

GOVERNMENT OF THE DISTRICT OF COLUMBIA
Child and Family Services Agency



Business Process: Client Records Management

I. POLICY

The Client Records Management 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”). The RMU is responsible for the general oversight and maintenance of all active and closed CFSA cases, regardless of location. Accordingly, the RMU has developed a secure, efficient, and effective records management policy and business process. Each individual program area or unit, including staff who are co-located in the community, private agencies, and congregate care facilities, shall securely store their active and closed case records in accordance with the Clients Record Management policy and business process.

II. PROCEDURES

A. General Practice

1. Social workers shall create an individual client record for all committed children.
2. Records are bound in a CFSA standard six-section classification folder.
 - a. 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](#)).
 - b. Documents should have two holes punched and attached in the six-section classification folder. Documents that do not have two holes punched and attached are returned to the assigned social worker for proper two-hole binding.
 - c. Create additional volumes using CFSA standard classification folders if a case record overflows with documentation.
 - d. All CFSA, private agencies and congregate care workers shall 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, CFSA 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. Medical records that are created, updated, and compiled within the Health Services Administration remain independent of the child or family case file and are subject to the same retention and archival standards listed under [Ward’s Medical Records \(Attachment B\)](#).
 - a. All social workers shall ensure that every record in their possession is protected from theft, loss, damage, and unauthorized use or disclosure.

- b. When records are open and in use at a workstation, social worker shall take care not to spill food and beverages.
- c. If a client's case record needs to be removed from the CFSA's premises to complete an official CFSA function pertaining to the client or client's family, the social worker shall obtain approval from their administrator or designee.
- d. For case records involving a child, who is being adopted, the social worker ensures that all documents and information that belong to the child are removed from the biological family's case record and placed in the record of the child being adopted.
- e. 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 workload 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 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. Supervisor reviews a record to ensure completeness and then assigns the transferred record to a new social worker in electronic client management system no later than five business days from the date of receipt from the transferring supervisor or program manager.
 - c. Upon re-assignment, the newly assigned social worker shall bring the active case record to the RMU for RMU to properly label the records and enter the transfer into the electronic client management system records management module ("RMM").
 - d. If a case record or a batch of records consists of many volumes, the newly assigned social worker may contact the RMU for arrangement to pick up the records for labeling.
3. The RMU personnel ensures that records being transferred are properly labeled and updated in the electronic client management system records management module ("RMM").
 - After the updated process is completed, the RMU notifies the receiving program area via telephone or e-mail that the records have been processed and labeled and are ready for pick-up from the RMU.
4. Authorized staff receiving transferred records from the RMU signs a charge-out sheet that acknowledges the receipt of records before the record is released.
 - a. Staff shall not sign for records not received.
 - b. The RMU staff checks out case records in the electronic client management system records management module ("RMM") to newly assigned social worker.
 - c. Newly assigned social worker or designated staff person will pick up records from RMU; if a case record consists of many volumes, the RMU will assist in delivering the records to the assigned program.

5. If a newly assigned or receiving supervisor or program manager receives an incomplete record (i.e., missing documents or volumes), they shall notify the former assigned social worker and request that all missing documentation and volumes be forwarded to the receiving supervisor or program manager.
 - a. The RMU staff records (within one business day) in the electronic client management system records management module (“RMM”) any missing documents or volumes and notes that all reasonable efforts have been made to locate missing documents and volumes.
 - b. To the extent possible, the newly assigned social worker shall consult with the transferring social worker to recreate any lost documents.

C. Transferring Closed Records to RMU

1. Before records are transferred to RMU for closure processing, the assigned supervisor or designee approves all records leaving the program or unit (all client related documents are placed in the client’s case record).
 - a. The case-managing social worker notifies their supervisor that the record is ready for closure.
 - b. The case-managing social worker then physically delivers the record (including all volumes and documents) to their supervisor or designee for review of proper documentation and closure in FACES.
2. Within 30 days from case closure in Family Court or from the last day of the child’s care in placement, the case-managing social worker shall transfer the original CFSA standard six-section classification folders to CFSA RMU.
 - a. All closed client case records transferred and received by the RMU for closure are logged into the case record sign-in logbook by the RMU.
 - A catalog sheet signed; copied and filed by the RMU staff accompanies batches of records.
 - b. If a client’s case record or batch includes large volumes of records, the social worker or supervisor contacts the RMU for assistance in transporting the records to the RMU.
 - c. The 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. Within 72 hours of accepting the closed records, the RMU staff properly checks in, labels, and alphabetically files the closed records by year of closure.

