure adequate understanding of policy and resource issues.
- I. Coordinate training opportunities for field staff with the Office of Quality Assurance and Training to ensure uniform implementation of state and regional programs and practices. Deliver regional training per CA policy, including monitoring compliance with mandatory training requirements.
- J. Work to achieve satisfactory compliance with state and regional policy and procedure by monitoring service delivery in the region.
- K. Respond to inquiries and provide policy interpretation and clarification for staff.

5270 CHILDREN'S ADMINISTRATION RESPONSIBILITIES

The Director, Division of Program and Policy Development, to fulfill CA responsibilities, completes the following steps:

- A. Present community review recommendations that potentially affect statewide policy or procedure to the CA management team and appropriate DSHS program managers for review and action.
- B. Provide written response to each community child death review team, subsequent to the team's submission of findings and recommendations. Provide updates to the team on implementation of recommendations.
- C. Track and monitor actions to implement review team recommendations.
- D. Provide regular reports of child death reviews to DCFS and DLR staff to increase their understanding of risks to children.
- E. Prepare and distribute a report summarizing team findings.
- F. Provide an annual report to the Secretary.

5300 INVESTIGATING ABUSE AND NEGLECT IN STATE REGULATED CARE**5310 INTRODUCTION**

- A. The Division of Licensed Resources (DLR) *Child Abuse and Neglect Section Practice Guide - Investigating Abuse and Neglect in State-Regulated Care* is a "how-to" guide to be used by the facility investigators in the course of investigations of alleged abuse and neglect in state-regulated care.

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- B. The guide expands the Washington State Risk Assessment Model, developed for investigation of abuse in biological families, to include risk factors specific to state-regulated care. Within the "state-regulated" care sub-group, there are many differences between types of care. The guide helps investigators assess the importance of those differences between types of care, while emphasizing the major similarities that need assessment in the course of an investigation.

5321 PURPOSE AND SCOPE

- A. CA has a responsibility to ensure that high quality care is provided when a child is under state supervision or when a facility providing care is state-regulated. Minimum licensing requirements (MLR) define a higher standard of care than expected and legally allowed in a biological family unit. As a result, standards for accepting referrals for investigation of alleged abuse and neglect in state-regulated care encompass a wider range of allegations than those involving biological family units.
- B. Child Protective Service (CPS) investigations of reports of alleged abuse or neglect in licensed, certified, and state-operated care facilities (child day care, foster care, group care, hospitals, and institutional care) have five main goals:

1. To ensure the immediate safety of alleged child victims;
 2. To investigate allegations and make determinations regarding the existence of child abuse and neglect (CA/N);
 3. To assess whether the child in question has been abused or neglected in a state-regulated setting in ways that have not been alleged;
 4. To identify risk factors within the facility which create a substantial risk of future harm to children; and
 5. To ensure consistency and equity toward providers in the investigation of abuse and neglect.
- C. Investigations of alleged abuse or neglect must include assessments of the presence or absence of patterns of CA/N and/or inadequate care as well as documenting specific incidents of child maltreatment.
- D. Investigations of alleged abuse or neglect in licensed care are distinct from investigations of compliance with MLR or certification standards. Nevertheless, when there is an investigation of alleged abuse or neglect in licensed care, the investigator must consider a history of compliance or non-compliance with MLRs or certification standards in his or her overall assessment.
- E. Investigations of alleged abuse or neglect are expected to result in findings related to specific allegations of CA/N. The findings also include the presence or absence of other abuse or neglect in the licensed setting and record the important risk and protective factors present. Findings must have a strong factual basis, be supported by appropriate documentation, and include recommendations regarding disposition of the case.

- C. See the DLR *Child Abuse and Neglect Section Practice Guide - Investigating Abuse and Neglect in State Regulated Care* for steps to follow for Intake, Investigation, Assessment, and Disposition of allegations of CA/N in state-regulated care.

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5400 HEALTH AND SAFETY REVIEWS

CA staff shall use the CA protocol *Health and Safety Review Standards - Procedures for Group Care and Therapeutic Foster Health and Safety Reviews* as the guideline for conducting health and safety reviews of this types of facilities. In addition, staff shall comply with the provisions of the *CA Practices and Procedures Guide*, chapter 4000, section 4421, Health and Safety of Children.

5500 BACKGROUND INQUIRIES

5510 AUTHORITY

The department is required to safeguard the well-being of children, expectant mothers, and developmentally disabled persons receiving care away from their own homes, in licensed child caring agencies, and by contractors of the department by conducting background inquiries on those persons who would have contact with these vulnerable populations. The essential requirements for conducting such checks are found in chapter 43.43 RCW, RCW 74.15.030, WAC 388-330, and DSHS Administrative Policy 9.04. This section elaborates on those requirements.

RCW 43.43.832; RCW 74.15.010(1) and (5); RCW 74.15.030(3)

7222 Planning for New Facilities

- A. CA shall co-locate with other DSHS and/or other state agencies whenever feasible.
- B. Regional business managers are responsible for coordinating and/or projecting office staffing levels based on staffing history and anticipated growth.
- C. All space requests are generated by the regional office with input from the local offices, the Regional Manager, and area manager, as applicable, and forwarded to the CA headquarters facility coordinator.
- D. Space requests must be approved by the Director of Management Services before submittal to the DSHS Capital Facilities Section.
- E. The CA management team will prioritize requests for new facilities.

7300 USE OF RESOURCES

7310 ELECTRONIC FILES

- A. Following the procedures outlined in this section and in the DSHS *Information Technology Security Manual* does not guarantee that staff's messages and files will be protected. If a user fails to maintain their password security or leaves their terminal unattended while logged into the system, their messages and files are vulnerable. Also, staff need to be aware that messages that are sent can be forwarded to others, printed where others may read them, or sent to the wrong user.

- B. Electronic message systems, including voice mail, FAX, e-mail, the CAMIS bulletin board, and the CA Intranet server, may be used only for state business purposes. Use of state resources for private gain or benefit is specifically prohibited by RCW 42.52.160. Records created through these systems are legally the property of the state. In the use of computer technology, staff are to comply with the provisions of DSHS Administrative Policy 15.10; chapter 15000, section 15224, of this manual; and the DSHS *Information Technology Security Manual*, a copy of which is available in each region through its Computer Information Consultant (CIC). However, WAC 292-110-010 provides for the occasional use of state resources when:
1. There is no actual cost to the state; or
 2. The cost to the state is *de minimus*; i. e., so small as to be insignificant or negligible.

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- C. The following points apply to CA staff:
1. A manager, in the supervisory line of the employee, with reasonable justification, has access to data within CA's systems to carry out required business functions.
 2. State-provided electronic message systems may not be used to transmit or store information that promotes:
 - a. Discrimination on the basis of age, race, color, gender, creed, marital status, national origin, disability, or sexual orientation;
 - b. Harassment;
 - c. Copyright infringement;
 - d. An employee's personal political beliefs or personal business interests; or
 - e. Any activity prohibited by federal, state, or local law or regulation.

8100 ETHICAL STANDARDS

| 8110 GENERAL PROVISIONS

- A. Legal provisions regarding standards of ethical conduct for employees are contained in chapter 42.18 RCW (the Executive Branch Conflict of Interest Act), RCW 42.20.100, RCW 9A.80.010, RCW 42.22.030, and RCW 42.22.040. In addition, Executive Order (EO) 93-02 addresses ethical conduct of state employees.
- B. Departmental policy regarding ethical conduct of its employees is found in DSHS Administrative Policy 6.04. This policy provides an overview of ethical conduct expected of departmental staff. Other Administrative Policies, DSHS Personnel Policies, and the department's non-discrimination policy provide further detail on specific areas.
- C. Children's Administration (CA) staff shall not access any person, case, or referral information without a need to know. "Need to know" means that information is necessary in the discharge of the employee's professional responsibilities.

8120 DSHS EMPLOYEES -- CHILD FOSTER CARE LICENSING AND ADOPTION

| The CA *Practices and Procedures Guide*, chapter 5000, section 5138 outlines conditions under which CA employees may be licensed as foster family home parents. Section 5312 outlines conditions under which CA employees may be certified as adoptive parents. See those sections for limitations on licensing of employees as foster parents or on their certification as adoptive parents and steps to follow in the licensing and certification processes.

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8200 TELECOMMUTING

8210 PURPOSE AND SCOPE

Large employers are required to reduce single occupant vehicle commuting and to reduce employee commute trips. Telecommuting, which involves working at home or at an alternative work site close to home, contributes toward achievement of these goals. Some CA employees may be considered for telecommuting which must be done in accordance with DSHS Personnel Policy 590.

8300 TRAINING

8310 SOCIAL SERVICE PAYMENT AND CASE AND MANAGEMENT INFORMATION SYSTEMS

- A. Supervisors are responsible for arranging for their staff to receive training in the use of the Social Service Payment System (SSPS) and CAMIS.
 1. Social service staff training includes:
 - Selecting appropriate service codes
 - Completing SSPS forms
 - Obtaining provider numbers and updates
 - Using SSPS worker reports
 - Requesting duplicate invoices
 - Using the SSPS manual
 - Edit error corrections
 - Input of DSHS 14-154A/159s
 2. Training for support staff who will be undertaking SSPS duties includes:

- Input of DSHS 14-154A/159s
 - Edit error procedures
 - Distribution of DSHS 14-159 documents
 - Obtaining provider numbers and updates
 - Distribution of reports
- B. The local SSPS coordinator, in conjunction with the regional SSPS coordinator, addresses training needs as requested and utilizes outside training resources as needed.
- C. Training coordinators report training through the Human Resource Development Information System (HRDIS) and the CA training data base.
- D. Supervisors are responsible for assuring the accuracy and timeliness of SSPS payments.

8320 STAFF TRAINING

8321 Training Tuition Reimbursement for Staff

- A. DSHS Personnel Policy 561 allows DSHS managers to authorize tuition reimbursement if the employee can demonstrate need. CA Division Directors and Regional Administrators may, at their discretion and within available funds, approve reimbursement for cost of short term training for staff that would directly improve an individual's ability to perform his or her current job. Short term training does not include general education classes or classes taken for the sole purpose of earning credit hours toward a degree or certificate.
- B. CA may reimburse up to 100 percent of the actual cost of tuition of the approved training course, with the actual amount approved in advance by the Director or Regional Administrator. CA will reimburse only the pre-approved costs of tuition and registration fees.
- C. Each Director and Regional Administrator shall develop procedures to implement this section and to ensure equity in the utilization of such training resources by staff among all classifications.
- D. CA managers and staff will adhere to the following guidelines when requesting or considering tuition reimbursement:
 - 1. The employee must submit a request in writing, using the *Tuition Reimbursement Request*, SF 30, to the manager outlining how the course directly relates to a function of state government.
 - 2. The course needs to relate to the long-term development of an employee as indicated and agreed to on the employee's performance evaluation.
 - 3. The manager needs to consider whether the employee has attempted to receive waiver of tuition and fees through the state classified employee tuition exemption process under RCW 28B.15.558.

4. The manager needs to consider whether the employee has made an effort to receive other grants and scholarships from the prospective institution.
5. The employee must provide a statement of basic financial need for tuition reimbursement, which is the employee's own explanation of why the department should reimburse the cost of tuition, based on the employee's perceived need.

8322 Leave Approval for Non-Reimbursed Staff Training

- A. When staff are away from their normal duties at training, either in-state or out-of-state, for which the department is not providing cost reimbursement for the training or for travel costs, the employee does not need to follow the travel request procedures contained in chapter 9000, section 9120.
- B. At the discretion of CA and considering program needs, the Regional Administrator, for Division of Children and Family Services (DCFS) staff, or the applicable division Director, for other divisions, may approve educational leave for the employee under the following conditions:
 1. The employee submits, through the supervisor and appropriate lines of authority, to the Regional Administrator or Director, as appropriate, a *Leave Request*, SF-6953, with the "Other" box checked and specifying "training."
 2. The employee prepares and attaches to the *Leave Request* a brief summary of the training to be attended and its relevance to the employee's job assignment or career development.
- C. The Regional Administrator or Director, as appropriate, will approve or disapprove the request.

8323 Mandatory Training

In addition to New Employee Orientation, which is required of all new employees, CA staff must participate in mandatory training as outlined below.

- A. Mandatory training for DCFS social workers includes:
1. For new social workers, three weeks of Academy training. All new employees must attend the first two weeks of Academy, regardless of their past work experience. The third "track" week may be waived with the approval of the Regional Administrator and Assistant Secretary for staff who have had extensive child welfare experience in other states.
 2. For a social worker transferring from one program area to another (e. g., CPS to Licensing), the one week Academy "track" week in the new program area as soon as possible.
 3. For new social work staff, each individual must complete the training contained on the "first year training ticket" within the first year of employment.
 4. Among the training requirements on the "training ticket" are:
 - a. Two days of basic substance abuse training;
 - b. Two days of *Indian Child Welfare (ICW) Manual* training;
 - c. A one to two day training session on permanency planning; and
 - d. For CPS social workers only, two days of sex abuse/child interview training.
 5. For new staff, additional basic training provided by the Regional Administrator regarding regional policies and procedures, court rules, and local resources.

- B. Mandatory training for DLR social workers includes:
1. For new employees, three weeks of Academy as described in paragraph A.1; DLR social workers transferred into their licensing positions from DCFS must attend the DLR "track" week as soon as possible after the transfer.
 2. Within the first year of employment, two days of basic substance abuse training and two days of ICW manual training.
 3. For DLR child abuse and neglect investigators, two days of sex abuse/disclosure interview training.
- C. Each DCFS and DLR region will maintain information to track mandatory training on the statewide training tracking system.

8324 New Employee Orientation

- A. DSHS Administrative Policy 6.13, *New Employee Orientation Program*, requires that each employee receive an introduction to state service. CA supervisors and managers are responsible to see that new employees receive New Employee Orientation (NEO) in accordance with department policy. The purpose of NEO is to provide staff with the initial phase of personnel processing and job familiarization.
- B. Supervisors and local offices are required to ensure that staff receive training on the following topics:
- Agency Mission and Philosophy
 - Children's Administration Policy and Procedures
 - Risk Assessment
 - AIDS
 - Diversity
 - Blood Borne Pathogens
 - Americans with Disabilities Act (ADA)
 - First/Aid
 - Sexual Harassment
 - SSPS
 - CAMIS
 - Community Resources/Relations
 - Working With Local Court/Legal training
 - Homelessness
 - Federal Revenue Requirements

8325 Academy Training

- A. The purpose of the Academy is to provide new social workers an overview of agency mission, programs, client populations, and job specific training to enable them to meet minimum standards established by the department. This training fulfills requirements of RCW 74.14B.010. Changes have been made in requirements for Academy training to ensure that new employees consistently receive a minimum of basic training before being given case management responsibilities.

- B. New social work staff must begin the Academy no more than eight work days after beginning employment. These staff cannot be assigned cases or perform case aide functions prior to attending the first week of the Academy; they cannot be assigned cases for the first 30 days of employment with CA.
 1. Supervisors of new employees are expected to arrange for complete coverage of cases assigned to new staff during Academy weeks so that new staff can concentrate fully on training activities.

 2. This training structure requires that field offices plan as they fill vacancies. New social work staff can and should be enrolled in the Academy by appointing authorities as soon as possible after an individual has accepted employment with CA and, if possible, well before the employee's start date.

 3. These requirements apply to all permanent and temporary employees but not to emergency hires. Exceptions to policy on temporary hires must be approved by the DCFS Regional Administrator or DLR Director and the Assistant Secretary.

