

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**Child and Family Services Agency**



**Business Process: Client Records Management**

**I. Policy**

The Client Records Management (CRM) policy promotes both security and confidentiality in accordance with established rules and regulations set by the District of Columbia Official Code. To ensure consistency, the Child and Family Services Agency (CFSA) has established the Records Management Unit (RMU) to conduct all records analysis and consultative services for the Agency. Each individual program area or unit, including private agencies and CFSA's Child Protective Services (CPS) administration, must securely store their active and closed case records (prior to transfer to RMU for closure processing).

RMU is responsible for the general oversight and maintenance of all active and closed CFSA cases, regardless of location. Accordingly, RMU has developed secure, efficient, and effective records management policies, procedures, and systems that assist in enabling CFSA to fulfill its mission of protecting and supporting residents of the District.

**II. Procedures**

**A. General Provisions**

1. Social workers create an individual client record for all committed children.
2. Records are bound in a standard six-section classification folder.
  - a. Records that are not organized in a classification folder (e.g., in manila folders) will be returned to the assigned social worker for proper organization.
  - b. All documents in a case record are signed, as appropriate, and properly filed in the classification folder according to the attached formatting guidelines (*see Attachment A*).
  - c. Records with loose documents are returned to the assigned social worker for proper two-hole binding and attachment.
  - d. If a case record overflows with documentation, additional volumes are created by the social worker, again using standard classification folders.
  - e. All CFSA and private agency workers are mandated to adhere to District and federal laws regarding confidentiality. For more information, see CFSA's policy on [Confidentiality](#).
3. Social workers maintain their entire assigned active case records at their work site.
  - When not in use, both CFSA and private agency client records, including all volumes and documents, are kept in a locked cabinet or in an area with locking doors or restricted entry that prohibit access by unauthorized personnel.

4. All social workers ensure that every record in their possession is protected from theft, loss, damage, and unauthorized use or disclosure.
5. When records are open and in use at a work station, food and beverages are restricted.
6. If a client's hard copy case record needs to be removed from CFSA's premises to complete an official CFSA function pertaining to the client or client's family, the social worker obtains approval from an administrator or designee.
7. For case records involving one child, who is adopted, social workers ensures that all documents and information that belong to the adopted child or adoptive parents is removed from the biological family's case record.
8. All CFSA records and documents are stored, maintained, or archived based on approved District of Columbia Retention Schedules.
  - The total retention period for closed CFSA client records does not exceed 75 years.

## **B. Transferring Active Records from One Unit or Agency to Another**

1. When an employee resigns, retires, or transfers to another program, all active cases assigned to that employee's work load are physically transferred to the employee's immediate supervisor or designee until the case is re-assigned.
2. Transfers of active cases within CFSA units or between CFSA units and private agencies only take place after a Child and Family Case Record Transfer Staffing (CFCRTS) and a Family Team Meeting (FTM).
  - a. After the staffing and FTM participants approve the transfer, the record is assigned to a new supervisor and program manager.
  - b. The newly-assigned supervisor reviews the record to ensure it is complete and then enter the transfer in FACES.NET within 1 business day of the staffing approval.
  - c. Supervisors assign all transfers to a new social worker in FACES.NET no later than 5 business days from the date of receipt from the transferring supervisor or program manager.
3. Upon re-assignment, active case records are physically transferred to RMU by the transferring supervisor in order for RMU to properly label the records and enter the transfer into the FACES.NET records management module (RMM).
  - In the event that a case record or batch consists of large volumes of records, the transferring social worker may contact RMU to make arrangements to pick up the records.
4. RMU personnel ensures that records being transferred are properly labeled and updated in the FACES.NET RMM with new case check-in and check-out data for the transferred records.
  - If required, RMU notifies the receiving program area or private agency via telephone or e-mail that the records have been processed and are ready for pick-up from RMU.
5. Staff personnel receiving transferred records from RMU signs a charge-out sheet that acknowledges the receipt of records before the records are released.
  - a. Staff personnel shall not sign for records not received.

- b. RMU staff checks out the case record in the FACES.NET RMM to the CFSA program area or private agency staff receiving the record.
- 6. If a newly-assigned or receiving supervisor or program manager receives an incomplete record (i.e., missing documents or volumes), he or she notifies the former assigned social worker and requests all missing documentation and volumes be forwarded to the receiving supervisor or program manager.
  - a. RMU staff must record in the FACES.NET RMU that there are missing documents or volumes and should note that all reasonable efforts have been made to locate missing documents and volumes with no success.
  - b. As best as possible, the currently assigned social worker shall consult with the transferring social worker to recreate any lost documents.