D. Requesting Access to Records

1. A social worker requesting access to another social worker’s case record, must submit a written justification (via email) to the supervisor of the case managing social worker.
2. The supervisor provides permission via email or attached memorandum.
3. The social worker obtains a [Case Record Request Form \(see Attachment C\)](#) from the RMU. The RMU staples it to the printed email (or other written permission).
4. The RMU staff reviews the *Case Record Request Form* for accuracy and completeness.
 - Incomplete forms are returned to the requester to be completed and resubmitted for processing.

5. The RMU staff contacts the requesting authorized staff via telephone or email to notify them that the requested records are available for pick up or that the records were not located.
 - a. Requesting authorized staff shall sign case record request form acknowledging receipt of requested records.
 - b. Authorized staff shall **NOT** sign for records **NOT** received.
6. A current or former CFSA client may authorize another individual who is 18 years of age or older to view a copy of their CFSA client 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 to CFSA's custodian of records (i.e., Records Management Supervisor) for review.
8. The custodian of records forwards the request 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 requester'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, the OGC instructs the RMU staff to retrieve the case record.
 - c. The 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.
 - d. No case record is removed from the designated location without prior written permission from the OGC or the director of CFSA.
9. 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 Adoption Records

1. A Court Order from the Family Court is required to gain access to Break Seal Adoption Records to include any agency personnel (e.g., Attorney or the Intermediary).
2. "Break seal social workers" receive the Family Court orders to unseal and to reseal the adoption client records.
3. In ten 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.

4. The RMU will perform a thorough and exhaustive search based upon the information identified on the *Special Records Request Form* submitted by the break seal social worker.
 - a. If requested records and documents are located, they will go to the requesting break seal social worker.
 - b. If requested records and documents are not located, based upon the information identified on the *Special Records Request Form*, the RMU notifies the requesting break seal social worker.
5. 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 or finalized adoption client record 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 reseat order is received, the break seal social worker completes the following tasks:
 - i. Places all original sealed documentation into the original sealed envelope or finalized adoption client record
 - ii. Makes a notation on the original sealed envelope or case record that the record has been resealed by the Family Court
 - iii. Signs and dates the new resealed envelope and places the original sealed envelope or case record into the RMU case record storage box for transfer to the RMU

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 like the example below):
 - *These communications, along with any attachments, are protected by federal and state laws governing electronic communications and 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 by the assigned social worker or designee immediately to the assigned supervisor, CFSA's Risk Officer ("RO"), the RMU staff, and file a report in ERisk at ERisk.dc.gov or Start.dc.gov. For additional information, you can contact the District of Columbia Office of Risk Management ("DCORM"), Risk Prevention, and Safety Division at (202) 727- 5408 or (202) 727- 5692.
 - a. Upon notification that a record has been lost, the assigned supervisor meets with the social worker regarding the lost record.
 - If it is determined during the meeting that the client's identity is at risk or their confidential information compromised, the social worker notifies the client, guardian ad litem, and birth parents (as appropriate) of the situation. CFSA will offer, without cost, a copy of client's consumer credit report from each of the three credit reporting agencies (TransUnion, Equifax, and Experian) annually until the child or youth leaves foster care (see [*Protecting Children in Care from Identity Theft Administrative Issuance*](#)).
 - 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 completes an unusual incident ("UI") report in ERisk or Start.dc.gov.
 - d. The DCORM will be responsible for notifying all stakeholders (e.g., CFSA's Supervisors, CFSA's ORM, CFSA's Office of General Counsel and CFSA's Director).
 - e. If it is determined that a client's protected health information is lost, the OGC assesses the situation and follows the mandates of the Health Insurance Portability and Accountability Act ("HIPAA") regarding any breach of information.
 - f. Within 14 calendar days of the case record being reported lost, the assigned social worker creates a replacement client record.
 - g. If the assigned social worker locates the lost case record, they shall immediately notify the supervisor, program manager and the RMU.
 - h. If someone other than the assigned social worker turns in the lost case record to the RMU, the RMU staff electronically notifies the assigned social worker, supervisor and program manager.
 - i. If a case record is damaged, the assigned social worker creates a new client case record by adding original undamaged documents with replaced documents into the new client case record.