- C. Supervisors will have their staff attend job specific training, subject to availability, in the following topics after attending the Academy.
- Family Reconciliation Services
 - Child Welfare Services
 - Child Protective Services
 - Adoption Services
 - Indian Child Welfare Services
- D. Supervisors will make reasonable efforts to achieve the following:
1. Have social worker staff receive Academy training as soon as possible after employment begins.
 2. Have intermittent, temporary, part-time, and stand-by workers meet the same minimum standards of training.

9100 FOSTER CARE PAYMENTS

9110 PAYMENTS ABOVE BASE RATES

9111 Purposes

Additional funding beyond basic rates may be necessary to maintain a child in foster family care or a relative placement. This funding is intended to enable care in the most family-like, least restrictive setting. However, it is also appropriately used to enable care pending placement into a specialized, more restrictive, appropriate care setting when such resources are not immediately available.

9112 Limitations

- A. Additional funding beyond basic rates is an exception and not an entitlement to all children in care who have extraordinary needs. The Division of Children and Family Services (DCFS) social worker, the supervisor, and/or the Area Manager must determine that the need is critical and that funding is available within regional allotments.
- B. The DCFS Regional Administrator is responsible for all allotted service delivery funds and determines the level of additional funding available to meet special needs. All expenditures must be within regional allotments.

9120 SPECIAL RATES

9121 Justification and Approval

The private agency or DCFS social worker may authorize a special rate, up to state authorized maximum amounts, in addition to the basic rate for board and room, for a child in need of special and specific care. The private agency or DCFS social worker must write a justification for approval by the DCFS supervisor. The supervisor must approve the special rate before payment is made. If the special rate is approved, the supervisor must review the need for continued payment every six months. The supervisor must document approval of the special rate in the child's case file at initiation and renewal.

9122 Training Requirement

- A. To be eligible to receive the special rate in behalf of a child in their care, the foster parent(s) must have successfully completed Foster Parent Scope training provided by the Division of Licensed Resources (DLR).

- B. Under the provisions of chapter 2000, section 2320, EXCEPTIONS TO POLICY/WAIVERS, the DCFS Regional Administrator or designee may waive the requirement for foster parent(s) to have successfully completed Foster Parent Scope training prior to receiving the special rate in behalf of a specific child. To obtain a waiver and pay the special rate, the DCFS social worker must ensure that the exception meets the following conditions:
 - 1. The waiver addresses the needs and best interests of the specific child in out-of-home placement for whom the waiver is requested, using the criteria contained in the *CA Case Services Policy Manual*, chapter 4000, section 4400.
 - 2. The waiver is specific to the child and the home in which the child is placed. If the child is moved to a different home, the waiver terminates.
 - 3. The waiver specifies the criteria used to justify waiver of the training requirement for the specific child and foster home; e. g., the foster parent has specialized training and experience to meet the child's needs.

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4. If the Regional Administrator or designee approves the waiver within 30 days after the date the social worker requests the waiver in writing, the waiver is valid retroactively to the date of the initial written request. If approved more than 30 days following the social worker's written request, the waiver will take effect on the date of the approving signature.
5. The waiver is time-limited, to a maximum of 6 months from the effective date or termination of the foster home license, whichever occurs first.
6. The waiver is renewable as long as the placement continues to meet the child's special needs and is in the child's best interest.
7. The waiver and any renewals must be in writing and documented in the child's case file, the child's federal revenue file, and the foster home licensing file.

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9123 Children with Behavioral/Emotional Problems

To be eligible for special rate foster care, children with behavioral/emotional problems need to exhibit at least three of the following behaviors, which are documented in the child's record:

- Recurring use of illicit drugs
- Regular overuse of alcohol
- Poor school adjustment and/or truancy
- Sexual acting out
- Frequent shoplifting and/or other theft
- Chronic running away
- Demonstrated property destruction in own home and/or foster home

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- Regular, frequent peer conflict which may require action by foster parent
- Significant sleep problems which may cause disruption in the normal sleep patterns of the foster parent(s)
- Destructive attention-seeking behavior which may demand extra attention by foster parent(s)
- Frequent noncompliance with requests of parent(s), foster parent(s), teacher, or other authority figures
- Failure to use normal cautions in using potentially flammable substances
- Soiling and enuresis over age six
- Extremely bizarre behavior, reflecting psychosis or other severe mental disorder

9124 Intellectually/Physically Challenged Children

To be eligible for special rate foster care, intellectually and/or physically challenged children need to exhibit at least two of the following dysfunctions, which are documented in the child's record:

- Requires physical assistance, inappropriate to the child's age, of foster parent in feeding, dressing, bathing, or toileting
- Needs the physical help of foster parent in order to be mobile
- Needs regular and organized physical therapy by foster parent under the orders/direction of a professional
- Needs medication administered by foster parent on a regular basis per physician's orders
- Needs physical assistance by foster parent for drainage of ileum conduit, colostomy

- Requires suctioning, mist tent, etc., care which is provided by a foster parent
- Non-ambulatory
- Epileptic child who has uncontrollable seizures
- Awaiting institutionalization placement
- Habitually wanders unless closely supervised
- Failure to thrive below third percentile
- Born addicted to drugs requiring additional care and support during the withdrawal period

9130 EXCEPTIONAL COST PLANS

9131 Standards

Exceptional Cost funds are used to enable children with highly individual needs to be cared for in the least restrictive setting. They are to be utilized only after all other potential sources of financial and other support for the needed services have been exhausted. Children with severe physical and/or intellectual impairments and those with acute emotional/ behavioral problems may need funds beyond the special rate in order to succeed in out-of-home care. These funds may reimburse foster parents for unusual, highly demanding activities/supervision they provide and for purchase of special services or supplies. Purchase of a foster parent's time/activities is always considered an exceptional cost plan (ECP).

9132 Training Requirement

- A. To be eligible to receive funds through an ECP on behalf of a child in their care, the foster parent(s), including at least one full-time staff in a staffed foster home, must have successfully completed Foster Parent Scope training provided by DLR.
- B. The DCFS Regional Administrator or designee may waive the training requirement. See chapter 2000, section 2320, for general waiver authority and section 9122, above, for steps to follow to obtain and document a waiver for exceptional cost payments.

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9133 Appropriate Uses

- A. The DCFS or private agency social worker may seek approval from the DCFS supervisor and Area Manager or other regional designee for an ECP when the child has unique documented needs which require unusual, very special care on the part of the foster parent and/or support services, equipment, and supplies. Before seeking approval of an ECP, the social worker needs to determine that the child's needs can be met only through an ECP.

- B. The social worker must document the plan and appropriate approvals in the child's case record before payment is made.
- C. The social worker and the supervisor must review the ECP at a minimum of once every six months and obtain approval of the Area Manager or other regional designee for continuation of the plan and payment.
- D. ECPs shall be limited to one child in each foster home. For more than one child in the home to receive ECP, the Area Manager and the Regional Administrator must review the proposed plans for each children to ensure that each child is in need of and will receive all authorized services, without duplication of payments to the foster parent. The Regional Administrator must approve such multiple ECPs; this authority may not be delegated to a lower manager.

9134 Regional Expectations

The Regional Administrator will determine the procedures by which these funds are authorized. The procedures will address the following:

- A. The prescribed form or format for documentation.
- B. The rationale/justification for additional funding for a specific child.
- C. The specific services being request through the ECP and the rate levels for each service. The services must be categorized as either Maintenance (direct care/supervision of child) or Non-Maintenance in order to obtain federal matching funds.

6. Should complete authorizations for input on a daily basis but shall complete them for input no less often than every fifth work day.

C. Social Worker Reports

Social workers or other designated staff shall use the following reports to monitor services and to track status:

| REPORT | NUMBER | RETENTION |
|---|---------------|------------------|
| <i>Worker Service Report</i> | SSPS032 | 1 month |
| <i>Expired & Expiring Service Tickler</i> | SSPS013 | 1 month |
| <i>Birthday Tickler</i> | SSPS039 | 1 month |

- D. Social workers initiate and maintain CAMIS placement information.
- E. Each social worker or other designated staff reviews the *Worker Service Report* (SSPS032) and:
 1. Identifies any services, providers, or clients he/she did not authorize.
 2. Identifies any unusual authorizations, unusual payments, or authorizations in the wrong amount.
 3. Resolves discrepancies or reports discrepancies to the immediate supervisor when resolution is not possible.
- F. Each social worker or other designated staff reviews the *Expired and Expiring Service Report* (SSPS013) and the *Birthday Tickler* (SSPS039) to identify services which need to be terminated, extended, or changed.
- G. Social workers and other designated staff participate in offered training.

9433 Input Staff Responsibilities

- A. Input should be done on a daily basis but shall be done no less than every fifth work day.
1. The input clerk or other authorized personnel initials, dates, and records the authorization number on the DSHS 14-154A or prints the CAMIS screen and initials and dates it. Assigned staff distribute copies as required. Assigned staff prioritize input with attention to the following deadlines: ACES, monthly invoice, expired services, and supplemental invoice.
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2. Social workers doing their own input print the CAMIS screen and sign and date the printed copy. The workers file one copy in the case file and give one copy to clerical support to use in checking the Transaction Listing. The social workers distribute other copies as required by regional or local procedures.
- B. Staff doing input must verify current enrollment for medical coverage before inputting medical authorizations.

101900 RESPONSIBILITIES FOR OVERSIGHT OF SUBRECIPIENTS

Contractors that receive federal financial assistance pass-through funds under a contract are considered subrecipients and must comply with the federal Single Audit Act. For a definition of "subrecipient," see Appendix A, DEFINITIONS. CA is responsible to obtain appropriate single audit reports from its subrecipients (contracted agencies), to provide contract monitoring, and to follow up any corrective action plans. Refer to DSHS Administrative Policy No. 16.07 for requirements regarding subrecipient oversight.

1011000 CONTRACT FILES

- A. The original, signed copy of the contract is retained by CA Division of Management Services, which is the Office of Record for all contracts.

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- B. The official CA file for each contract is located in the office of origin: headquarters or the regional office. The CA file contains a copy of the contract, all contract reports, correspondence, action requested and taken, and all other documents and records relating to the contract.

- C. File retention is according to the following schedule:

1. The Division of Management Services must retain all contract files for a minimum of four years past their end date if contract compliance has been satisfactory. Contract files will be maintained in Archives for an additional three years.
2. The Division of Management Services must keep contract files of contractors where there have been health and safety concerns, compliance issues, or audit findings indefinitely or for a minimum of four years following the end date, with the files retained in Archives for an additional three years.

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- b. If the child meets the AFDC-relatedness requirements, the child is eligible for IV-E matching funds during the first 180 days of placement.

D. Reimbursability

1. Once IV-E eligibility is established, a child is IV-E reimbursable if, in any particular month the child is in care, he/she meets a number of on-going criteria. Meeting all the following criteria qualifies the child for Title IV-E funds:
 - a. The court has entered a judicial determination that DSHS/DCFS made "reasonable efforts" to prevent the placement of the child; or
 - b. If the child was placed on a voluntary placement agreement, and the child has been in placement more than 180 days, the court must have entered an order by the 180th day of placement that continuation in care is in the child's "best interest"; and
 - c. The child is placed in the sole care and supervision of DSHS/DCFS; and
 - d. The child is under age 18, or under age 19 and in school full time and reasonably be expected to graduate before their 19th birthday; and

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- e. The child continues to be deprived of parental care and support in AFDC terms; and
- f. The child continues to be in financial need; and

- g. The child is placed in a licensed child care facility or in the home of a relative "certified" as meeting minimum licensing requirements.
 2. This is only a general overview of the IV-E eligibility criteria. The Eligibility Specialist assigned to each area has detailed information on claiming IV-E funds for children placed in department-paid substitute care.

11212 Other Eligibility Factors

A. Repeat Removals

Whenever the child is returned to the home of any biological or adoptive parent, or to the removal home of a specified relative other than the parent, with the intent that the parent assume the ongoing daily supervision and control of the child, the placement episode is terminated, even if court supervision continues. If the child is re-placed into out-of-home care, all the judicial protections and AFDC-relatedness criteria must be met in order for the child to again be eligible for IV-E reimbursement funds.

B. Guardianship

1. The entry of a guardianship order on any child in out-of-home care completes the permanent plan for the child; the Placement Episode must be closed effective the date of the guardianship order. If foster care maintenance payments will continue, the Placement Event remains open, and the source of funds is State Only.

2. In the event the child is re-placed into out-of-home care from the guardian's home, a new Placement Episode is noted in CAMIS. New "contrary to the welfare" and "reasonable efforts" judicial determinations must be obtained, even though the underlying dependency is still in effect. If the child is re-placed into care via a VPA, a court order (i.e., at a dependency review hearing) must be obtained by the 180th day of placement with the finding that it is in the child's best interest to remain in care.

C. Teen parent and infant residing together in same out-of-home facility

1. When a teen parent and infant reside in the same facility, the infant's "home" is considered to be his/her parent, NOT the foster home or other out-of-home care facility. A legal authorization-to-place is not required in order to include an amount sufficient for the infant's maintenance in the maintenance payment made for the teen parent, or to issue medical coupons for the infant. For protection of the infant, a dependency order placing the child in the temporary custody of DCFS may in some instances be appropriate.
2. Maintenance payments for teen parents residing with their infants shall be increased to also provide for the maintenance of the infant.
3. In every instance when the teen parent and infant are residing together, even if dependency is already established on the infant, a legal authorization-to-place must be obtained to keep the infant in out-of-home care should the teen parent's placement setting change so as not to include the infant.

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4. SSI Eligibility and IV-E eligible

Any child for whom a Title XVI/SSI application is in process or for whom SSI eligibility has been established and benefits are "in pay" must have his/her source of funds coded to "state only." Exception: If maintenance payments are high cost, IV-E funding may be substituted. Please refer to IV-E and SSI desk manuals for detailed information.

11213 Referral Procedures for Social Workers

- A. The social worker takes the following actions, or causes such actions to be taken, within 10 working days of a child's Original Placement Date (OPD).
1. Enter the appropriate child/family demographic profile information onto the child's "PERSONCARD" in CAMIS; and
 2. Enter all required information in the CAMIS Legal History (ACTNLA) and Placement (PLACECR) modules. (NOTE: CAMIS will not process any SSPS payments until the required information in 1 and 2 has been entered into the system); and
 3. For voluntary placement cases only, both parents sign and date a VPA. Unless legal custody resides with one parent, a good faith effort must be made and documented to have both parents sign the VPA. The social worker shall also sign and date the VPA.
 4. Transmit copies of the following items, on all children placed into department-paid substitute care, including licensed or non-licensed relative care, within 10 working days of the OPD to the FFS and/or Unit:

B. Re-determinations of IV-E Eligibility

1. Children who are eligible for Title IV-E funding shall have their eligibility redetermined semi-annually. The procedure replicates the procedure for new eligibility determinations, except that a new referral to DCS is not required if the Placement Episode has continued uninterrupted.
2. The information is recorded on the *Title IV-E Reimbursability Summary*, DSHS 14-298; that form, along with other supporting documents, is filed in accordance with the procedures outlined in the IV-E Eligibility Desk Manual.

C. Title XIX

Children who are eligible for Title IV-E funding are deemed eligible for Title XIX medical coverage.

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11215 Other Eligibility Processes

- A. Adoption Support -- See section 11420.
- B. Guardianships -- See section 11320.
- C. COBRA Medical -- See section 11450.

11220 TITLE II/RETIREMENT, SURVIVORS, AND DISABILITY INSURANCE

Retirement, Survivors, and Disability Insurance (RSDI) is a federal entitlement program for adults who have worked and become disabled, retired, or died. A child of an eligible parent may be a beneficiary for auxiliary benefits based on the parent's earnings record.