### **C. Transferring Closed Records to RMU**

- 1. Prior to a record being transferred for closure, the assigned supervisor, program manager, or designee approves all records leaving the program or unit.
  - a. The case-managing social worker sends an email to his or her supervisor stating that the record is ready to be closed.
  - b. The social worker then physically delivers the record (including all volumes and documents) to his or her supervisor or designee for review for proper documentation and closure in FACES.NET.
- 2. Within 30 days from case closure in Family Court or from the last day of the client's care in placement, the closed client records are transferred in the original CFSA standard six-section classification folders to RMU.
  - a. All closed client case records transferred and received by RMU for closure are logged into the case record sign-in log book by RMU.
    - Batches of records are accompanied by a catalog sheet that is signed, copied, and filed by RMU staff.
  - b. In the event that a client's case record or batch includes large volumes of records, the social worker or supervisor contacts RMU for assistance in transporting the records.
  - c. The immediate supervisor is responsible for ensuring that no closed records are left abandoned in workstations after an employee resigns, retires, or transfers to another program.
- 3. RMU staff receives and compares the number of volumes submitted for closure with the number of volumes previously documented in the FACES.NET RMM.
  - a. If there is a discrepancy in the numbers of volumes submitted, RMU staff follows up with the transferring social worker to rectify the discrepancy.
  - b. If the discrepancy (i.e., missing or lost volumes) cannot be resolved, RMU staff documents the discrepancy in FACES RMM, noting whether all efforts have been exhausted in trying to resolve the discrepancy.
  - c. The assigned social worker completes an unusual incident (UI) report, submits the report to his or her supervisor for review, and follows the procedural steps outlined below under *Reporting Lost Case Records*.

4. Within 72 hours of accepting the closed records, RMU staff properly checks in, labels, and alphabetically files the closed records by year of closure.
5. RMU staff prepares records for transfer to the District's Office of Public Records (DC Records Center or DCRC) by creating a catalog sheet that alphabetically lists each record and each individual number of volumes by record type and year of closure.
6. The transfer of closed records from RMU to DCRC occurs only after the completion of a five-year on-site retention period.
7. Client case records are boxed and labeled with a permanent black marker prior to being transferred to DCRC.
  - a. Boxes are annotated on one side in the upper left corner with an accession number that includes the record group, the current fiscal year, and a one-time unique number assigned to the case records being transferred (e.g., series # - fiscal year – unique # for that particular accession, e.g., 351-08-5683).
  - b. On the same side, boxes are annotated in the upper right corner with both the individual number of the box and the total number of boxes in the particular accession series (e.g., 1 of 25, 2 of 25, etc.).
  - c. All annotated information labeled on the boxes is documented on a *Records Transmittal and Receipt Form* located in RMU (this form is only used by RMU). The form is submitted to the archivist at the Office of Public Records for review and approval.
  - d. Once the records have been approved for transfer to DCRC, the RMU supervisor ensures a safe and timely transport of all boxed and approved client case records.

#### **D. Requesting Access to Records**

1. Prior to gaining access to another social worker's case record, a CFSA or private agency social worker submits a written justification (via email) to the currently assigned supervisor.
2. The assigned supervisor provides permission via email or other written document.
3. The social worker obtains a *Case Record Request Form* from RMU and staples it to the printed email (or other written permission) and submits the form to RMU.
4. RMU staff reviews the *Case Record Request Form* for accuracy and completeness.
  - Incomplete forms are returned to the requestor to be completed and resubmitted for processing.
5. If access to an archived record is requested, the RMU staff submits a copy of a DCRC *Reference Request Form*, or processes the request through the District's Archives and Records Centers Information System (ARCIS), which is a web-based system used to request records from the DC Archives located in Suitland, Maryland.
  - a. A maximum of 15 individual records can be requested through ARCIS during any single request period.
  - b. Records may be requested by the box or by an individual record.
  - c. RMU staff contacts the requesting social worker or external requestor (*see # 7 following*) via telephone or email to notify them that the requested records are available for pick up.

- d. Once the record or records are picked up, RMU staff updates the FACES RMM, and change the Location Type from “archived” to “closed to track the movement of records.”
  - e. RMU staff returns the “Location Type” in the FACES RMM back to “archived” from “closed” upon return of the records to the DCRC.
6. A CFSA client who has capacity to make such a decision may authorize another individual who is 18 years old or older to receive a copy of their confidential record.
- The client must sign an *Authorization of Release Form* and provide proper identification before any records are viewed by or released to a third party.
7. External requests for access to client records are submitted directly to CFSA’s Office of the General Counsel (OGC) which determines the legitimacy and justification of all external agency or jurisdiction record requests.
- a. All external requests must be in writing and include the following information:
    - i. Justification or reason for the request
    - ii. A copy of the requestor’s state-issued identification (e.g., driver’s license)
    - iii. Child’s name while in care
    - iv. Date of birth
    - v. Social Security number (if known)
    - vi. Birth parents’ names and dates of birth (if known)
    - vii. Name of provider
    - viii. Year the case record was closed (if known)
  - b. If the record request is deemed valid, OGC instructs RMU staff to retrieve the case record.
  - c. Unrelated confidential information is redacted from the record by OGC before being provided to the requestor.
  - d. OGC arranges for supervision and viewing of the case record, which can only be viewed in an OGC-designated location, to prevent breach of confidentiality, loss of documents, and removal of information from the respective record.
  - e. No case record is removed from the designated location without prior written permission from OGC or the director of CFSA.
8. For open neglect or adoption matters, discovery requests are served on the counsel of record (i.e., the assistant attorney general).