H. Disposal of Unscheduled Records

Unscheduled records for disposal are records that are not listed in the records retention schedule (e.g., personal notes that social workers use as a reference point). The RMU staff identifies and lists 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 the OPR with a cover letter justifying the request for authorization of destruction.
4. The RMU disposes of identified records only after the OPR administrator has given approval.

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, the RMU, and the director of the Agency or designee.
2. The Agency director or designee notifies the administrator of the OPR to determine appropriate administrative and legal action.

J. Management of Private Agency Case Records

1. The following procedure applies to any 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, a private agency transfers case records to another agency or CFSA.
 - b. The private agency converts hard copy records back to the original CFSA standard six-section classification folders before cases are transferred.
 - c. When transferring records, the private agency provides a master listing of the client case records and number of volumes.
 - The master list includes the new agency's name, the client's name, the electronic client management system case number, number of volumes, and the date of transfer.
 - d. The assigned program manager or designee from the receiving agency reassigns all the active private client case records to a new ongoing social worker and enters the information in electronic client management system within 30 business 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 are physically transferred to the receiving program or social worker or to the new ongoing social worker during a transfer staffing or a Family Team Meeting.
 - f. The private agency provider forwards the master listing and all *active hard copy client case records* to the RMU within 30 business days of the transfer.
2. The following procedure applies to a private agency's *closed hard copy client case records*:
 - a. The private agency provider forwards the master listing, and all *closed hard copy client case records* to the RMU within 30 business days of the case closure.
 - c. The master listing includes the client's name, electronic client management system 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.
 - b. The year of closure is marked in plain view on the front cover of the record.

- c. Closed adoption records are identified with the date of finalization (e.g., adoption finalized 3/31/09).
- d. A child record is created for each committed child.
- e. The client's name, electronic client management system case number, and electronic client management system client numbers are 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. Documents must be two-hole punched and appropriately attached. Loose documents are not accepted.
- h. Overstuffed records are not accepted; new volumes should be created as necessary.
- i. If a client has one client record, the record must be numbered in the following manner (e.g., 1 of 1) and if the client has multiple volumes, the volumes must be numbered in the following manner (e.g., 1 of 6, 2 of 6, and 3 of 6).

K. Requesting Records for Audits and Reviews

1. CFSA's Deputy Directors or designee designates a records liaison point person from their program to be responsible for contacting the RMU and receiving requested records and returning requested records after the audit or review is completed.
2. The records liaison for CFSA creates a master list of the client records (active and closed) needed for audits or reviews and submits the list to the RMU supervisor.
 - a. The entity requesting records submits a master list to CFSA, two weeks prior to the date of the audit or review.
 - b. The master list, created in Excel or other sortable file type, includes the following mandatory data elements:
 - i. Client name
 - ii. Electronic client management system case number
 - iii. Electronic client management system client number
 - iv. Date of birth
 - v. Date of case closure (if closed)
 - vi. Social worker
 - vii. Supervisor
 - viii. Program manager
 - ix. Administrator
 - x. Agency
3. The RMU supervisor reviews the master listing of records being requested for accuracy and data consistency.
4. The RMU supervisor assigns the list to a RMU staff person (who functions as the RMU lead related to the audit or review) to locate and retrieve the requested records.