11221 Eligibility Factors

- A. Title II/RSDI benefits are paid before Title XVI/Supplemental Security Income (SSI).
- B. If a child's Title II/RSDI benefit is less than the current Title XVI/SSI payment and the child is also disabled, an SSI application should be made.
- C. There are no income or resource limits for Title II/RSDI benefits.
- D. Parental relationship(s) must be established prior to Title II/RSDI application.
- E. Title II/RSDI benefits remain with the child regardless of the adoption or termination of parental rights, provided that application for the child's benefits was made prior to finalization of adoption, pursuant to Washington state inheritance law.
- F. If Title II/RSDI has been established prior to a child coming into DSHS care, the SSIF will request that DSHS be made the Representative Payee, if placement will exceed 90 days.
- G. If a Title II/RSDI application is needed, the SSIF will call the Olympia Branch Office to make an appointment for a teleclaim application with the local Social Security Administration (SSA) office.

11222 Referral Procedures for Social Workers

- A. Social workers refer to the SSIF/Federal Funding Unit (FFU) all children in placement who are known or suspected to be receiving Title II/RSDI, Title XVI/SSI, or VA benefits, so that a change in representative payee can be made to "DSHS - Trust Fund Unit."

11251 Regional Responsibilities for Behavior Rehabilitation Services/Group Care

As part of the tasks necessary for managing Title XIX Medicaid services, the Regional Administrator will implement procedures to determine which children are placed in BRS/GC each month.

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11252 Eligibility Factors for Behavior Rehabilitation Services/Group Care and Therapeutic Child Development

- A. The child must be categorically needy Medicaid eligible; AND
- B. For BRS/GC and TCD, a licensed medical practitioner must determine that the services are "medically necessary" for the child to function at his/her best possible level.
 - 1. All children with a Social Security number or, for whom application for a number has been made, in out-of-home placement are considered categorically needy and, as such, are Title XIX Medicaid eligible.
 - a. A child receiving BRS/GC in his/her own home may be Title XIX Medicaid eligible as determined by the DSHS Community Service Office (CSO). For a child receiving BRS/GC in his/her own home, the DCFS social worker is responsible for referring the child and his/her family to the CSO for the Medicaid eligibility determination.

- b. For a child residing in his/her own home and receiving TCD, the FSS verifies Medicaid eligibility using ACES. If a TCD child's Medicaid eligibility cannot be found in ACES, the DCFS social worker refers the family to the CSO for Medicaid eligibility determination.

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2. For BRS/GC, social workers provide documentation to support the need for this level of care following regional procedure.
 - a. Documentation is submitted to CA Headquarters at the time of the initial use of BRS/GC, when a break in service occurs, and annually thereafter. See the Title XIX Desk Manual for specific details.

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- b. The Individual Service Plan (ISP) or other documentation (e.g., psychological evaluation, medical records, etc.) is forwarded by Headquarters staff to the Nursing Care Consultant for review.
 - c. If the documentation supports the need for this level of care, a Statement of Medical Necessity is written and returned to the region.
3. The ISP ordinarily contains sufficient information to support the need for this level of care. The regional staff needs to avoid sending large amounts of information to Headquarters. If the ISP does not contain sufficient information to support the need for this level of care, the social worker will be contacted for further documentation; e.g., psychiatric evaluation, drug/alcohol evaluation, Individual Education Plan (IEP), etc.

4. In the event there is no ISP for the child, the worker will follow regional procedures as to which documents will be submitted. When Medicaid eligibility is received, the child is eligible for Title XIX reimbursement.
5. For TCD, the provider is responsible for submitting the statement of Medical Necessity to the FFS.

11253 Referral Procedures for Social Workers

Refer to the *CA Practices and Procedures Guide* for instruction in the use of Title XIX services:

- A. For Medical and Dental Services for children in out-of-home care, see chapter 4000, section 4517.
- B. For TCD, see chapter 4000, section 4504.
- C. For Personal Care Services, see chapter 4000, section 4526.
- D. For BRS/GC, see chapter 4000, section 4533.

11254 Procedures for Federal Funding Specialists

- A. The FFS determines eligibility for DCFS Title XIX programs.
 1. The FFS must verify Title XIX Medicaid eligibility for in-home services, using ACES, print the screen, enter the information onto the XIXELIG screen in CAMIS, and file the printout, including the date, in the child's revenue file. If a child is in a DCFS-paid placement, the child is automatically Medicaid eligible.
 2. The FFS must receive a Statement of Medical Necessity form, signed by a licensed medical practitioner, for TCD and BRS Title XIX services.

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- a. Statement of Medical Necessity forms indicate that the information is valid on the service begin date (SBD) for TCD and BRS/GC.
 - b. The FFS enters the information onto the XIXELIG screen in CAMIS and files the signed Statement of Medical Necessity (SMN) in the child's revenue record.
 - c. SMN forms must be received annually for as long as the child receives uninterrupted TCD or BRS/GC services.
- B. The FFS reviews and/or re-determines eligibility every 90 days. If TCD or BRS/GC services continue without interruption, then a new Statement of Medical Necessity (SMN) is required annually. See the Title XIX Desk Manual for exceptions.

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- C. The FFS maintains the CAMIS record and the child's Revenue File. See Chapter 13000, section 13410. CAMIS Title XIX information is entered onto the XIXELIG screen.
- D. For TCD, the FFS updates authorizations to correct source of funds as needed. If the child is not categorically needy Medicaid eligible, then source of funds (SOF) code 5, state funds, is used.
- NOTE: For TCD, if the family is required to make a co-payment but does not pay it, the SOF code must be 5.
- E. For TCD and BRS/GC, the FFS reviews/redetermines Medicaid eligibility every 90 days.
1. The FFS completes an ACES search for evidence of Medicaid eligibility, makes screen print, and files it in the child's revenue record.

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2. The FFS files the Statement of Medical Necessity forms received from service providers for TCD and the Nurse Care Consultant for BRS/GC in the child's Revenue File.

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3. The FFS must update TCD authorizations to correct SOF codes if eligibility ends. A signed and dated copy of the screen print must be filed in the child's Financial Revenue file and another copy forwarded to clerical staff if the SOF code changed.

11300 GUARDIANSHIPS

11310 TITLE IV-E

- A. On Title IV-E eligible and/or reimbursable children for whom dependency guardianship orders have been entered, pursuant to RCW 13.34.231, the Placement Episode shall be closed effective the date of the court order. The Placement Event, however, remains open if foster care maintenance payments continue.
- B. In every instance, the child loses Title IV-E eligibility upon establishment of a guardianship. The guardianship code and the date of the legal action that established the guardianship are entered into CAMIS. (NOTE: The child may still qualify for SSI or Title XIX funding; consult the Regional FFU for the correct funding source).
- C. A child removed from a guardianship and placed again into other department-paid substitute care always begins a new Original Placement Date (OPD).

1. Upon removal from the guardian's home, the initial removal order must contain a "contrary to the welfare" judicial determination. In addition, prior to reestablishing IV-E eligibility, the court must make a judicial determination that DCFS made reasonable efforts to prevent the placement.
2. Refer the case to the FFS for a new determination of Title IV-E eligibility, per section 11210.

11320 TITLE II/RSDI AND TITLE XVI/SSI

- A. Title II/RSDI and Title XVI/SSI applications are made for DSHS-paid foster parent/guardianship placements.
- B. Guardians must sign the *Authorization to Release Information*, SSA-827.
- C. DSHS is to be the representative payee for all children in DSHS-paid foster care/guardianships.

11330 TITLE XIX

Eligibility for Title XIX is not affected by guardianship status.

11400 ADOPTION SUPPORT

- A. All children for whom application for adoption support payments has been made shall have an adoption support specific funding source determination completed. (Note: The foster care funding source may or may not be applicable for adoption support payments.)

Telephone: (360) 902-8284
CAMIS ID: KEGK300
FAX Number: (360) 902-8213
Employer ID: 91-6001088

NOTE: Requests for disbursement can be made through CAMIS E-Mail to CAMIS ID: KEGK300

- C. When forwarding payments or correspondence to the Trust Fund Unit, the following information must be included:
1. Client name;
 2. CAMIS person ID;
 3. Client date of birth; and
 4. Client Social Security Number.

11900 FINANCIAL REVENUE RECORD ARCHIVING OR STORAGE

See chapter 13000, section 13920, for information regarding archiving and storage of Financial Revenue Files.

111000 FINANCIAL REVENUE FILE TRANSFER

See chapter 13000, section 13831, for information regarding transfer of Financial Revenue Files.

111100 RANDOM MOMENT TIME STUDY

111110 PURPOSE

The Random Moment Time Study (RMTS) is used to generate statistically valid statewide estimates of various activities performed by CA staff. The sampling procedure is designed to satisfy federal financial participation requirements for claiming matching funds for social service staff salaries and benefits and to provide audit documentation for state and federal review.

111120 PARTICIPANTS

All CA service and FFS workers participate in the time study. The RMTS contacts all service workers and eligibility specialists. Excluded from the sample, although their salaries and benefits are included in federal reimbursement, are students, interns, Home Support Specialists, support staff, intermittent staff, after-hours staff, Community Resource Program Managers, Social Workers 4, Social and Health Program Managers, and other management staff.

111130 HEADQUARTERS RESPONSIBILITIES

The RMTS Headquarters staff is responsible for the following actions:

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- A. Generate each quarter an RMTS contact list for each work day of the quarter. The contact list has three variables: Random Starting Time; Random Interval Time; and Random Employee List.
- B. Complete the telephone samples at the random moments.
- C. Gather through telephone contact or FAX mail the following information from the social service or financial revenue worker or the local RMTS coordinator.
 1. Status of the worker: on the job; on work break; position vacant; on job rotation or temporary assignment elsewhere.
 2. If on the job, the Headquarters staff informs the worker that an RMTS sample is being made.

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3. The Headquarters staff asks the worker for the code that best describes the worker activity at that moment. If a case specific activity is reported, the staff asks the worker for the following information: Case number; case name; SSPS primary placement payment code; legally free status of the child; and specific activity.
- D. The Headquarters staff completes the contact log with the information reported by the worker, enters it into the data base, and mails a copy to the RMTS coordinator.
- E. If a worker is unavailable for telephone contact, the Headquarters staff FAXes a contact log to the RMTS coordinator for completion by the worker. The worker completes the contact log in a timely manner so that the RMTS coordinator is able to FAX it back to Headquarters with 72 hours of the sample time.
- F. The Headquarters staff logs uncompleted contacts and follows up with the RMTS coordinator to ensure that contact logs are returned in a timely manner.
- G. On a monthly and quarterly basis, the Headquarters staff generates a survey data summary.
- H. The Headquarters staff updates the service worker list as worker employment status changes are reported by the worker's supervisor or RMTS coordinator.

111140 LOCAL OFFICE RESPONSIBILITIES

- A. The clerical supervisor is responsible for designating an RMTS coordinator and trained back-up coordinator.
- B. Social work supervisors are responsible for training social workers on the RMTS system and the code definitions, with Headquarters RMTS staff available to provide consultation and training to workers upon the supervisor's request.

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- C. The social service or FFS worker is responsible for the following actions:
1. Upon contact:
 - a. Report the appropriate code from the social worker activity code descriptions. See Random Moment Time Study Codes.
 - 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.
 2. If unavailable when a RMTS call was attempted, the social service or FFS worker, upon return to the work station, completes the contact log and promptly returns it to the local RMTS coordinator for return to the Headquarters staff within seventy-two (72) hours of the sample time.
- D. The local RMTS coordinator:
1. Updates the participating employee list quarterly, as requested by Headquarters RMTS staff.
 2. Uses the following procedures:
 - a. Receives the Headquarters staff phone contacts for workers and distributes for completion.
 - b. Follows through to ensure that the workers' complete the contact and FAX it back to Headquarters within 72 hours of the sample time.
 - c. Maintains a file for all completed RMTS contact logs. Files the RMTS contact logs in chronological order by date and time of contact. Retains the present and two previous quarters' completed contact logs.

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111150 REGIONAL ADMINISTRATOR RESPONSIBILITIES

- A. The Regional Administrator ensures that the clerical supervisor appoints a RMTS coordinator for each of the region's field offices. Social workers or any other DCFS staff person who may be sampled as part of the time study cannot be a coordinator.
- B. The Regional Administrator ensures that any change in RMTS coordinator is reported to the RMTS Headquarters staff by the responsible field staff person.

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111160 RMTS CODES AND DEFINITIONS

- A. When an RMTS observation contact is requested, social workers and FSS report to the Headquarters staff the activity code which best describes their activities at the moment of contact. If the activity is not specific to a child, the workers choose from Codes A, D, H, K, or L. If the activity is specific to a child, the workers choose from Codes B, C, E, F, G, I, or J, based on the definitions for the codes and the child's status.

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- B. Social workers and FFS use the RMTS codes and definitions contained in the *RMTS Codes and Definitions* publication when identifying activity.

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4. The department shall immediately terminate the probationary license if, at any time, the noncompliance for which the probationary license was issued presents an immediate threat to the health or well-being of the children.
 4. An existing license is invalidated when a probationary license is issued.
 5. At the expiration of the probationary license, the department shall reinstate the original license for the remainder of its term, issue a new license, or revoke the original license.
- C. The licenser staffs the case with founded CA/N and/or verified serious non-compliance with MLR (including those with unsuccessful corrective action measures) with involved DCFS and DLR staff, including the DLR CPS investigator, and appropriate supervisory and administrative personnel. The licenser formally informs all affected staff of corrective or stop placement actions.

D. Denial, Suspension, and Revocation

When considering denial, suspension, or revocation of a license, the licenser confers with the Regional Manager and the assigned Assistant Attorney General (AAG) to determine appropriate action and prepares a draft denial, suspension, or revocation (as applicable) letter for review by the AAG. The draft letter includes:

1. A concise summary of the CPS allegations (if applicable), RCW and/or MLR violations, findings, and conclusions.
2. Documentation of corrective action attempted, if appropriate.
3. Detailed citation of all applicable RCW/MLRs violated.

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4. Complete information advising the licensee of their administrative hearing rights, including the filing process and time-frames.
- E. Upon approval as to form and content by the AAG and the Regional Manager, the Regional Manager, as the regional licensing authority, signs and sends the final letter by certified mail to the licensee.
- F. In any adjudicative proceeding regarding the denial, modification, suspension, or revocation of any license, other than a foster family home license, the department's decision shall be upheld if it is supported by a preponderance of the evidence. RCW 74.15.130(3)

12600 SUPPORT SERVICES FOR AGENCIES

The children's agency licensor is available to licensee agency staff to provide assistance and consultation on appropriate interpretation of RCW, WAC, and CA manual compliance.

12610 TRAINING

- A. The children's agency licensor offers training and technical assistance on a regular basis to the agency executive director, board of directors, and/or the social service staff regarding the development and practice of the agency's policies and procedures consistent with RCW, WAC, and CA practice.
- B. The licensor advises a CPA director of FosterParentScope training resources available through CA and that private agency licensed foster homes are encouraged to attend. To be eligible for special rate or exceptional cost foster care payments, the private agency foster parents are required to successfully participate in FosterParentScope training. See chapter 9000, section 9122, for conditions under which the DCFS Regional Administrator may approve a waiver to the training requirement.