## **E. Accessing Break Seal Records**

1. The “break seal social worker” is a designated position to carry out Family Court orders to unseal and to reseal the record.
2. Within five business days of receiving a break seal court order, the requesting break seal social worker submits a *Special Records Request Form* directly to RMU for retrieving the finalized adoption files of the adoptee named in the break seal order.
3. RMU locates and provides the requesting break seal social worker with all information and files obtained in response to the request.

4. After the sealed record has been received by the requesting break seal social worker, the following steps are taken prior to the record being resealed:
  - a. The break seal social worker reviews the documents contained inside the sealed envelope and submits a report to the Family Court regarding the findings.
  - b. The break seal social worker then makes a recommendation to the Family Court via a court report requesting that the record be resealed.
  - c. The break seal social worker retains the break seal record until receiving an order from the Family Court directing the Agency to reseat the record.
  - d. Once the reseal order is received, the break seal social worker completes the following tasks:
    - i. Places all original documentation, as well as any new documentation created in response to the court order, into the original envelope.
    - ii. Places the envelope into a new envelope and seals it.
    - iii. Makes a notation on the new envelope that the record has been resealed by the Family Court.
    - iv. Ensures that the original adoption case number is written in the top right hand corner of the new envelope.
    - v. Signs and dates the envelope.

#### **F. Management of Faxed and Printed Information**

1. The following procedures are required when any staff member faxes documents or prints any information from a client's case record:
  - a. Before faxing information, social workers or staff members contacts the faxed party to confirm that the outgoing fax number is correct and to make sure that the recipient of the fax is available to receive it.
  - b. All faxed information must have a cover sheet that includes the following privacy disclaimer (or something similar):
    - *This communication, along with any attachments, is protected by federal and state law governing electronic communications and may contain confidential and legally privileged information. If you are not the intended recipient of this fax, you are hereby notified that any review, dissemination, distribution, uses or copying of this fax is strictly prohibited. If you have received this fax in error, please notify the sender immediately and shred all documents. Thank you.*
2. CFSA social worker ensures that incoming faxes containing protected health information are immediately secured and protected from unauthorized access.

#### **G. Reporting Lost or Damaged Case Records**

1. Lost or damaged records are reported immediately to the assigned supervisor, the Office of Risk Management (ORM), and the RMU staff.
  - a. Upon notification that a record has been lost, RMU staff schedules a meeting to interview the social worker regarding the lost record.
    - If it is determined during the interview process that the client's identity is at risk or their confidential information is compromised, the social worker sends a notice to the client

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victim, guardian ad litem, and birth parents (as appropriate) informing them of the situation and that the Agency is offering a free credit monitoring services for a year.

- b. The assigned social worker or employee in possession of the record at the time it was lost performs a thorough and complete search for the lost record.
  - c. If the record is not found, the social worker or employee completes an unusual incident (UI) report and submits the report to his or her immediate supervisor or program manager for review.
  - d. Upon satisfactory review of the UI form, the assigned supervisor or program manager signs the form and forwards the original to ORM, keeping a copy on file.
  - e. ORM reviews the form, files it, and forwards a copy of the report to OGC and CFSA's director or designee.
    - If it is determined that a client's protected health information is lost, OGC assesses the situation and follows the mandates of the Health Insurance Portability and Accountability Act (HIPAA) regarding notification and curing any breach of information.
  - f. Within 14 calendar days of the case record being reported lost, the assigned social worker creates a new case record, including replacement of pertinent documents (e.g., replacing a social security card) and printing out contact notes from FACES.NET, etc.
  - g. If the lost case record is located by the assigned social worker, he or she immediately notifies RMU by telephone and email.
  - h. If the lost case record is turned in to RMU by someone other than the assigned social worker, RMU staff electronically notifies the assigned social worker and the assigned supervisor or program manager.
2. If a case record is damaged, the assigned social worker replaces any damaged documents.
    - The assigned social worker consolidates any newly-created files or documents into the undamaged portion of the original case record.

## **H. Disposal of Unscheduled Records**

Unscheduled records for disposal are records that are not listed in the records retention schedule. RMU staff identifies and list any records to be disposed of before any actions are taken to dispose of or to destroy records.