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**13100 CASE AND MANAGEMENT INFORMATION SYSTEM
AND CASE DOCUMENTATION**

- A. The Case and Management Information System (CAMIS) is the Children's Administration's (CA) automated case management system. CAMIS is designed to automate file information and provide reports regarding CA clients, providers, and licensees.
- B. The following table identifies tasks and procedures to be completed in CAMIS and staff responsible for their completion. The table will be updated as needed to reflect changes in CAMIS.

| TASK / PROCEDURE | JOB CLASS TO BE ASSIGNED CAMIS DATA ENTRY |
|--|---|
| 1. Searching statewide for information on clients/providers | All |
| 2. Entering all referrals made to the department | Regional / Local design |
| 3. Assigning referrals | Regional / Local design |
| 4. Creating case numbers | Clerical, plus other job classes for back-up if necessary |
| 5. Updating case status | Primarily clerical/supervisors |
| 6. Entering worker assignment history | Primarily clerical/supervisors |
| 7. Entering record location status | Regional / Local design |
| 8. Maintaining current data regarding ethnicity, language, name, social security number (for children in placement), and legal residential address | Regional / Local design |
| 9. Completing SSI eligibility records | SSI Facilitators, program managers, support staff |
| 10. Completing Title IV-E records | Eligibility Specialists |
| 11. Completing Title XIX records | Eligibility Specialist |
| 12. Completing risk and summary assessments/with findings in investigation module | Social Worker |
| 13. Creating and updating SSPS provider numbers and businesses | Clerical, plus other job classes for back-up if necessary |

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| TASK / PROCEDURE | JOB CLASS TO BE ASSIGNED CAMIS DATA ENTRY |
|--|---|
| 14. Tracking placement and legal history, legal status, and custody | Regional / Local design |
| 15. Creating and updating licensing records | Regional / Local design |
| 16. Creating and updating facility complaint records | Regional / Local design |
| 17. Creating and updating contracts | Regional design |
| 18. Entering and updating SSPS Authorizations | Regional / Local design (Authorized personnel only) |
| 19. Completing Service Episode Recording (SER) in CAMIS referral and case modules. | Social Worker, supervisor, financial service specialist, headquarters SSI staff |

C. The CA expectation is that all SER (narrative recording) will be completed in CAMIS for all case events/activities within a reasonable time following the occurrence of the event/activity, except for SER relating to the Blood Borne Pathogens Protection Plan. See the *CA Operations Manual*, chapter 5000, section 5700. The social worker will record SER to document activities related to a client's HIV status either by hand or typed and will maintain the SER in a sealed envelope in section VIII of the hard file.

1. **All Programs**

The social worker must do SER in CAMIS within a reasonable time after an event, activity, or contact occurs to ensure accuracy of recording, in no case more than 30 days from the date of the event or activity, on each and every case event or case activity. The social worker must document all case activity in the single case file for the client family.

a. Each SER recording includes the following:

i. **When** - Full dates (month/day/year) of when the event occurred.

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- ii. **Who** - Full names of persons present along with a recording of their roles in the case (e. g., "child's mother, Mary Smith"; "child's therapist, Jane Dow"; "Mary Smith's boyfriend, John Doe"; etc.) at least once on each page of recording, with the exception of foster parents, who will be identified by first name or as "foster parent." The social worker must not identify the foster parent with the foster parent's full name.
 - iii. **Where** - A description of location of event/contact; e. g., "Mary Smith's home"; "DCFS Office meeting."
 - iv. **Why** - A description of the purpose of the event/contact.
 - v. **What** - Include a behaviorally specific description of what occurred during the event/contact; e. g., "Mary Smith's breath smelled of alcohol."
 - vi. **Assessment** of event/contact may be included, together with the supporting facts or evidence that led to the assessment.
- b. The social worker may enter SER into CAMIS either individually as each event occurs or may enter as a summary of events. If the social worker enters a summary of events, the worker must include the same elements, listed in C.1.a above, that would be included in an individual entry. For example:

"DCFS social worker Sally Jones called the child's mother, Mary Smith, four times this week on 4/1/97, 4/2/97, 4/3/97, and 4/4/97. No one answered the phone for any of the prior listed phone calls."

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- c. The social worker must not make audio or video recordings of interviews. The social worker needs to refuse a request from another party to make an audio or video record of interviews, unless approved by the assigned Assistant Attorney General.
- d. To protect privileged communications between the social worker and the assigned Assistant Attorney General, the social worker must document in the SER only that a contact occurred with no indication of the substance of the contact.
- e. The social worker must convey respect for the subject(s) of interviews and events in the content of all SER. Language in SER describes events, sequence of events, and observations in a clear, objective, and behaviorally specific manner.
- f. The social worker uses CAMIS procedure "CASEACTN" to record SER until CA implements the procedure "DOCUMENT." At that time, the social worker will use the new procedure.
- g. The social worker does not have to print out forms and SER created in CAMIS and insert them into the service binder unless required to do so for purposes of public disclosure, legal discovery, archiving records, or when directed to do so by supervisory or administrative request, or regional procedure.
- h. Social workers, following the timely and accurate transcription of handwritten notes in CAMIS, may discard handwritten notes. The social worker must retain in the department file handwritten notes made during child interviews and notes made of collateral contacts regarding the content of the interview. The social worker needs to transcribe these notes into CAMIS while retaining the handwritten notes in the case file.

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- i. Social workers must not maintain "personal" files containing case information. The workers must maintain all case related information in the department's official client case file.

2. Child Protective Services (CPS)

If a supervisor has made an exception to the requirement that the face-to-face visit occur within 10 days from the date of referral, the supervisor shall note the exception using the CAMIS "CASEACTN" procedure until CA implements the "DOCUMENT" procedure.

- D. The Regional Administrator or Regional Manager, as applicable, is responsible for integrity of CAMIS data input.
- E. See Chapter 15000 for CAMIS/Information System standards and the *CAMIS User's Manual* for procedures related to use of the information system.

13200 INITIATING RECORDS

13210 INTAKE AND ASSESSMENT REQUIREMENTS FOR CPS

- A. The CA Intake social worker completes the CAMIS referral on any Child Protective Services (CPS) or other referral. Referrals that do not pass the sufficiency screen remain in CAMIS. Social workers record in CAMIS all other calls to Intake requesting information or consultation as "information only."
- B. The CPS social worker may initiate a service record inquiry by forwarding the *Report of Child Abuse and Neglect* to local office master files with sections A, B, and C completed. If no existing record is located, support staff request or create a new record according to local office procedures for all child victims or families of child victims passing the sufficiency screen.

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- D. The local office opens a single family case record for each family following a referral. When referrals involve only information and referral contacts, other activities of 30 minutes duration, or referrals that result in a screening decision that the family is not eligible for services, a case record binder is not created. However, intake and screening decisions are recorded in CAMIS.
- E. When a child in a sibling group is placed out of the home or legal proceedings are initiated, the local office establishes a CAMIS dash record for each child placed or for whom a dependency has been filed. Separate individual service record binders for children are only established for:
1. Children who are legally free;
 2. Children who have more than one DCFS social worker assigned to the family; and/or
 3. Children whose case plan is distinctly different from the case plan for their siblings.

13220 INTAKE AND ASSESSMENT REQUIREMENTS FOR CWS AND FRS

- A. The CA Intake social worker completes the CAMIS referral on any Child Welfare Services (CWS), Family Reconciliation Services (FRS), or licensing referral. The Intake worker retains CWS/FRS/licensing information and referral data in CAMIS. See chapter 15000, sections 15202 and 15214, and the *Practices and Procedures Guide*, chapter 4000, section 4100.
- B. The CWS, FRS, or licensing social worker may initiate a service record inquiry by forwarding the completed intake summary to local office master files. If no existing record is located, support staff initiate a new record according to local office procedures for cases requiring services other than information and referral.

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13230 RECORDS MANAGEMENT

State law requires that CA maintain records for services to children and their families as well as for licensed or approved providers and for persons who apply and are subsequently denied licensure or approval for service. RCW 13.34.130; RCW 13.50.010; RCW 26.33.330; RCW 26.44.030(12)

- A. The CA office, in accordance with local procedures, assigns a case number for each family, child, or licensing file as appropriate. The case number will begin with the two-digit office/county code, followed by a letter designating the type of case, and the case-unique number assigned by the local office. The letter prefixes are:
- "L" or "D" - Family/Parent File at regional discretion.
 - "D" -- Child with any dependency, voluntary, or CHINS legal actions.
 - "H" - Licensed Home or Facility
- B. The Regional Administrator, the Area Manager, and the DLR Regional Manager establish procedures for their respective areas of responsibility for support staff to build, assign a unique number, file, store, add volumes, secure, transfer, and retrieve social service records, with all inactive service records maintained in a central file location until transfer to the central Records Retention Center (RRC).
1. All closed social service records (other than those files for children whose parental rights were terminated) with closed services will be transferred to the RCC periodically. See Chapter 14000, Section 14345, for the retention schedule.
 2. Licensing files that were closed due to a revocation or denial of a license will be retained permanently in the local office.
 3. Closed records of children whose parental rights were terminated will be sent from the local office to state office adoptions staff for forwarding to State Archives. This includes records for children who were not subsequently adopted.

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- C. The local or regional DCFS or DLR office, as appropriate, maintains case records on all persons or providers licensed or certified by the department.

13231 Record Establishment

- A. When a case is opened/assigned pursuant to a written or CAMIS-generated referral, case numbers and record make-up are required for the following:
- Child Protective Services (CPS)
 - Family Reconciliation Services (FRS)
 - Child Welfare Services (CWS)
 - Child Day Care Services
 - Adoptions
 - Foster Home Licensing
 - Intra- and Interstate Home Studies
 - Federal Funding
 - Foster Home/Private Agency
 - Rehabilitative Treatment/Behavioral Rehabilitation Services/Group Care

13232 Definitions

For definitions relating to case file make-up, see Appendix A, DEFINITIONS.

13233 Master File/Case Record Clerical Responsibilities

Clerical support staff determines whether a DCFS client or DLR licensing applicant has an existing case number or file in the office and/or elsewhere in the state.

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13234 ACES

- A. Clerical support staff check the eligibility status of clients who are the subject of referrals or requests, using the Automated Client Eligibility System (ACES).
- B. A "Name Inquiry" in ACES must be performed. ACES will show **the most current** TANF eligibility status for a family. Assigned staff takes the following steps:
 - 1. Select the desired name, and if the person is "HOH" (Head of Household) the first screen that comes up will be the "ADDR" (address) screen.
 - 2. To see which CSO is handling the case, place cursor on first digit of CSO # in upper left corner of screen and press [F1] for a list of all CSOs and their corresponding numbers.
 - 3. Access the DEM1 (Demographic 1) screen to verify client's social security number, birth date, and ethnicity.
 - 4. Use the [F1] key to access additional screens explaining Race Code and Living Arrangement Code indicated on this screen.
 - 5. To get this information for the other members of the Case Unit, first press the [F11] key to display the Client Pointer associated with each client in the Case Unit.

13235 Birth Certificate

The birth certificate is used by clerical support staff. After logging into the BIRTH CERTIFICATE screen, the employee accesses Birth system, then Simple Search. The employee then inputs data that are available on referral (must have birth date) and prints a copy of the Birth Certificate of the child.

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13236 CAMIS Input

A. CASSTART

1. Clerical staff uses CASSTART and inputs the referral number for cases. CAMIS generates the next sequential number. Clerical staff opens the case. The date of opening is the date the referral was accepted or date of placement, whichever is earlier. Clerical staff inputs the file folder status and creates a file folder.
2. Cases can be created from referrals for only the following types of programs: CPS, CWS, FRS, and Home Studies.

3. Case Program Codes

- A - Adoptive Home Services
- C - CPS
- F - FRS
- H - Home Study
- I - Interstate Compact
- L - Licensing
- T - Adoption Support

The following two codes are not used to create cases, only for additional worker assignments on an existing, open case:

- U - Courtesy Supervision
- S - Service Inactive

3. Record Requests Without a Referral

- a. Using CASSTART to generate a case number without a CAMIS referral (e.g., Licensing, Adoptive Home Services, Interstate Compact, Adoption Support, etc.), clerical staff follow procedures regarding CPS/FRS status/opening and worker assignments. Either create or search for all family members and input data for clients, persons, etc., and input relationship codes. Follow procedures for updating/adding data in PRSNUP screen.

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- b. **Legally Free Children** - see chapter 15000, section 15206.
- c. **Courtesy Supervision** - see chapter 15000, section 15213.
- d. **Interstate Compact** - see chapter 15000, section 15214.
- e. **Federal Revenue File**

For every child residing in department-paid substitute care more than 72 hours (Saturday, Sunday & holidays excluded), the Master File clerk creates the hard copy Federal Revenue file at time of creation of the social service file, for placement cases, and at the request of the FSS for non-placement. The Master File clerk indexes the file to the child receiving services and enters the appropriate data in CAMIS.

- B. CASWRKDAT checks social worker assignment and date. If the information is incorrect, assigned clerical staff or the unit supervisor updates or deletes data as necessary.
- C. CASERELS screen adds, deletes, updates status of clients and relationships of clients. If birth date and Social Security number are not already input, clerical staff adds the data taken ACES. If all pertinent information is input, check for accuracy. Each person needs to be updated for language, ethnicity, LEP, and any corrections that need to be made to assure accuracy.
- D. **Dash Records**
 - 1. A dash number case is opened for each child in placement regardless of length of placement or for whom any legal action has been initiated, for hard copy and paperless files. If placement is less than 72 hours, excluding the weekend, a paperless file is generated in CAMIS. The status of the file will be pending. A hard copy federal revenue file will be made for each child in placements of over 72 hours excluding weekends and holidays.

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2. For teen parents and their infants residing in the same out-of-home care facility, a separate dash file IS NOT created for the infant. The infant is considered to be living with his/her teen parent, and a Placement Episode for the infant is not created in CAMIS. A legal authorization-to-place for the infant is not required when the teen parent and infant are residing together. An amount sufficient for the infant's maintenance is included in the teen parent's maintenance payment, and medical coupons are issued for the infant. Should the teen parent and infant be placed apart, or the teen parent leaves the home, it is at that point that Placement Episode is created, and a legal authorization to place the infant is required.

E. Existing Records

To connect a new referral to an existing case, on the command line staff uses CAMIS procedure CASREFCD. Staff answers "yes" to the two questions on the following screen to bring over caseworker and address. On the CASEUP3 screen, the worker follows procedures as in new case openings.

F. Case Closures

1. Refer to chapter 15000, section 15202. Completion of a Summary Assessment is required on all cases at closure that initiated as CPS. The social worker completes a Summary Assessment form on each case receiving the high standard of investigation at the conclusion of the investigation. The narrative recording, when required, will document all activities and responses to the referral as well as the basis for the assignment of risk.
2. For procedures for administrative support staff regarding case closure, see section 13850, below.

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13300 ADMINISTRATIVE RECORDS

- A. When personnel covered by the Public Assistance Bargaining Agreement or their family members are party to a CPS, FRS, CWS, child care license applicant or licensee, adoption applicant, or Participation Child Care referral or case other than as referrers, collateral contacts, or witnesses, an Administrative File may be created upon notice to the Regional Administrator. For personnel employed by CA, confidential administrative records are created.

- B. See chapter 15000, section 15204, for additional standards and procedures for establishment of administrative files.

13400 COMPOSITION OF CLIENT RECORDS

13410 SOCIAL SERVICE RECORD MAKE-UP

The service record contains separate sections placed in a binder and/or in CAMIS in the following order:

- A. **Section I - Case Activity Section**
 - 1. Section I contains:
 - a. The face sheet (optional);
 - b. Family assessment form;
 - c. Health and safety 90-day contact forms or SER recording;
 - d. Referrals for CPS, FRS, and CWS;
 - e. Referrals to law enforcement;
 - f. SER recording;
 - g. Summary Assessments;
 - h. Transfer summaries; and
 - i. voluntary service agreements or plans.

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2. If the face sheet form is used, it is stored directly under the Case Activity Section tab. All other case activity information or forms are placed in Section I in chronological order with the exception of voluntary service agreements or plans, which are placed behind a sub-tab in Section I titled *Voluntary Service Agreements/Plans*.

B. Section II - Placement and Legal Section

1. Section II contains:
 - a. The placement and legal history form;
 - b. DSHS law enforcement child transfer of custody documents;
 - c. All legal documents, including, but not limited to, pick-up orders, court petitions, voluntary placement agreements, and court orders;
 - d. Individual Service Plan (ISP);
 - e. *Guardian Ad Litem* (GAL) reports;
 - f. "Due diligence" documentation forms; and
 - g. Privileged communications with the Office of the Attorney General.
2. The placement and legal history form (if printed from CAMIS) is stored directly behind the Placement and Legal History Section tab. All other documents placed in this Section are filed chronologically, except for privileged communications.
3. Privileged communications are placed behind a sub-tab titled *Privileged Communications with AAG*.
4. Social workers may, at supervisory direction, divide all legal documents (except privileged communications) behind sub-tabs in this section titled *Child 1, Child 2, Child 3, etc.*

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C. **Section III - Child Health and Safety Section**

1. Section III includes all documents related to the child's health and education, including the Passport. This section contains:
 - a. Copies of the children's birth certificates;
 - b. Child drug/alcohol evaluations;
 - c. Documentation of the child's eligibility for Division of Developmental Disabilities (DDD) services;
 - d. The *Family Background and Medical Report*, DSHS 13-041; other health and education documents;
 - e. Rehabilitative services/group care documents;
 - f. School reports; and
 - g. Copies of the child's Social Security card.
2. The Passport for each child is filed directly under each child's sub-tab. Other documents in this Section are chronologically filed by child under sub-tabs titled *Child 1*, *Child 2*, *Child 3*, etc.
3. Sub-tabs are arranged in order of the establishment of the child's CAMIS dash number; e. g., Child 1 information is related to the child with a dash 1 number, etc.

D. **Section IV - Family Background Section**

1. Section IV contains:
 - a. All information and documents related to the child's ethnicity and cultural identity (except for Native American children); and
 - b. Limited English Proficiency (LEP) forms and information; and

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- c. Information relating to the search for relatives of the child (except for Native American children).
 2. The sub-tab titled *Ethnic and Cultural Information* includes the child's *Ethnic Identification Form* and all other ethnic and cultural information about the child and the child's family.
 3. The sub-tab *Relative Search* contains all information and forms documenting efforts of CA to locate relatives and determine the suitability or availability of relatives who are available to the child both for placement and/or ongoing family relationships (except for Native American children whose relative search information is filed under Section V - **Indian Child Welfare**).
- E. **Section V - Indian Child Welfare (ICW) Section**
 1. Section V contains all ICW documentation except legal documentation, which is filed in Section II. Documentation includes, but is not limited to:
 - a. A completed *Ancestry Chart Family Tree* for the child;
 - b. Correspondence with Tribes;
 - c. Local Indian Child Welfare Advisory Committee (LICWAC) staffing reports;
 - d. Notification to families, Indian organizations, and Tribes of potential Indian status; and
 - e. Relative search information for Indian children.
 2. The information in this Section is filed chronologically.
 3. When the ICW Checklist is utilized, it is filed directly behind the section tab.

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F. Section VI - **Service Reports and Correspondence Section**

1. Section VI includes, but is not limited to, the following documents:
 - a. Releases of information;
 - b. Reports regarding visits conducted by contractors;
 - c. Transportation reports made by contractors;
 - d. All correspondence; and all reports except those relating to Indian Child Welfare;
 - e. case aide reports; criminal history reports;
 - f. counseling reports on parents;
 - g. Crisis Residential Center (CRC) reports;
 - h. FRS/IFPS documentation reports;
 - i. Home support reports;
 - j. Law enforcement investigation reports;
 - k. Reports on contracted Phase II counseling;
 - l. Parenting class reports;
 - m. Parenting medical reports;
 - n. Parenting evaluation reports (e. g., drug/alcohol, psychiatric, etc.); and
 - o. Staffing reports.
2. Reports are filed in VI Section as follows:
 - a. Releases of information are filed chronologically directly behind the Section VI tab;

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- b. Contracted Visit reports and information are filed chronologically behind the sub-tab titled *Contracted Visits*;
- c. Correspondence is filed chronologically behind the sub-tab titled *Correspondence*;
- d. All other reports listed above are filed chronologically behind the sub-tab titled *Reports*; and
- e. Staffing reports are filed chronologically under the sub-tab labeled *Staffings*.

G. Section VII - Payment Section

This section contains all payment information, filed chronologically. This information includes, but is not limited to:

- 1. Exceptional Cost Plans/approvals;
- 2. Exception to Policy requests/approvals;
- 3. Federal funding information;
- 4. Home Based Services referrals/approvals;
- 5. Special rate documentation/ approvals;
- 6. Supplemental Security Income (SSI) eligibility documents; and
- 7. SSPS forms.

H. Section VIII - Other

- 1. Section VIII contains a three-hole punched envelope in which are filed the following documents or information:
 - a. The child's certified birth certificate;
 - b. The child's life book information and photographs;

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- c. Photographs from investigations;
 - d. The original copy of the child's Social Security card.
2. Photographs placed in this section are labeled and dated on the envelope as well as on the photographs.
 3. HIV information, including hand-written or typed SER on HIV case activities, is placed in a second sealed envelope and maintained in the case record.

13411 Federal Revenue File

The Federal Revenue File contains separate sections placed in a single folder/jacket for each federal funding source; i.e., IV-E, Title XIX, and Title XVI/SSI.

A. At a minimum, the child's Federal Revenue File contains:

1. Copy of *Coordinated Benefits Referral*, DSHS 14-226, when necessary;
2. Signed Statement of Medical Necessity form(s);
3. Copy of ACES inquiry;
4. Document eligibility decision in either CASEACTN or PRSNACTN; and
5. Copy of COPCR for Source of Funds (SOF) Correction of Payment Action(s).

B. The IV-E Section

The contents of the IV-E section are placed as follows:

1. The left side of the jacket contains copies of all placement vendor licenses, CASEACTN/PRSNACTN narrative or notes (SER), copies of PLCHIST or DSHS 15-192, and the *Adoption Support Monitoring Schedule*, DSHS 14-319, all placed in chronological order with the oldest on the bottom.

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2. The right side of the jacket contains all other documents in ascending order. See chapter 11000, section 11200, for minimum documentation/verification requirements.

C. The Title XIX Section

The Title XIX/Medicaid section is identified with a separate cover sheet.

1. The contents are assembled in chronological, ascending order with a prong paper fastener.
2. See chapter 11000, section 11200, for minimum documentation requirements.

D. The Title XVI/SSI Section

The Title XVI/SSI section is identified with a separate cover sheet.

1. See chapter 11000, section 11200, for minimum documentation requirements.
2. The contents are assembled, as they are processed in the initial application, reapplication, and appeal processes, with a paper fastener.
3. Once favorably adjudicated, award letters and recertification documentation are added chronologically on top. Following local protocol, the Child Placement and Legal History form is placed on top of the SSI section.

13412 Assembly of Folders

A. Color-Coded Terminal Digit System

1. Basic number contains six digits, plus a suffix.
2. The first digit in the secondary group determines the color of the case record folder/binders(s). The Regional Administrator has the option to determine the color scheme in the region, although the following chart is the standard to determine the folder/binder color needed.

| Folder Number | Color |
|---------------|--------|
| 0 | White |
| 1 | Red |
| 2 | Yellow |
| 3 | Pink |
| 4 | Green |
| 5 | Brown |
| 6 | Blue |
| 7 | Orange |
| 8 | Violet |
| 9 | Tan |

3. The suffix, beginning with "dash 1," is assigned to the child or sibling group following age chronology, except that, when a younger child is placed prior to older siblings, the child placed first receives the "dash 1," suffix.
4. For in-home dependencies, see chapter 15000, section 15202.

B. Folder/Binder Labels

Support staff do the following when preparing folder labels:

1. Use red-bordered labels and numbered digits to identify Financial Resource folders. The region may display other identifiers consistent with local protocol.
2. Use purple-bordered labels for adoptive home and licensing records.
3. Use blue-bordered labels for facility child abuse and neglect investigation records.
4. Use green-bordered labels for all other CA files.
5. Type under the color border the custodial parent(s):
 - a. Last name in capital letters, first name, middle initial;
 - b. Basic number and suffix.

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C. Folders/Binders

Support staff preparing folders or binders, on the front of the folder or binder, print the basic number, including the program letter code prefix, in two-digit columns down the right side, including the suffix on foster child folders. For LEP or Indian Child Welfare (ICW) cases, "LEP" or "ICW" must be clearly printed on the front of the case folder/binder.

D. Routing Folders/Binders and Documents

Clerical staff forwards the case record folders or binders and clearance documents to the assigned social worker or financial staff.

13500 LICENSING RECORDS

Each Regional Manager will require the maintenance of Family Foster Home, Rehabilitative Treatment Services/Group Care, Child Placing, and child day care home and center licensing files, as applicable, in standard sections to facilitate consistency and orderliness of files. The licensor maintains a separate file for each program license for every agency. See section 13712 for information relating to disclosure of information in licensing files.

13510 FILE STRUCTURE

- A. The Office of Child Care Policy (OCCP) shall establish its own standards for licensing file make-up. The following standards apply to residential and child placing licensing files.
- B. The Office of Foster Care Licensing (OFCL) shall use the standards contained in this section.
 - 1. The OFCL licensor will file all documents in six-section folders as described below.
 - 2. The documents in each section are to be attached to the folder.

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3. If additional volumes are required, the order will continue by section order; e.g., Volume I contains sections A, B, and C, while Volume II has sections D, E, and F.
4. The licenser places current documentation on top of each section.

13511 Section A - Licenses, Applications, and Related Documents

This section contains the following materials in the order outlined:

- A. A signed copy of the current license and cover letters;
- B. The most recent application form, followed by prior applications. Attachments to the application are filed in Section E;
- C. Exception Requests;
- D. Waivers;
- E. Audits, Reviews, Monitoring Reports.

13512 Section B - Service Episode Record (SER)

- A. Ongoing narrative regarding contacts, problems, changes made in the home or facility, and other information, including renewal assessments, is added to this section chronologically, with the most recent on top.
- B. The home study and autobiography, placed chronologically within the SER.

13513 Section C - Personnel Documentation

Documentation related to licensee personnel, including references for the applicant/licensee and staff, resumes, and criminal history clearance documents.

13514 Section D - Complaints and Corrective Actions

This section contains documentation related to reports of incidents:

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- A. Incident Reports;
- B. Complaints, Findings, Deficiencies, including copies of CPS and licensing allegations and results of investigations;
- C. Conclusions and/or Corrective Actions;
- D. License Letters of Modification, Suspension, Denial, Revocation.

13515 Section E - Application Attachments and Inspection Reports

This section includes items that accompany the application and other forms completed during the licensing process. The following are examples of documents appropriate for inclusion in this section:

- A. Discipline Policy, Evacuation Plan, Medical Plan, Statement on Religion, Training Plan, Articles of Incorporation if applicable, Personnel Policies.
- B. For foster family homes: Confidentiality Statement, Child Care Agreement, Public Disclosure information, verification of TB tests, First Aid/CPR, documentation of attendance at HIV/AIDS classes.
- C. Fire Inspection, Health and Safety Inspection Reports, and Licensing Checklists, with the most current checklist placed at the beginning.

13516 Section F - Miscellaneous Correspondence, Financial, and Training

- A. Correspondence that does not properly fit into the other sections.
- B. Payment forms (Provider File requests, SSPS forms, respite payment forms, etc.).
- C. Documents that a licensee or the department provides to verify training.
- D. License Letters of Modification, Suspension, Denial, Revocation.

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13600 GENERAL RECORD MAINTENANCE

13610 FILING RECORDS

Clerical staff in each CA office have a choice of using a numerical or alphabetical filing system. The filing of loose documents in a closed file is a clerical function, only after the file folder has been placed in closed files.

13620 CREATING ADDITIONAL VOLUMES

- A. Staff requests that clerical staff split a financial or social service record into additional folders (volumes) when the contents exceed the space allowance of the folder (approximately one inch). Clerical staff labels the original folder "Volume 1" and assigns the next chronological number to each additional folder; e.g., "Volume 2," "Volume 3," etc.
- B. Clerical staff enters status, type, name, and each additional volume in CAMIS and notes on the file folder the volume number.

13700 RECORD ACCURACY, PRIVACY, AND DISCLOSURE

This section addresses maintenance of accurate records, personal privacy, and disclosure and nondisclosure of CA records, including licensing records. These topics are inter-related, with accuracy of information being a significant element.

13710 EXPECTATIONS FOR ACCURACY

Information in social service records must be complete and accurate, to the best ability of assigned social work or other staff, 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. The Regional Administrator and the Regional Manager are responsible, in their respective areas, for the integrity of data in electronic and paper files.

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13720 PUBLIC DISCLOSURE

- A. The Public Records Act, chapter 42.17 RCW, governs access to and disclosure of public records. CA is required to make identifiable public records promptly available for inspection and copying upon request by any person, unless nondisclosure is required or authorized by law. RCW 42.17.280
- B. CA and its employees are immune from liability for any loss or damage based upon the disclosure of a public record if the agency or employee acted in good faith in attempting to comply with the provisions of the law. RCW 42.17.258
- C. See Appendix A, DEFINITIONS, for the definition of "Public Record" and "Writing."

13721 Public Disclosure Responsibilities

- A. The Director, Division of Program and Policy Development, is the designated Public Disclosure Officer for Children's Administration.
- B. Each Regional Administrator and Regional Manager, as applicable, designates a public disclosure coordinator for the regional office and for each local office. The coordinator, upon request, assists the public or department staff in disclosure matters for that administrative unit.
- C. The regions will respond to all day-to-day or ordinary public disclosure requests. However, regional public disclosure coordinators shall not respond to the following requests and shall immediately route such requests to the headquarters public disclosure coordinator for response.
 - 1. Requests for reports collected at the state office; for example, statewide Health and Safety Report, CAMIS reports generated at the state office level.
 - 2. Requests for information from more than one region where consistency of information is necessary.
 - 3. Especially sensitive issues are best handled at Headquarters:

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- a. Requests from the media, including, newspapers, television, and radio;
 - b. Requests from attorneys, which may involve potential lawsuits;
 - c. Requests from legislators;
 - d. Requests which reference SSB 5770, Confidentiality of Child Welfare Records.
 - e. Requests involving "hot" cases or those generating controversy in the community; and
 - f. Other cases which may be of a hostile nature or where there is need for headquarters staff and Media Relations to be aware of the request.
- D. When there is a question about whether the preparation should be done at the regional or headquarters level, the regional public disclosure coordinator will consult with the headquarters public disclosure coordinator at (360) 902-7901.
- E. Public disclosure coordinators are to consult with assigned AAG whenever an issue regarding the release of information is not clear.

13722 Public Disclosure Guidelines

CA staff shall comply with the provisions of WAC 388-320-100 and DSHS Administrative Policy 6.14 to make available all disclosable public records. Staff are not required to create information or material. Among the requirements of the WAC are the following:

- A. When information is requested under chapter 42.17 RCW, the public disclosure coordinator must respond within five working days. Therefore, for the those requests described in section 13721, paragraph C, above, the regional public disclosure coordinator or other designated staff must be immediately faxed to the attention of the CA Headquarters Public Disclosure Coordinator at (360) 902-7903.

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- B. The designated public disclosure coordinator's response may be to:
1. Provide the requested material; or
 2. Provide the requester with an anticipated date when the division will provide the material.
 3. Deny the public record request.
- C. The public disclosure coordinator may require additional time to respond to a request, based upon the need to:
1. Clarify the intent of the request;
 2. Locate and assemble the information requested;
 3. Notify third persons or agencies affected by the request; or
 4. Determine whether any of the information requested is exempt and that a denial should be made as to all or part of the request.
- D. In acknowledging receipt of a public record request that is unclear, the public disclosure coordinator may ask the requester to clarify what information the requester is seeking. If the requester fails to clarify the request, the public disclosure coordinator need not respond to it.