1. The list includes the following information:
  - a. Each record's title
  - b. Content
  - c. Series number
  - d. Closure date
  - e. Number of volumes
  - f. Justification for disposal
2. The RMU supervisor submits the list of records identified for disposal to CFSA's director or designee for review and approval.
3. Once the director or designee approves the list for disposal, the RMU supervisor forwards the list to OPR with a cover letter justifying the request for authorization of destruction.

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4. The identified records are not disposed of until proper approval has been given by the OPR administrator.

#### **I. Destruction and Unlawful Disposal of Case Records**

1. Any manager informed of any actual, impending, or threatened unlawful destruction, defacement, alteration or risks to the preservation of official CFSA records or documents immediately notifies the CFSA privacy officer, RMU, and the director of the Agency.
2. The Agency director notifies the administrator of OPR to cooperatively determine an appropriate administrative and legal action.

#### **J. Management of Private Agency Case Records**

1. The following procedure applies to a private agency's active client case records when a contract is terminated or a client exits placement to permanency:
  - a. Upon termination of a contract (for more information on termination of contracts, the social worker contacts CFSA's Contracts and Procurement Administration), a private agency transfers case records to another agency, including CFSA.
  - b. The private agency converts hard copy records back to the original CFSA standard six-section classification folders prior to the case transfer.
  - c. When transferring records, the private agency provides a master listing of the client case records (with all documents and related volumes).
    - The master list includes the new agency's name, the client's name, the FACES.NET case number, number of volumes, and the date of transfer.
  - d. The assigned program manager or designee from the receiving agency reassigns all of the active private agency client case records to a new ongoing social worker and enters the information in FACES.NET within 30 days of the contract's termination or within the last day of the client's care in placement.
  - e. The original active hard copy client case record (with all documents and related volumes) is physically transferred the receiving program or social worker to the new ongoing social worker during a transfer staffing or a Family Team Meeting.
  - f. The private agency provider forwards the master listing of all active hard copy client case records to RMU within 30 days of the transfer.
2. The following procedure applies to a private agency's closed client case records:
  - a. All private agency closed client case records are transferred to CFSA's RMU within five business days of the case closure.
  - b. The private agency provider also submits to CFSA's RMU a master listing of all closed hard copy client case records and related volumes.
    - a. The master listing includes the client's name, FACES.NET case number, number of volumes, and the date of closure.
3. All closed client case records transferred back to CFSA's RMU must meet the following criteria:
  - a. The record is closed in FACES.NET.



- b. The year of closure is marked in plain view on the front cover of the record (preferably written with a permanent black magic marker).
- c. Closed adoption records are identified with the date of finalization (e.g., adoption finalized 3/31/09).
- d. There is a child record created for each committed child.
- e. The client's name and FACES.NET case number (not client number) is written in plain view on the front cover of the record.
- f. Manila folders and three-ring binders are not accepted; records must be in Agency standard six-section classification folders.
- g. Loose documents are not accepted; documents must be two-hole punched and appropriately filed.
- h. Overstuffed records are not accepted; new volumes should be created.
- i. Volumes must be numbered in the following manner: 1 of 6, 2 of 6, 3 of 6, etc.

#### **K. Requesting Records for Audits and Reviews**

1. The entity performing the audit or review creates a master list of the client records (either closed or open) needed for review and submits the list to the RMU supervisor.
  - a. The entity requesting records submits a master list within a minimum of two weeks prior to the date of the review or audit.
  - b. The master list, created in Excel or other sortable file type, includes the following mandatory data elements:
    - c. Client name
    - d. FACES.NET case number
    - e. FACES.NET client number
    - f. Date of birth
    - g. Date of case closure (if closed)
    - h. Social worker
    - i. Supervisor
    - j. Program manager
    - k. Administrator
    - l. Agency
2. The auditing or reviewer entity designates a records liaison point person to be responsible for contacting RMU and receiving requested records and returning requested records after the audit is completed.
3. The RMU supervisor reviews master listing of open or closed records being requested for accuracy and data consistency.
4. The RMU supervisor assigns the list to an RMU staff person (who functions as the RMU lead related to the audit or review) to locate the requested records.

5. In the event that a requested record is not located, the RMU staff performs a thorough and complete search, including the closed files area and the last known social worker or requester in an attempt to locate the missing record.
6. The assigned RMU staff person contacts the designated records liaison point person via telephone or email within one business day of the request for an open or closed record and provides the status of the record request.
7. Once the records are ready for pick up, if the requested records are not picked up from RMU within three business days of the point person being notified, the records are returned to the assigned social workers or re-filed by RMU.
8. When picking up records, the point person signs the appropriate documents, which acknowledges receipt of the requested records.
  - RMU provides a copy of the receipt to the point person and files another copy in RMU.
9. After the records are picked up and the review is completed, the point person is responsible for returning all requested records to RMU or the assigned social worker or supervisor.
  - For purposes of records management, RMU does not consider an audit or review completed until all requested records are returned.