WAC 388-320-100

13723 Requests for Disclosure

A request for disclosure of a public record may be oral or written and must be made during customary business hours. WAC 388-320-130

13724 Preserving Requested Records

If a public record request is made at a time when such record exists but is scheduled for destruction, the department shall retain possession of the record and may not destroy or erase the record until the request is resolved. WAC 388-320-132

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13725 Approval or Denial of Request

- A. The public disclosure coordinator shall grant a request for a record which does not contain exempt information and shall disclose the record.
- B. The public disclosure coordinator shall grant, in part, a request for a record which contains information that is exempt when the exempt information can be deleted so release of the remainder of the information does not violate privacy or "vital government interest," as determined by the CA Public Disclosure Officer. When a record is released with exempt information deleted, the public disclosure coordinator will make notations so the nature of the deleted information is made known.
- C. The public disclosure coordinator will deny a request for a record which contains information that is exempt when the exempt information cannot be deleted and the remainder released without violating privacy or vital government interest.
- D. The public disclosure coordinator shall deny a request for a list of individuals requested for commercial purposes unless it is in an index available to the public, as authorized by RCW 42.17.260(6).
- E. The public disclosure coordinator shall accompany a denial of a request for disclosure with a written statement of the specific exemption authorizing the withholding of the record, or part of the record, and a brief explanation of how the exemption applies to the record withheld.

WAC 388-320-133

13726 Disclosure to Client's Representative

- A. When a representative designated by a client requests the client's record, the request must be accompanied by a written release signed by the client, except when that representative is a legislator or an attorney for the client. The written release must include the following:

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1. The identity of the person(s) or organization(s) to whom disclosure is to be made;
 2. An identification of the record, or portion thereof, to be disclosed; and
 3. A statement of when the authorization for disclosure expires.
- B. The legal guardian of a client has any and all rights accorded to a client by this section.

WAC 388-320-135

13730 COST OF DISCLOSURE

13731 Inspection

Children's Administration shall charge no fee for the inspection of public records.

WAC 388-320-140

13732 Collection of Fees

The disclosing office shall collect the following fees to reimburse itself for costs incidental to providing copies of public records:

- A. The actual cost of printing manuals and manual revisions;
- B. The actual cost of copying blueprints and like materials involving an extraordinary expense;
- C. Twenty-five cents per page for black and white photocopies; and
- D. The cost of postage, if any.

The requesting party must submit the required fees to the public disclosure coordinator within one work day of the request for disclosure and before the records are disclosed.

WAC 388-320-140; RCW 42.17.260

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13733 Fee Waivers

- A. When the department is a party in an administrative hearing, the public disclosure coordinator shall authorize free copying of records from a department file when the records are demonstrated to be relevant and the client is indigent.
- B. The public disclosure coordinators are authorized to waive fees. Factors considered in deciding whether to waive fees include:
 - 1. Providing the copy will facilitate administering the program; and/or
 - 2. The expense of processing the payment exceeds the copying and postage cost.

WAC 388-320-140

- C. The disclosing office coordinator shall not charge for locating public documents and making them available for review or copying.

RCW 42.17.300

13740 PROTECTION OF PUBLIC RECORDS

Public records shall be disclosed only in the presence of a public disclosure coordinator or his/her designee, who shall withdraw the records if the person requesting disclosure acts in a manner which will damage or substantially disorganize the records or interfere excessively with other essential functions of the department.

WAC 388-320-170

13750 DISCLOSURE PROCEDURE

- A. The public disclosure coordinator reviews file materials prior to disclosure.
- B. If the file does not contain materials exempt from disclosure, the public disclosure coordinator ensures full disclosure.

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- C. If the file does contain materials exempt from disclosure, the public disclosure coordinator denies disclosure of those exempt portions of the file and, at the time of the denial, clearly specifies in writing the reasons for the denial of disclosure, including a statement of the specific exemptions or the reasons authorizing the withholding of the record and a brief explanation of how the exemption or reason applies. The public disclosure coordinator full discloses the remaining non-exempt materials.

WAC 388-320-205

13760 REVIEW OF DENIAL OF DISCLOSURE

If the person requesting disclosure disagrees with the decision of a public disclosure coordinator, the person may petition the department's public records officer for review of the decision denying disclosure. The form or letter used by the public disclosure coordinator to deny disclosure shall clearly indicate this right of review. RCW 42.17.320; WAC 388-320-210

13770 NON-DISCLOSABLE PUBLIC RECORDS

The following records are exempt from disclosure to the extent provided by the applicable statute:

- A. Personal information in any file maintained for clients of public institutions or welfare recipients. RCW 42.17.310(1)(a)
- B. Information regarding applicants and recipients of public assistance. RCW 74.04.060; 42.17.310(1)(a)
- C. Juvenile justice or juvenile care records. Chapter 13.50 RCW
- D. Alcohol and drug abuse patient records. 42 CFR 302.18
- E. Records concerning applicants or recipients of support enforcement activities. 45 CFR 302.18; RCW 74.13.121
- F. Adoption and voluntary termination of parent-child relationship records and financial information received from adoptive parents. Chapter 26.33 RCW; RCW 74.13.121

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- G. Division of Child Support information regarding location of parents. RCW 74.20.280
- H. Mental illness and inebriacy records. RCW 71.05.390
- I. Records of patients and inmates of state institutions. RCW 72.01.290
- J. Records maintained by rape crisis centers. RCW 70.125.065
- K. Personal information in files maintained for an employee or volunteer of the department. RCW 42.17.310(1)(b) and (u)
- L. Information revealing the identity of persons who are witnesses to or victims of crime or who file complaints with investigative, law enforcement, or penology agencies, other than the Public Disclosure Commission, if disclosure would endanger any person's life, physical safety, or property. If at the time a complaint is filed the complainant, victim, or witness indicates a desire for disclosure or nondisclosure, such desire will govern. RCW 42.17.310(1)(e)
- M. Preliminary drafts, notes, recommendations, and intra-agency memoranda in which opinions are expressed or policies formulated or recommended, except that a specific record is not exempt when publicly cited by the department in connection with any action. RCW 42.17.310(1)(i)
- N. Records relevant to a controversy to which the department is a party but which would not be available to another party under the rules of pretrial discovery for causes pending in superior courts. RCW 42.17.310(1)(j)
- O. Information that identifies a person who, while an agency employee:
 - 1. Seeks advice, under an informal process established by the employing agency, in order to ascertain his or her rights in connection with a possible unfair or discriminatory practice under chapter 49.60 RCW against the person; and
 - 2. Requests such person's identity or any identifying information not be disclosed.

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13780 QUALIFICATIONS ON DISCLOSURE

The following limitations are placed on disclosure of public records:

- A. To the extent that non-disclosable information can be deleted from the specific record sought, the remainder of the records is disclosable.
- B. Statistical information not descriptive of identifiable persons is disclosable. RCW 42.17.310(2)
- C. Inspection and copying of specific records otherwise non-disclosable is permissible pursuant to an order of the superior court or an order of the Office of Hearings enforcing a subpoena. RCW 42.17.310(3)
- D. Upon written request of a person properly identified as a law enforcement officer with a felony arrest warrant or a properly identified United States immigration official with a warrant for an illegal alien, the department shall disclose to such officer or official the current address and location of the person described in the warrant. RCW 74.04.062
- E. Any person may inquire of the department whether a named individual is a recipient of public assistance. RCW 74.04.060
- F. Any records of the department may be made available for research purposes provided that the research complies with the guidelines published by the department as Administrative Policy 12.01 in response to 45 CFR 46.103 and chapter 42.48 RCW. Any CA staff receiving a request for data or information for research purposes shall refer that person to the Director of Management Services. WAC 388-320-225

13790 DISCLOSURE FOR PROGRAM AND OTHER PURPOSES

- A. For purposes directly related to the administration of department programs, information shall be disclosed between offices of the department, unless prohibited by 45 CFR 205.50 or other law.

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- B. For purposes directly connected with the administration of department programs, information may be disclosed by the department to outside agencies, unless disclosure is prohibited by law. Agencies or individuals receiving such information are subject to the same standards of disclosure as are required of the department.
- C. To the extent not otherwise prohibited or authorized by law, inquiries from agencies outside the department will be honored only if written and only if the client's authorization is included in the request.

WAC 388-320-240

137100 DISCLOSURE AND PRIVACY

- A. If the public disclosure coordinator determines that a record falls within one or more of the exempt categories in RCW 42.17.310(1), information must nevertheless be disclosed unless disclosure would violate a person's right to privacy or impair vital government interests.
- B. A person's "right to privacy," "right of privacy," "privacy," or "personal privacy," as these terms are used in the statute, is invaded or violated only if disclosure of information about the person:
 - 1. Would be highly offensive to a reasonable person; and
 - 2. Is not of legitimate concern to the public.

RCW 42.17.255

- C. Both prongs of the above test must be met in order to deny disclosure of information or records on privacy grounds. Because individuals who are the subject of public records may not realize that the privacy rights protected under the law are so limited, the public disclosure coordinator may notify third parties who are the subject of a record prior to disclosure.

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- D. Prior to releasing any record, the public disclosure coordinator has the option of notifying persons named in the record that release of a record has been requested. The coordinator must notify persons whose names appear in requested records if specifically required to do so by an applicable law. RCW 42.17.330

137110 PRACTICE CONSIDERATIONS

- A. The social worker provides, subject to the constraints outlined above, a copy of all case file information, relevant to a court proceeding, to a child's parent(s), guardian, legal custodian, or legal counsel. Information which the department reasonably expects to introduce to support the petition is considered relevant. The social worker will provide a copy, free of charge, within 20 days of a written request or prior to the Shelter Care Hearing, whichever is sooner.
- B. Clients with proper identification have the right to look at their records if they request to do so. They also may challenge the accuracy, completeness, or relevance of statements. Sources of CPS complaints remain anonymous, and their names must be purged from the record prior to the client's review.
- C. The social worker offers language interpreter services to clients who are unable to read the case record information.
- D. All material presented at a dispute hearing is open to examination of the client and his/her representatives, even though such material would ordinarily be considered confidential.
- E. Staff subpoenaed to appear in court shall not take the social service record unless it is also subpoenaed, at which point the social worker consults with the assigned Assistant Attorney General.
- F. No individual shall make available outside the department a partial or complete list of service recipient names or address. Social Service Payment System (SSPS) reports containing client identifiers are confidential.

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- G. For adoption records, after the petition for adoption is filed, information, except medical reports, in the child's record may be released only by written order of a Superior Court.
- H. With respect to the service records of children and youth who are under the jurisdiction of the court, the requirements outlined in the *Case Services Policy Manual*, Chapter 2000, section 2150, are to be followed.

RCW 13.50.100

- I. If a juvenile, his/her parents, or their attorney makes a written request asking the department about the existence and content of custody, or care records, the Area Manager completes the following steps.
 - 1. Makes written response to the inquiry within 10 working days after its receipt. The department provides to the juvenile, the parents, or attorney making the inquiry information regarding the location, nature, and content of any records in the department's possession. A juvenile, the parents, or the attorney, wishing to challenge the information contained in the department records, must notify the department in writing, providing:
 - a. The name of the juvenile.
 - b. A statement of those portions of the record alleged to be inaccurate.
 - c. If retention of the record is being challenged, a statement as to why the record should be destroyed.
 - 2. Reviews the notification of challenge and responds in writing within 30 calendar days. The response will indicate the corrections which have been or will be made or shall state the basis for denial of any requested corrections. If appropriate, the response will also include a statement indicating whether the records have been destroyed or transferred to another juvenile justice or child care agency.

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3. Notifies the juvenile, the parents, or their attorney that, if they dispute the department's response, they may seek an administrative review of the decision as provided in the Administrative Procedure Act.
- J. CA staff removing records to an alternative work site must maintain security and confidentiality of information contained in records. To maintain security and confidentiality, information contained in CAMIS will be printed only at department work sites.

137111 Client Records

- A. The following records are disclosable only to the client (the child's parent or legal designee, child or custodian-parent of a child under 18, legal representative of a child).
1. The CPS record, except that the name and other identifiers of the referrer of alleged CA/N may be removed prior to disclosure.
 2. CWS or FRS records.
 3. Juvenile court records or juvenile court documents contained in DCFS files.

RCW 13.50.100

When a non-custodial parent requests information from a child or family record, the public disclosure coordinator consults with the Assistant Attorney General (AAG) prior to releasing the information to determine criteria for release.

- B. The information in paragraph A above may be shared with other public agencies subject to the same rules of confidentiality as CA. For example, information from a CPS or CWS record may be provided to a contractor who is providing counseling or evaluation of a child/ family or shared with Child Protection Teams (CPT) or Local Indian Child Welfare Advisory Committees (LICWAC).

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137112 Licensing Files

- A. Unless non-disclosure of particular information is required or authorized by law, licensing record information must be disclosed upon request. Most information contained in licensing records is disclosable. However, licensing records frequently contain information that is confidential or exempt from disclosure requirements.
- B. The public disclosure coordinator or other designated staff will review requested licensing records and identify non-disclosable information in accordance with these guidelines. Staff will redact (remove) non-disclosable information from the record. The public disclosure coordinator will make remaining disclosable information available to the requester for inspection and copying or provide a copy to the requester.
- C. Whenever disclosure of information is denied, the public disclosure coordinator will provide a written explanation to the requester, identifying the information for which disclosure is denied and the specific statutory basis for the denial.
- D. The following table identifies disclosable and non-disclosable information in agency licensing files:

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CHAPTER 13000—RECORD/PAPERWORK MANAGEMENT

| Disclosable Information | Non-Disclosable Information |
|--|---|
| Relevant information regarding licensing action resulting from a CPS investigation | Medical reports, including counselor evaluations or reports and autopsy reports (RCW 70.02 RCW) |
| Self-reported information regarding criminal charges or convictions. | Criminal history and background checks (RCW 74.15.030; 43.43.832; 43.43.834; 43.43.838) |
| Fact that there was a CPS complaint and that it was determined to be unfounded | Content of unfounded CPS complaints (RCW 26.44.010) |
| Complaints/concerns other than CPS complaints and licensing actions taken in response | Attorney-client communications (RCW 5.60.060 and case law) |
| For founded CPS complaint, information regarding incident that led to licensing issue, along with documentation of licensing involvement/action | Actual CPS complaint/report. Information on false complaints if compiled in the course of investigation by DSHS or law enforcement and essential to protect any person's right of privacy (RCW 42.17.310(1)(d)) |
| Incident reports, with identifying information regarding the youth removed | Addresses, Social Security numbers, telephone numbers, and income of licensees (RCW 42.17.310; 74.04.060) |
| Names, addresses, and telephone numbers of individuals providing references | Content of reference letters |
| Letters of revocation, following removal of identifying information regarding youth in the home and five-days written notice to the subject provider | Personal/private information that would be "highly offensive to a reasonable person," not of legitimate concern to the public, and is part of an investigative record, including information gathered in the course of the <u>initial</u> application process |
| Police reports, with names of youth deleted | Case history information regarding the youth or family of the youth placed in a home (RCW 13.50.100) |

E Personal Information in Licensing Files

The release of personal and private information is a sensitive issue, and decisions about releasing too much or too little information are difficult. When a question regarding the release of personal and private information arises, the coordinator needs to consult with the assigned AAG.

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F Personal and Private Information

The following table provides examples of personal and private information that CA has released and examples of such information that the agency has declined to release.

| Information Released | Information Not Released |
|---|---|
| Generalized answers about the applicant's background | Fact that a foster mother had been raped and received extensive counseling |
| Experiences with raising children | Sexual orientation of applicant when of no concern to public |
| Description of foster parent relationships, marital relationships, individual strengths, etc. | Historical family background, such as applicant's parents' marital relationship, family conflict issues, etc. |
| Statements regarding desire to become licensed providers | Reports of abuse applicants suffered in the past |
| Description of physical home of applicant, medical and other services they utilize for children in their care | Criminal conviction of applicant's parents or children unless it directly relates to the application |
| Autobiographical information that does not seem private or offensive | Medical conditions of applicants or their family, such as a child with Down's Syndrome |
| Statements regarding licensees' willingness to work with parents and agency staff | |
| Statements about qualifications (experience with children) or attitudes and practices regarding discipline or religious practices | |

G. Notice of Disclosure

The public disclosure coordinator provides notice of disclosure to individuals whose licensing files are being released prior to release of the file. The coordinator also provides notice to those named in the file who will be significantly impacted by release of the information. If a question arises regarding the need to notify an individual, the coordinator consults with the assigned AAG.

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137113 Disclosure of Police Reports

When a request is received for a copy of a police report, the public disclosure coordinator needs to notify the police agency that CA has received a request for a copy of one of their reports in the agency file. The police agency must provide specific legal citations, within time-frames that will enable CA to meet legal deadlines for disclosure of information, if it wants CA to withhold the information. However, if disclosure of the information would interfere with an ongoing investigation or legal action (on the part of a prosecutor), CA can withhold the information when it receives such notice from the police or prosecutor in writing. Nevertheless, that information may be releasable once the investigation is completed.

137114 Information Subject to Challenge

- A. The social worker is to make reasonable efforts to review information about CA/N which is reported to DCFS and investigative findings which are challenged by parents or other parties to a case. The social worker:
 - 1. Pursues new information or leads which might resolve the conflict.
 - 2. Interviews additional persons identified as having relevant and direct knowledge about an incident.
- B. A parent or other party to a case may provide a written statement about contested information. The social worker files the written statement in the record in a proximate location to the contested information.

137115 Expungement of Information

- A. The supervisor may expunge information from a case record when the following apply:
 - 1. The information has been found to be untrue in a juvenile court proceeding on the matter; OR
 - 2. The Area Manager and the supervisor agree that sufficient information exists to show the case record to be inaccurate; AND

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3. There is a written request for expungement from the party who is the subject of the erroneous statement.
- B. The supervisor documents the reasons for expungement in the record.
- C. The supervisor destroys, discards, or deletes expunged information from an existing report or document.

13800 CASE ASSIGNMENT, TRANSFER, CLOSURE OF RECORDS

See chapter 15000, section 15202, for CAMIS policy and procedure related to this topic.

13810 ACTIVE CASES

An active case, in CAMIS, is one in which the division is providing services to the family and/or child. Active cases have the social worker assignment coded to match the definitions for Service Codes contained in this chapter. If paperwork only is pending, the social worker assignment will be coded as "services inactive."

13820 CASE NUMBERS

13821 Case Files for Legally Free Children

For requirements for legally free children, see chapter 15000, section 15206.

13822 Family and Placement Cases

For requirements for family cases, cases involving a child in placement or in-home dependency, and cases involving teen parents, see chapter 15000, section 15202.

13830 CASE TRANSFER

The Regional Administrator, for DCFS, the Regional Manager, for DLR licensing functions, and the DLR Manager for the Child Abuse & Neglect Section shall establish procedures for the transfer of case files consistent with chapter 15000, section 15202.

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13831 Case Record Management

A. Social Service Files

For transfer of active social service cases between regions, the Regional Administrator will establish procedures consistent with the following minimum requirements:

1. Before the transfer is made, the transferring social worker reviews the service record for completeness. All documentation and recording must be current.
2. The transfer must be made within seven working days after receipt of the request with a notation in the record as to any additional material to be forwarded and the specific date it will be forwarded.
 - a. The receiving supervisor must agree to the transfer before the case is transferred; or
 - b. The responsible Area Managers(s) must agree to the transfer in advance of the transfer.
3. If the department purchases a service for the client being transferred and the provider or payee does not change, the transferring worker does not terminate payment on the *Change of Service Authorization*, DSHS 14-159. Within 15 days, the receiving worker submits a DSHS 14-159 form to change the worker ID and case number and update location and other information that has changed.
4. If the provider or payee changes, the transferring social worker terminates payment on the *Change of Service Authorization* prior to the transfer to the new office. The receiving worker submits a new authorization to update services upon receipt of the record.
5. If the client receives no purchased services, the sending social worker terminates any open service authorizations using the *Change of Service Authorization*.

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B. Adoption Files

Because the agency file on a child is needed to facilitate an adoption and the adoption worker needs to complete paperwork, CA staff will adhere to the following procedures for transfer of adoptive case files for legally free children who are placed from one CA area to another:

1. The child's case file is transferred to the DCFS office/unit where the adoptive family is served. See paragraph h below if the adoptive family is supervised by a private agency. The case number will remain the same as the sending office's case number. Minimum documentation requirements to be included in the file before transfer are:
 - a. A certified copy of the order terminating parental rights (or documentation that it has been requested and will be forwarded upon receipt);
 - b. Complete documentation as to reasonable efforts to obtain information about the child and family medical and social background;
 - c. The DSHS 13-041, signed by the child's social worker and the adoptive parent(s); and
 - d. Completed narrative recording.
2. A working file is maintained in the sending office for incidental documents; e.g., copies of the Individual Service Plan (ISP). Local procedures determine whether the child's worker or the local adoption unit maintains the working file.
3. The adoption worker prepares the ISP and the health and education form and sends them to the sending office worker for distribution to the parties and presentation at pre-adoption dependency review hearings.

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4. The pre-adoption dependency reviews continue to be held in the juvenile court of original jurisdiction. Local procedures determine whether the child's CWS worker or an adoption worker files and presents reports to the court pending finalization.
5. When the adoptive family finalizes in Superior Court in the county of residence, a copy of the decree is sent to the sending office for presentation to the juvenile court along with a motion to dismiss and close the dependency case.
6. The dismissal is sent to the adoption worker.
7. Should the placement disrupt prior to finalization, the child and the case file are returned to the sending office for continued placement planning.
8. If the child is placed in a private agency adoptive home, the child's worker sends a case summary and copies of legal and pertinent medical documents to the private agency. The DCFS file will be maintained in the local office until finalization.

C. Federal Revenue File

Upon request for an inter-regional or inter-office transfer of a child's social service record through Master File or by a social service unit supervisor or worker, designated staff checks CAMIS for the existence of a Federal Revenue file.

1. Master File transfer clerk or other designated staff checks CASEUP3 for the presence and status of the Financial Revenue record.
2. Master File notifies the assigned Federal Funding Specialist (FFS) and Supplemental Security Income Facilitator (SSIF) that a case transfer has been requested, and the FFS or SSIF makes the Federal Revenue file available within three working days for transfer.

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3. The FFS prepares the active/open Federal Revenue file for transfer and affixes the *Transfer Notice*, DSHS 01-194, to the Federal Revenue file designating the local or regional office to which the file is to be sent.
4. Once Master Files receives both the social service and the Federal Revenue files, the two case jackets are forwarded to the requesting DCFS office/region.
5. The Master File clerk or other designee notes in CASEUP3 the transfer status of both the social and federal revenue files.

D. Family Home Licensing Files

For transfer of active family home license files between offices or regions, the DLR Regional Manager will establish procedures consistent with the following minimum requirements:

1. When a family with a valid, active child care license moves from one address to another and wishes to remain licensed, the licensee must submit a new application for child care license for the category of care being provided reflecting the changed circumstances and new address to the appropriate DLR licensor.
2. The licensor or other designated staff must create a new CAMIS license record for the application at the new address.
3. For licensed foster family homes having an acceptable history of child care, the old license may remain in effect for two weeks after a move, except that this applies only if the family remains intact.
4. If the family applies for a new license in the new locale, the licensor or support staff in that office will contact the licensor in the former locale and request transfer of the licensing file.

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5. Before the transfer is made, the transferring licenser reviews the license record for completeness. All documentation and recording must be current before transfer.
6. The transfer must be made within seven working days after receipt of the request with a notation in the record as to any additional material to be forwarded and the specified date it will be forwarded. The receiving Regional Manager or supervisor must agree to the transfer before the case is transferred.

13840 PLACEMENT OUT OF AREA - RECORD MAINTENANCE

For requirements for courtesy supervision when a child is placed from one CA service area to another, see the *CA Practices and Procedures Guide*, chapter 4000, section 4430.

13850 CASE CLOSURE

A. Staff Support Procedures

When a record is returned to Master Files following closure, support staff remove the contents of the binder and secure the contents with either a rubber band or a clip, then put the contents into a color coded file folder, labeled with the client's name, case number, and notation on the outside of the folder if the client is LEP, ICW, or American Sign Language (ASL). The file folder is then stored in Master Files in accordance with local procedures.

- B. See chapter 15000, section 15202, for additional procedures regarding closure of cases.

13900 RECORD RETENTION AND ARCHIVING

13910 CASE RECORD PURGING OR STORAGE

To allow maximum available filing space, offices periodically purge case records and send them to the Records Reference Center (RRC). RRC stores the case records until they are recalled or ready for destruction. This section instructs support staff how to correctly purge, ship, and recall case records through RRC.

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A. Office Request Coordinator

Office Request Coordinators are persons designated by the office as authorized to request records or obtain information from records stored at RRC.

B. Records Coordinator

The Records Coordinator is the person designated in each office to have responsibility and authority for the retention/destruction of all files.

C. Purge Process

Once a year, the Olympia CA CAMIS programmer sends to each region a listing of all cases with no activity for a two year period. In addition, there is a procedure on-line in CAMIS that allows local office staff to call up a list of records that have had not activity in the past two years. CA clerical staff will use one of these sources to assist them in the purge process.

D. Retention Periods

1. The local CA office retains all files in the local office for two years following any case activity, including, but not limited to, new referrals and children in placement. The RCC then retains the inactive files for a total of nine years, after which they are destroyed. with the following exceptions:
2. The following are exceptions to the requirements of paragraph 1:

a. Unfounded CPS Referrals

The RCC retains files on unfounded CPS referrals for four years, for a total of six years of inactivity before they are destroyed.

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b. Licensing Files

- i. The local licensing office retains licensing case files in the office for one year following termination of the license. The RCC then retains them for an additional and three years, for a total of four years, at which time they are destroyed.
- ii. The local licensing office permanently retains on the premises in an office retention file any case file for a license which CA has revoked or denied.

c. Adoption Files

For finalized adoptions, the local office adoption worker or other designated staff prepares the file for archiving upon finalization. The RCC retains the adoption file for 100 years.

Revision #1 - 6/25/98; Revision #2 - 9/1/98

E. Preparing RRC Cartons

Support staff box and ship unneeded case records in specially designed cartons. When preparing an RRC carton for shipment, support staff:

1. Contacts the Financial Resource Unit to see if there is a financial record. If a financial record is found, it is included with the case record to be shipped.
2. Arranges the case records within an RRC carton in alphabetical or terminal-digit order;
3. Signs on to the terminal for RRATS program and to the printer with their user ID;
4. Selects BOX ADD from the Selection Menu. When the BOX ADD menu appears, select "Closed Records";

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5. Enters the appropriate data for each case record into the computer. RRATS will accept up to 100 case records per box. When entries are complete, two copies of the transmittal will automatically print;
6. Completes and affixes an RRC carton label, DSHS 2-227, under one the carton's hand grips so the case records are facing the labeled end; and
7. Secures the lid to the carton with monofilament tape.

F. Shipping Cartons to RRC

Offices ship cartons of case records to RRC by various methods, including regional office courier, state office courier, or parcel services. Staff determines the best method of shipping cartons from their office.

G. CAMIS Procedure for Record Retention

Assigned staff inputs information by using CASEUP3. Staff changes file status to "R" and enters date sending, box number, and destroy date.

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H. Recalling Case Records from RRC

When an office finds it necessary to recall records located at RRC, master files staff access CAMIS to locate the box number for the case record. Staff contacts RRC by use of Mapper and/or telephone. Upon receipt of requested records, clerical staff updates CAMIS to reflect current status of file.

I. Transfer Out Responsibilities for RRC

1. Clerical staff receives a request from a CA office to transfer a case record.
2. Clerical staff will access CAMIS to determine status and location of the record.

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3. Clerical staff will contact RRC using Mapper and/or telephone and request the record be sent directly to the receiving office. Transfer out clerical staff will change the case status and file folder status to reflect transfer of the record to the receiving office.

J. Annual Destruction of Case Records at RRC

1. Once a year, RRC destroys those case records stored at their facility that have met the required retention period.
2. Offices receive an *RRC Destruction Notice*, DSHS 1-100, from RRC each October notifying them of the cartons of case records scheduled for destruction the following January. Offices have until the end of December to:
 - a. Review the DSHS 1-100;
 - b. Identify and recall those case records they do not want destroyed; and
 - c. Authorize RRC to destroy the remaining case records.
3. On CASEUP3 screen, clerical staff inputs in the location or case notes that the record was destroyed and the date.

13920 FEDERAL REVENUE RECORD ARCHIVING OR STORAGE

Prior to any case being sent to adoption archives or the Record Retention Center, the child's social file shall be consolidated with the Federal Revenue File. Any Title IV-E, Title XIX, or SSI documentation shall be reviewed by the FFS and/or SSIF and shall be sent to Master File to be consolidated with the child's social service file.

Revision #1 - 6/25/98; Revision #2 - 9/1/98

13930 ARCHIVING OF RECORDS OF LEGALLY FREE CHILDREN

- A. RCW 26.33.330 and 26.33.340 provide for the sealing of all adoption files and for the limited release of information from those files. Archiving ensures a permanent record of the child's past involvement with the agency. RCW 26.33.343 provides procedures for accessing of adoption records.

Revision #1 - 6/25/98

- B. Prior to any case being sent to adoption archives, the child's social file is consolidated with the Federal Revenue File. See procedures outlined below. Any Title IV-E, Title XIX, or SSI documentation will be reviewed by the FFS and/or SSIF and will be consolidated with the child's social service file.
- C. Records of legally free children are archived upon the child's adoption or upon closure of a case after the child turns 18 years of age. The financial and service file are not archived while an SSI application is pending.
- D. When the adoption is final and all court orders, including the Order Dismissing Dependency, have been received by the child's social worker, the social worker prepares the social file for archiving and sends the file to regional or local Federal Funding IV-E Unit. The social worker or other assigned staff updates and closes CAMIS legal, placement, adoption and case modules.
- E. To prepare the file for archiving, the social worker or support staff, as applicable, removes all metal fasteners and prepares the file in the following sequential order:
1. Cover memo listing the child's birth name, adoptive name, date of adoption decree, social worker's name, and the local office from which the file is being sent.
 2. Copy of final decree of adoption (need not be certified).

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3. Child's *Medical and Family Background Report*, with adoptive parent(s) signature(s) and initials where appropriate. All other documents given to the adoptive parents with the DSHS 13-041 should be attached. (Copies of these documents need not be elsewhere included in the archived file.) Documentation of material given to the adoptive parents is made by listing the reports received on the DSHS 13-041 with the adoptive parents' initials beside the name, date, and number of pages included in the report provided. Adoptive parents shall be asked to initial all documents provided not listed on the DSHS 13-041 and a copy of these documents with their initials on every page shall be included in the archived case file as an attachment to the DSHS 13-041.
4. Narrative recording section.
5. Legal/placement document section, including court orders, reports to the court, Individual Service Plans (ISP), Preplacement and Post-Placement Reports, Voluntary Placement Agreements, custody orders, Adoption Planning Review Reports, Administrative Review Reports, and Permanency Planning staffing forms; relative home studies, and related documents.
6. Medical, psychological, psychiatric, developmental, and school reports on the child as well as psychiatric, psychological, and medical information on the birth parent(s) if in the child's file; documents pertaining to the parents' and/or child's functioning.
7. Copies or documentation of any disability benefits applied for or received.
8. Adoption documents, including a copy of the child's life book, WARE and NWAE registration forms, Change of Status forms, and *Registry of Legally Free Child* forms.