**CHILD AND FAMILY CASE RECORD KEEPING GUIDELINES**  
**[FR – Meaning Family Record and CR Meaning Case Record]**

**SECTION A**  
**[Arrange in Ascending Order]**  
**Identifying, Judicial and Legal Information**  
**Identifying Information**

Birth Certificate for Child(ren)	FR	CR
Application for Birth Certificate	FR	CR
Social Security Number for Child(ren)	FR	CR
Application for Social Security	CR	
Death Certificate	FR	CR
Application for Certified Copy of Death Certificate (UNIV – 510)	FR	CR
Child Fatality Report	FR	CR

**Legal Documents**

Complaint Report Form	FR	CR
Initial Petition (With ACC signature)	FR	CR
Affidavit of Efforts	FR	CR
Relinquishment of Parental Rights Form (LSA-179)	FR	CR
Acknowledgement of Paternity Form LSA-173)	FR	CR
Abscond Summary Report (PPA-ABS-621)	FR	CR
Custody Order Request Form (PPA-ABS-509)	FR	CR
Non-Compliance with Custody Order Procedures (PPA-ABS-S18)	FR	CR
Termination of Parental Rights Referral Form	FR	CR
Notice of Petition for Adoption to Non-Custodial Biological Mother (LSA-181)	FR	CR
Notice of Petition for Adoption to Non-Custodial Putative Father (LSA-172)	FR	CR
Notice to Non-Custodial Biological Father of an Open Abuse or Neglect Case (LSA-182)	FR	CR

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Notice to Non-Custodial Biological Mother of an Open Abuse or Neglect Case (LSA-184)	FR	CR
Notice to the Named (Putative) Non Custodial Biological Father (LSA-183)	FR	CR
Notice to the Named (Putative) Non Custodial Biological Mother (LSA-186)	FR	CR
Voluntary Placement Agreement (PPA-FC-431)	FR	CR

### **Court Reports**

Court Social Services Reports	FR	CR
Status Reports	FR	CR
Pre-disposition Report	FR	CR
Review of Disposition Reports	FR	CR
Interim Reports (CRT-803)	FR	CR
Review Reports (CRT-801)	FR	CR
Ex-Porte Reports	FR	CR
Permanency Hearing Report (CRT-802)	FR	CR
Guardian ad litem Report		CR
CASA Reports	FR	CR

### **Court Orders/Judicial Determinations**

Pre-Trial Court Order	FR	CR
Neglect Abuse Disposition Order Stipulations	FR	CR
Intermediate Review of Disposition/ Extension of Jurisdiction Order	FR	CR
Permanency Planning Hearing Order	FR	CR
Custody Order	FR	CR
Findings of Fact	FR	CR
Motions	FR	CR

### **Court Related Adoptions Documents**

Termination of Parental Rights Order	FR	CR
Consent of Natural Parent To Adoption (CRT-SVCS-491)	FR	CR
Order of Reference		CR
Final Decree of Adoption		CR
Petition for Adoption		CR

Adoption Report and Recommendations		
Part One		CR
Adoption Report and Recommendations		
Part Two		CR
Supplemental Adoption Report		CR
Request for Extension of Time to File (CRT-805)		CR
Review after Termination of Parental Rights Order		CR

**Section B**  
**[Arrange in Ascending Order]**  
**Case History**

Family Face Sheet (DHS-878)	FR	
Child's Face Sheet (DHS-876)		CR
Report of Alleged Neglect Form (DHS-1530)	FR	CR
Initial Investigation of Neglect/Abuse Form (DHS-1535)	FR	CR
Juvenile Report Form (PD-379)	FR	CR
Hotline Screening Tool	FR	CR
Intake Risk Assessment	FR	CR
Summary of Intake Investigation	FR	CR
Court Social Services Social Investigation	FR	CR
Transfer Summary (UNIV-425)	FR	CR
Closing Summary	FR	CR
Notice of Case Action (DHS-701)	FR	CR
Record of Case Action (DHS-1052)	FR	CR
Notice of Case Closure (UNIV-531)	FR	CR
Notice of Case Transfer (UNIV-533)	FR	CR
Contact Report (UNIV-630)	FR	CR
Verification Case Activity (IFSA-INT-527)	FR	CR

**Section C**  
**[Arrange in Chronological Order]**  
**Case Planning and Administrative Case Review Activity**

Initial Family Case Plan	FR	CR
Initial Case Plan for Child in Care	FR	CR
FACES Case Plan (PPA-FC-545)	FR	CR
Family Case Plan Update	FR	CR
Child in Care Case Plan Update	FR	CR