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9. Copies of the financial section of the file are maintained in the file until the Federal Revenue file is reviewed and archived. Closure copies of payment (SSPS and A-19s, if any) forms, defined as those with a termination code, to provide a record of payments made on behalf of the child, remain in the archived file.
 10. Statement from Trust Funds Accounting regarding final dispersal of any conserved funds.
 11. A copy of the child's Social Security card.
 12. A copy of the Adoption Support program application, if applicable.
 13. Indian Child Welfare forms, including LICWAC staffing reports, verification of Native American status, Family Ancestry Chart, notices to Tribes or Canadian Bands, and other related documents.
- F. The social worker includes information provided to adoptive parents after they sign the DSHS 13-041 in the archived file. The adoptive parents initial each page of the provided document, and the social worker archives a copy, with the adoptive parents initials, and the date they were received.
- G. The social worker shall include documentation of efforts, including unsuccessful efforts, to obtain information about the child's family background and social history in the archived file. Efforts may include interviews with relatives; interviews with parents; and requests for information from treatment agencies, schools, and other sources from whom the parents received professional examination, evaluation, or treatment. The social worker obtains the parents' signatures on appropriate releases of information or obtains court orders for release of the information.
- H. If it comes to the attention of the IV-E Unit that a child in out-of-home care has been adopted, the assigned Federal Funding Specialist communicates to the worker's supervisor requesting that the file be prepared for archiving and forwarded to the IV-E Unit.

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- I. The social worker's supervisor shall review the file for completeness prior to sending the file to the IV-E unit within 90 days of adoption finalization and dismissal of the dependency. The social work supervisor shall sign at the end of the narrative section confirming that the file has been reviewed and is ready to be sent to the IV-E unit and then archived.
- J. When the IV-E Unit receives the prepared file from the social worker or supervisor, the FFS includes as one section those parts of the IV-E file that are to be archived.
- K. The FFS checks the CAMIS files to ensure the legal, placement, adoption, and case modules have been closed and that SSPS authorizations, other than for the Adoption Support Program, have been terminated. If these modules have not been closed, the case will be returned to the adoption worker to complete the CAMIS documentation. The FFS checks to ensure federal funding information is correct. The child's record in the birth name is closed and secured by the Federal Funding Specialist.
- L. The FFS maintains the closure copies of payment (SSPS and A-19s, if any) forms, defined as those with a termination code, to provide a record of payments made on behalf of the child, making sure that all documents from the Federal Revenue file have been incorporated with other payment forms.
- M. For legally free children who have not been adopted, case records are archived as outlined above after the child's 18th birthday and following case closure.
- N. The FFS sees that the archived file is sent to the Headquarters Adoptions Program Manager at MS 45710, P. O. Box 45710, Olympia, WA 98504-5710 for archiving and notifies the Master File clerk of the date the record has been sent to the state office for archiving.

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14100 RECEPTION

14110 INTRODUCTION

Each Children's Administration (CA) office is to set aside a designated area for people who come into the office. Support staff provide services to people coming into the reception area. This section outlines the procedures receptionists or other CA staff follow when receiving, screening, and referring people who come into an office.

14111 Definitions

See Appendix A, Definitions.

14112 Posters and Brochures

- A. The following posters must be displayed in each CA client reception area:
1. *Multilingual Interpreter Services*, DSHS 24-019(X).
 2. Non-Discrimination posters in English, Cambodian, Chinese, Laotian, Spanish, and Vietnamese, DSHS 24-007.
- B. Non-Discrimination Policy brochures in English, Cambodian, Chinese, Laotian, Spanish, and Vietnamese, DSHS 22-171(X) must be available for clients in each reception area.

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- C. Supplementary client information and brochures are available from the DSHS Forms and Publications Warehouse in a variety of languages.
1. Each CA office is to maintain a supply of bilingual information for clients that is reflective of the languages spoken in the local service area.
 2. Following is the Translation Color-Coded System used by the department:

| | |
|------------------|------------|
| SPANISH..... | Goldenrod |
| VIETNAMESE | Yellow |
| CAMBODIAN..... | Light Blue |
| LAOTIAN..... | Lime Green |
| HMONG | Tan |
| CHINESE..... | Orange |
- D. The *Equal Employment Opportunity is the Law* poster is to be displayed in the employee work area of each office.

14120 RECEIVING CLIENTS

14121 Expectations

All people entering an office are entitled to fair and timely treatment. Receptionists and other CA staff shall:

- A. Treat people with dignity and courtesy;
- B. Give people sufficient opportunity to make their needs known;

- B. If someone delivers documents to reception, the receptionist:
1. Accepts and date stamps all documents received on an ongoing basis.
 - a. The receptionist will not date stamp original or notarized documents, such as birth certificates, but will date stamp a copy of the original and return the original to client.
 - b. The receptionist will not date stamp checks received over the counter, but will forward/give the document to the appropriate worker. See section 14140, below.
 2. Releases forms, pamphlets, or documents held at reception for pick-up as requested by staff.
 3. If requested, photo copies documents and returns originals to clients.

14140 RECEIPT OF NEGOTIABLE ITEMS

- A. For those offices that do not receive cash, all payments must be received by check or money order or sent directly by the client to the Office of Financial Recovery, P. O. Box 45862, Olympia, WA 98504-5862.
- B. If the office accepts checks or money orders, the receptionist prepares a pre-numbered receipt and gives the original receipt to the person who brought in the check or money order.
- C. All cash receipts, checks, money orders, or other negotiable items must be transferred to the central office by direct deposit to a bank account or to the Office of Financial Recovery, as applicable, within 24 hours of receipt.

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- D. The receptionist makes a copy of the check or money order for the worker and then the check is added to the *Daily Cash Items Mail Log*, DSHS 19-048(X). Support staff sends notice to the assigned social worker of receipt of negotiable items.
- E. Assigned support staff prepares a *Funds Transmittal* to OFR and receives a *Notice of Transmittal Received* from OFR in return.
- F. Each Regional Administrator/designee will determine the region's own policy on receipt of cash in compliance with accounting rules.

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14150 LIMITED ENGLISH PROFICIENCY/DEAF, DEAF/BLIND AND HARD OF HEARING CLIENTS

14151 Expectations

- A. It is the intent of CA that no client is denied services because of a Limited English Proficiency (LEP)/Sensory Impaired (SI) communication barrier. The office will inform the LEP/SI client of the availability at no expense of interpreters or aids. The office will provide an interpreter in the appropriate language for LEP/SI services. Bilingual or auxiliary aids such as a qualified language interpreter or Telecommunication Device (TDD) for the Deaf will also be available.
- B. All offices will have a listing of bilingual staff, their specific language skills, and their availability. A separate listing of contracted interpreters is to be available for interpretive and translating purposes.

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14200 MAIL SYSTEM

14210 INTRODUCTION

- A. The CA mail system provides internal control and efficient processing of all incoming and outgoing mail.
- B. The mail clerk(s) is expected to have current directories of ZIP codes, DSHS address and mail stops, a roster of office employees, and pick-up/delivery schedules for the mail services available.

14211 Definitions

See definitions relating to mail in Appendix A, Definitions.

14220 INCOMING MAIL

The mail clerk processes the incoming mail as follows:

- A. Date stamps but does not open "Confidential" mail envelope; sets it aside.
- B. Opens, date stamps each piece of mail with the current date, and staples the envelope to its contents, but date stamps only the envelope for each of the following items:
 - 1. Original or notarized-copy documents; e.g., birth certificates, marriage licenses, etc.;
 - 2. Negotiable items; and
 - 3. Other items as specified by the Regional Manager or Area Manager or designee.

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C. Separates into the following categories:

1. Cash items and the Cash Items Log

- a. Annotates each item to the Cash Items log, DSHS 19-48; both staff opening mail initial the log.
- b. Takes log (white and pink copies only) and cash item(s) to the Business Office or account.
- c. Retains the yellow copy of the DSHS 19-48.
- e. Accountant or Business Office staff return white copy to mail clerk to be stapled to yellow copy and retained in the Cash Items Mail Log file for a retention period of two years.

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2. **Negotiable Documents**

Distributes negotiable documents directly to the designated responsible individual(s) and keeps them in a secured area (e.g., locked filing cabinet) when unattended.

3. All other mail per Regional Manager/Area Manager/designee instructions.

15202 CASE ASSIGNMENT, TRANSFER, AND CLOSURE (8/17/95)

152021 Purpose

To ensure consistency in CAMIS and to enable on-line tracking of case assignment and file location.

152022 Standard/Procedure

A. Referrals and Case Assignment

After a worker assignment is made, the supervisor or worker must record that assignment in CAMIS within two working days or as soon thereafter as possible.

A referral becomes a case when the referral meets one of the following criteria:

1. The CPS referral passes the sufficiency screen.
2. An FRS intake request is accepted for services or the intake/assessment lasts more than 30 minutes.
3. A Child Welfare Services (CWS) referral for assessment or services is accepted.
4. A home study request is accepted.
5. A request for Interstate Compact supervision is accepted.
6. A request for services for any of the other programs listed in section 15211, below, is accepted for assignment or assessment.

The referral will be related to an existing case number for the family, if one exists, or a new case number will be created.

B. Case Numbers

1. Family Cases

Family case files will be issued case numbers in CAMIS with the last digit being a "0." Regions or offices may determine which case letter ("H," "L", or "D") they will use on the family service files.

2. Cases Involving a Child in Placement or In-Home Dependency

If any out-of-home placement occurs or a Dependency/Child in Need of Services (CHINS) petition is filed, a dash case number will be established in CAMIS for the child. Each child will have only one open case. Dash numbers for siblings will be issued in the order the children are placed. If an older sibling comes into care or has legal actions instituted at a later date, issue the next dash number in order. The letter used in the dash case number will be "D." There will be no dash "O" case numbers for child placement or Dependency/CHINS cases. The client/child and the "X" (reference person) shall be one and the same for the dash file. It is not necessary for a hard copy file to be made up for placements of less than 72 hours.

3. Cases Involving Teen Parent(s)

For cases in which the parent is under the age of 18 and the department is providing services to the teen parent and the teen parent's infant, a family case number will be issued in the teen parent's name. (NOTE: If the teen parent is in care or is involved in current Dependency/CHINS proceedings, the teen parent will have two case numbers in the teen parent's name; i.e., a dash number case open for the teen being a child in placement and a family case file with the teenager as the parent.

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A dash file off the teen parent's family case number will be created for the infant if the department has the legal authority to place the infant through a court order, voluntary placement agreement, etc. Lacking authority to place, the infant would have no case number. With the authority to place, the infant would have a dash number whether in the same home as their teen parent or in a separate placement.

C. Case Transfers

1. Within a unit, the current social worker's assignment will be ended and the case reassigned in CAMIS to the new social worker. The reassignment on CAMIS will be recorded within two working days of the assignment or as soon as possible thereafter.
2. Between units within an office, the current social worker's assignment will be ended and the case reassigned to the social worker's supervisor for review. Upon completion of supervisory review, the case will be reassigned to the new unit's supervisor. The receiving supervisor will then reassign the case to the new social worker.

With supervisory approval, a worker in one unit may close their assignment and reassign directly to the receiving social worker. The reassignment on CAMIS will be recorded within two working days of the assignment or as soon thereafter as possible.

3. For transfers between offices, the following steps will be followed:
 - a. The current social worker will complete the necessary documentation for transfer of the case. The current social worker will end their assignment and reassign the case to their supervisor for review.
 - b. The sending office will contact the receiving office by telephone to notify responsible staff of the transfer and to obtain the Social Service Payment System (SSPS) ID of the receiving supervisor.

- c. The sending supervisor's assignment will be ended and the case assigned to the receiving supervisor. The transfer of the case will be recorded in CAMIS and the record forwarded to the receiving office.
 - d. The receiving office will issue a new case number if necessary and close the receiving supervisor's assignment on the old case number. Only one case number shall be open for a child at any time.
4. Following receipt of a request from another office for transfer out of closed files, Master Files will record the transfer of the record and assign the case to the receiving supervisor in CAMIS. The receiving office will issue a new case number if necessary and close the receiving supervisor's assignment on the old case number.

D. Case Closure

1. The case status will remain open during the entire period in which the case is open for services to the family/child and while any additional documentation is being done on the case. (Note: The family file will remain open even if a child is in placement.)
2. The dash case assignment will be closed when one of the following conditions is met:
 - a. When the child is returned home, and there is no CHINS order.
 - b. When the dependency or CHINS is dismissed, and there is no further legal authorization to place.

(NOTE: If the child has a Dependency Guardianship established, do not close the dash case. The placement event will remain open and the placement episode will be closed. The family file for these guardianships will be closed.)

3. An active case is one in which the division is providing services to the family and/or child. Active cases will have the social worker assignment coded to match the definitions in section 15211, below.
4. A Services Inactive/Paperwork Pending (S) program assignment for a social worker or supervisor will be made if services to the family/child are ended but the social worker or supervisor has paperwork or documentation to complete on the case. The purpose of this worker assignment is to be able to track the workload involved in follow-up paperwork.
5. Case closing shall be noted in CAMIS within two weeks of completion of all services, paperwork, and supervisory review.

RESERVED

APPENDIX A—DEFINITIONS

The following definitions apply to the Children's Administration (CA) *Operations Manual*.

"ACQUIRED IMMUNE DEFICIENCY SYNDROME" (AIDS) - a diagnosis given if an individual is infected with Human Immunodeficiency Virus (HIV) and has an AIDS defining condition or laboratory evidence of severely impaired immunity. These conditions in adults include pneumocystis carinii pneumonia (PCP), invasive cervical cancer, and tuberculosis. In children, symptomatic infection (Class P-2) might include PCP, bacterial infections, neurologic disease, or cytomegalovirus.

"AUTHORIZING A PLACEMENT" is any situation where CA staff are called upon to make a recommendation about the suitability of a placement resource for a child.

"BLOOD BORNE PATHOGENS" means pathogenic microorganisms that are present in human blood and can cause disease in humans. These pathogens include, but are not limited to, Hepatitis B Virus (HBV) and HIV.

"CASE FILE MAKE-UP" - For Case File Make-up, the following definitions apply:

- A. **Case Number:** A case number consists of a two-digit office number, a one-letter program code, a six-digit basic number, and a one-digit suffix number.
- B. **Case Record:** The folder(s) containing forms and documents related to a person or family group of CA clients.
- C. **Client:** Any person requesting or receiving services in a CA office.
- D. **Master File Clearances:** The research of initial information received by intake is verified and updated/input. This consists of a statewide CAMIS search, ACES check, and birth certificate search.

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- E. **Basic Number:** The basic number is a six-digit number unique within a CA office. The basic number is assigned upon opening a case. The basic number immediately follows the program code.
- F. **Suffix:** A suffix is a one-digit number used to distinguish between a family record and a child's placement record (dash record).

"CHILD DAY CARE PAYMENTS" The following definitions apply to the Child Day Care Payments Program.

- A. **"Approving Worker/Authorizing Worker"** means the approving worker is the representative of DSHS who establishes that the client is eligible to receive child care benefits. The authorizing worker is the representative of DSHS who authorizes child care payment through the Social Service Payment System (SSPS). The approving worker is often the authorizing worker also.
- B. **"Child"** is a person 12 years of age or younger. Special needs child care may be authorized for a child 19 years of age or younger.
- C. **"Family"** means two or more persons related by blood, marriage, or adoption residing in the same household.
 - 1. Related adults residing together, other than spouses, are each considered a separate family. Unmarried parents living together are considered a family for purposes of determining income eligibility.