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FACES Family Assessment (PPA-FC-546)	FR	CR
Safety Plan Reassessment	FR	CR
Risk Assessment	FR	CR
Strengths/Needs Assessment/Reassessment	FR	CR
Risk Assessment	FR	CR
Individual Treatment Plan (ITP) (For children placed in therapeutic and residential treatment centers)	FR	CR
Signed Service Agreements	FR	CR
FACES Service Agreement (PPA-FC-547)	FR	CR
Administrative Review Summary	FR	CR
FACES Summary of Administrative Review (ADM-REV-8)	FR	CR
Administrative Review Notification Letter	FR	CR
FACES Request to Attend an Administrative Review (ADM-REV-9)	FR	CR
Notice of Change in Permanency Goal (PPA-ADP-528)	FR	CR
Notice of Adoption Plan	FR	CR
Diligent Search Referral	FR	CR
Adoption Subsidy Agreement		CR
Notice of Intent to Adopt		CR
Referral for Adoption Recruitment		CR
Referral for Child Specific Adoption Recruitment		CR
Permanency Staffing Forms	FR	CR
Long-Term Foster Care Agreement	FR	CR

**Section D**  
**[Arrange in Chronological Order]**  
**Evaluations and Progress Reports**

Kinship Home Study Evaluations	FR	CR
Psychiatric Evaluations	FR	CR
Psychological Evaluations	FR	CR
Developmental Evaluations	FR	CR
Forensic Screenings/Evaluations	FR	CR
Social Histories	FR	CR
Clinical/Therapeutic Summaries	FR	CR
Progress Report Service	FR	CR

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Collaborative Progress Report	FR	CR
Progress Reports from Placement Providers	FR	CR
Medical Screenings	FR	CR
DC KIDS Reports	FR	CR
Birth Histories	FR	CR
Hospital Records	FR	CR
Immunization Records	FR	CR
Medical Evaluations/Examinations/Treatments	FR	CR
Dental Evaluations/Examinations/Treatments	FR	CR
Vision Evaluations/Examinations/Treatments	FR	CR
Childhood Intervention Evaluations and Progress Reports	FR	CR
Individual Habitation Plans (IHP)	FR	CR
Individual Education Plans (IEP)	FR	CR
Individual Treatment Plans (ITP) (As related to out-patient therapy)	FR	CR
Educational Progress Reports	FR	CR
Educational Attendance Reports	FR	CR
Educational Performance Reports (Advisory Grades/Deficiency Notices)	FR	CR
Vocational Evaluations/Reports	FR	CR
Employment Records	FR	CR

**Section E**  
**[Arrange in Chronological Order]**  
**Correspondence Authorizations / Consents**

Inter/Intra-Agency Correspondence	FR	CR
Information and Exchange Form (DHS-886)	FR	CR
Contracts	FR	CR
Purchase of Service Agreements (PSA)	FR	CR
Unusual Incident Report (UNIV-620)	FR	CR
Notification of Change in Placement	FR	CR
Referrals for Community Based/Collaborative Services	FR	CR
Referrals for Professional Evaluations/Services	FR	CR
FACES Residential Placement Unit Admission/Demographic Information (RDA-PLP-321)	FR	CR
Keys for Life Referral Form (IFSA-CSA-354) Tuition	FR	CR

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Authorizations for Private/Out of Jurisdiction Schools	FR	CR
Request for Approval for Overnight Trips (UNIV-409)	FR	CR
Provider Payment Authorization Forms/Approvals	FR	CR
Clothing Allowance Forms	FR	CR
Special Board and Care Payment Authorizations	FR	CR
Authorization to Provide Medical Treatment, Surgery And/or Anesthesia		
ICPC 100A (PPA-ICPC-263)		
ICPC 100 B (PPA-ICPC-264)	FR	CR

**Section F**  
**[Arrange in Chronological Order]**  
**Data and Entitlement Forms**

Request for Placement Forms (DHS-1013) PL	FR	CR
RO Placement Forms	FR	CR
Declaration for Medical Form (DHS-304)	FR	CR
Citizen/Alien Declaration	FR	CR
WTS Forms	FR	CR
Focus Forms	FR	CR
Supervisor's Case Record Review Sheet	FR	CR
Quality Assurance Transmittals/Feedback Forms	FR	CR
Supervisory Review System (SRS) Questionnaires	FR	CR
Case Review Summary Form	FR	CR
ACEDS Reports	FR	CR
Police Clearances	FR	CR
Child Abuse and Neglect Clearances	FR	CR
FBI Clearances	FR	CR
IV-E Summary (PPA-FC-700)	FR	CR
Title IV-E Eligibility Forms	FR	CR
Title IV-E Re-determination Forms	FR	CR
Title IV-E Reimbursable Summary	FR	CR
Medical Assistance Data Entry Forms	FR	CR
Medicaid Location Code Change Sheet	FR	CR
Medical Termination Forms	FR	CR

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Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Administrative issuances	Copies of Directives, Mayor's Orders, City Council Resolutions, Corporation Counsel opinions, etc., Organizational Orders, manuals of policies and procedures.	Review annually, Destroy when obsolete or superseded	N/A	Review annually, Destroy when obsolete or superseded	Records Comprehensive Schedule number 41, Section 1, Item 47
Adoption Case Records	Contains social security card, birth certificate, documents legally freeing child, petition, commitment order, adoption subsidy documentation, social history of family and child, medical/psychological/psychiatric/developmental evaluations, Title IV-E determination forms, preliminary and final court orders related to adoption proceedings including the Final Decree of Adoption. <b>These files may only be opened and their contents divulged on receipt of a court authorization.</b>	5 years after date of final decree	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Adoption Subsidy	Contains adoption subsidy referral form, adoption petition, commitment order, Title-IV-E determination forms, assets statement, IEP, documents legally freeing the child, medical/psychological/psychiatric/developmental evaluations, AS application, Final Decree.	5 years after date of final decree	70 years	25 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Adoptive Home Records	Contains detailed information about the makeup of the home, results of investigations of a prospective adoptive home and social history of prospective parents and related documents.	5 years	70 years	10 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62c
Appropriate Allotment Files	Allotment records showing status of obligation and allotment under each authorized appropriation.	Destroy 10 years after the close of the fiscal year involved	N/A	Destroy 10 years after the close of the fiscal year involved	General Records Schedule 3, Item 12
Contractor's Payroll Files	Contractor's Payrolls (construction contracts) Submitted in accordance with Labor Dept. regulations, with related certifications, anti-kickback affidavits and other related papers.	Destroy 3 years after date of completion of contract unless contract performance is subject to enforcement action on such date.	N/A	Destroy 3 years after date of completion of contract.	General Records Schedule 3, Item 12
Day Care Records	Contains health forms, documentation related to family composition, employment, eligibility determination, children for whom day care is to be provided and other pertinent social data and authorization forms.	5 years	N/A	5 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 69f
Eligibility (Title IV-E) Foster Care	Contains all court orders/reports, 30A and CAD forms, birth certificate, social security card, child support documents, ACEDS printout, Title IV-E determination/redetermination summary and all related correspondence.	10 years after adoption	N/A	10 years after case closure destroy	Suggested by Title IV-Program Manager

Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Eligibility (Title IV-E) Adoptions	Contains subsidy agreement, final decree, adoption petition, statement of need, medical/psychological/psychiatric/developmental evaluations and Title IV-E determination/redetermination summary and all related correspondence.	10 years after case closure	N/A	10 years after case closure Destroy	Suggested by Supervisory Eligibility Specialist
Expenditure Accounting General Correspondence and Subjects Files	Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration.	2 years, Destroy	N/A	2 years, Destroy	General Records Schedule 6, Item 1
Family Assessment Records	Files Include: hotline family assessment letter, contact letter, family assessment narrative, education and medical assessment, safety assessment, intervention plan, risk assessment consent/authorization forms, correspondence, collaborative referral, ACEDS documents, and transfer information.	5 years. Destroy	N/A	5 years after case closure	N/A
Feasibility Studies	Studies conducted before the installation of any technology or equipment associated with information management systems, such as computer systems, copiers, micrographics, and communications, including studies and system analyses for the initial establishment and major changes of these systems.	5 years	N/A	Destroy when the completed study is 5 years old.	General records Schedule 16, Item 13
Foster Home Records	Contains detailed information about the makeup of the home, its conformance and its use by agency, names and birthdates of children placed in the home and other related information and documents.	5 years	N/A	10 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 66b
General Accounting Ledgers	General accounting ledgers, showing debit and credit entries, and reflecting expenditures in summary.	Destroy 10 years after the close of the fiscal year involved.	N/A	Destroy 10 years after the close of the fiscal year involved.	General Records Schedule 6, Item 2
Guardianship Subsidy	Contains guardianship subsidy referral form, commitment order, IEP, medical/psychological/psychiatric/developmental evaluations, GS eligibility checklist, motion for permanent guardianship, guardianship decree, GS application and "godparent affidavit".	5 years after case closure	N/A	25 years. Destroy	
Interstate Compact on the Placement of Children (Adoption)	100A, 100B, social summary/court report, Court order, Title IV-E determination, adoption petition, final decree; psychological, psychiatric, and developmental assessments, school report, medical report, home study and state police clearances.	5 years after case closure	70 years	75 years. Destroy	Records Comprehensive Schedule number 41, Section 1, Item 62d
Interstate Compact on the Placement of Children (Foster Care)	100A, 100B, social summary/court report, Court order, Title IV-E determination, psychological/psychiatric/developmental assessments, school report, medical report, home study and state police clearances.	5 years after case closure	N/A	5 years. Destroy	
Inventory Requisition File Records	Requisitions for supplies and equipment for current inventory.	2 years, Destroy	N/A	2 years, Destroy	General Records Schedule 3, Item 9
Leave Application Files	Application for Leave, SF 71, or equivalent and supporting documents relating to requests for an approval of taking leave.	Destroy after audit or when 3 years old, whichever is sooner	N/A	Destroy after audit or when 3 years old, whichever is sooner	General Records Schedule 2, Item 6

Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Levy and Garnishment Files	Official Notice of Levy or Garnishment (IRS Form 668A or equivalent), change slip, work papers, correspondence, release and other forms, and other records relating to charge against retirement funds or attachment of salary for payment of back income taxes or other debts of District employees.	3 years, Destroy	N/A	3 years, Destroy	General Records Schedule 2, Item 21
Mailing/Investigation List	Lists of individuals or organizations that are to receive copies of newsletters, reports, invitations to events, and other issuances.	Destroy when obsolete or superseded	N/A	Destroy when obsolete or superseded	General Records Schedule 23, Items 3 and 4
Office Administration Files	Relate to office organization, staffing, procedures communications; the expenditure of funds, training, and travel; supplies and office services and equipment requests and receipts; and the use of office space and utilities.	2 years	N/A	2 years Destroy	General Records Schedule 23, Item 1
Out-of-Town Inquiries	Records of investigations, evaluations and home studies requested by other jurisdictions.	5 years	N/A	10 years. Destroy	Records Comprehension Schedule Number 41, Section 1, 80
Payroll Correspondence Files	General correspondence files maintained by payroll units pertaining to payroll preparation and processing.	2 years	N/A	2 years, Destroy	General Records Schedule 2, Item 2
Payroll Files	Security copies of documents prepared or used for disbursement by disbursing offices, with related papers.	Destroy after audit or when 3 years old, whichever is sooner	N/A	Destroy after audit or when 3 years old, whichever is sooner	General Records Schedule 2, Item 13
Project Control Files	Memorandums; reports, and other records documenting assignments, progress, and completion of projects.	1 year	N/A	Destroy 1 year after the year in which the project is closed	General Records Schedule 16, Item 7
Records Disposition Files	Descriptive Inventories, disposal authorization, schedules, and reports.	Destroy when no longer needed for reference	N/A	Destroy when no longer needed for reference	General Records Schedule 16, Item 3
Records Management Files	Correspondence, reports, authorizations, and other records that relate to management of agency records including, such matters as forms, correspondence, reports, mail, and the use of files management; the use of microforms, ADP systems, and word processing; records management surveys; vital records programs.	Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference	N/A	Destroy when 6 years old. Earlier disposal is authorized if records are superseded, obsolete, or no longer needed for reference	General Records Schedule 16, Item 10
Retirement Files	Reports, registers, or other control documents, and other records relating to retirement, such as SF 2807 or equivalent.	3 years, Destroy	N/A	3 years, Destroy	General Records Schedule 2, Item 19a
Routine Control Files	Job control records, status cards, routing slips, work processing sheets, correspondence control forms, receipts for records charged-out, and other similar records used solely to control work flow and to record routine and merely facilitative actions taken.	2 years	N/A	Destroy when work is completed or when no longer needed for operating purposes	General Records Schedule 23, Item 7

Record Type	Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition	Item Number
Schedules of Daily Activities	Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of DC Employees.	5 years	N/A	5 years. Destroy	General Records Schedule 23, Item 2a
Supply Management File	Files of reports on supply requirements and procurement matters submitted for supply management purposes (other than those incorporated in case files or other files of a general nature).	2 years, Destroy	N/A	2 years, Destroy	General Records Schedule 3, Item 5
Time and Attendance Reports Files	Optional Form 1130 or equivalent.	Destroy after audit or when 3 years old, whichever is sooner	N/A	Destroy after audit or when 3 years old, whichever is sooner	General Records Schedule 2, Item 3
Volunteer Coordinator's Ledger	Record of donations, disbursements and related documents.	5 years	N/A	5 years, Destroy	Records Retention Schedule Number 41, Section 1, Item 83
Wards Case Records	Contains social security card, birth certificate, application for services, social history of family and child, Title IV-E determination forms, medical/psychological/psychiatric/developmental evaluations, commitment order, legal documentation.	5 years after case closure	70 years	75 years. Destroy	Records Comprehension Schedule Number 41, Section 1, item 64a



**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**Child and Family Services Agency**



**RECORDS MANAGEMENT UNIT**

**Case Record Request Form**

**COMPLETED BY RMU STAFF ONLY**

**CASE PULLED BY:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

(This form must be filled out completely by requesting worker)

Requestor \_\_\_\_\_ Date \_\_\_\_\_

Program \_\_\_\_\_ Time \_\_\_\_\_

Phone Number \_\_\_\_\_ Pickup Date \_\_\_\_\_

Client Name	Case ID	Year Closed

**RECEIVED BY:**

**(DO NOT SIGN UNTIL YOU HAVE RECEIVED THE RECORD(S))**

\_\_\_\_\_  
**Signature**

\_\_\_\_\_  
**Date**

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