5. If 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 to locate the missing record.
6. The assigned RMU staff person contacts the designated records liaison point person via email one business day after receiving the list of records to provide a status report of the requested records.
7. Once the records are ready for pick up, the requester will be notified. If the requested records are not picked up from the RMU within two business days of the requester being notified, the RMU delivers the records to the designated records liaison point person.
8. When picking up records, the requester signs the appropriate documents, which acknowledges receipt of the requested records.
 - The RMU provides a copy of the receipt to the requester and files a copy in the RMU.
9. After the audit or review is completed, the requester is responsible for returning all requested records to the RMU.
 - An audit or review is not considered completed until all requested records are returned to the RMU.

CHILD AND FAMILY CASE RECORD KEEPING GUIDELINES
[FR – Meaning Family Record and CR Meaning Child 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
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
Electronic client management system Case Plan (PPA-FC-545)	FR	CR
Family Case Plan Update	FR	CR
Child in Care Case Plan Update	FR	CR
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
Summary of Administrative Review (ADM-REV-8)	FR	CR
Administrative Review Notification Letter	FR	CR
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
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 outpatient 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
Electronic client management system Residential Placement Unit Admission/Demographic Information (RDA-PLP-321)	FR	CR
Keys for Life Referral Form (IFSA-CSA-354) Tuition	FR	CR
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

Records Series Description	Total Retention	Maintain in Office	Retention in Records Center
<p align="center">CHILD AND FAMILY SERVICES AGENCY</p> <p>The Child and Family Services Agency was established by D.C. Law 13-277 to protect child victims, child at risk, and children at risk, and children abused or neglected. The Child and Family Services Agency has four basic functions, which include Child Protective Services, Supportive Family Services, Foster Care, and Permanence.</p>			
<p align="center">Administrative Issuance</p> <p>Files Include: formal directives, orders, etc. not related to agency program functions, policies and/or procedures, but more incline to relate to or be routine administrative functions, with no continuing value.</p> <p>Arranged alphabetically by subject and date of issue. May be in multiple formats, including paper, electronic and photographic.</p> <p align="center">Temporary Records (see GRS 16, item 1)</p>	Review annually, destroy when obsolete or superseded	Review annually; destroy when obsolete or superseded	N/A
<p align="center">Adoption Case Records</p> <p><i>Case Files documenting the legal process of adopting a child.</i> Files include formal adoption papers, relinquishment agreements, petition, records of testimony, preliminary and final court orders related to adoption proceedings, social security card, birth certificate, adoption subsidy documentation, social history of family and child, medical/psychological/psychiatric/developmental evaluations, Title IV-E determination documents, and Final Decree of Adoption. Arranged chronologically by adoption finalization year and, thereafter alphabetically by client's last name. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information, are prohibitively restricted to CFSA personnel, court, and law enforcement officials. May be audited. Long Term Temporary Records</p> <ul style="list-style-type: none"> <i>These files are "sealed" upon a adoption finalization and may only be opened and their contents revealed on receipt of Court authorization</i> <p><i>Cut files at the end of the calendar year of the adoption finalization date. Keep in house for 5 years. At the end of the 5th year, transfer to the Record Center for an additional 70 years. At the end of the 75 years, submit to Archives for final disposition.</i></p>	75 years; submit to archives for final disposition	5 years after date of final decree	
<p>May be audited</p> <p>Long Term Temporary Records</p> <p><i>Cut file at the end of calendar year of the date of the final decree of adoption. Maintain files in-house for 25 years. Destroy at the end of the 25th year.</i></p>			
<p align="center">Adoptive Home Records</p> <p><i>Case file of records documenting eligibility of prospective homes for the adoption of a child.</i></p> <p>Files Include: 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. Files are arranged alphabetically by contractor's last name and provider number. May be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials.</p> <p align="center">Temporary Records</p> <p><i>Cut files at end of the calendar year of the creation of the file. Keep files in-house for 10 years. Destroy at the end of the tenth year.</i></p>	10 years destroy	10 years	N/A

Records Series Description	Total Retention	Maintain in Office	Retention in Records Center
<p align="center">Appropriation Allotment Files</p> <p><i>Allotment records showing status of obligation and allotment under each authorized appropriation. Files are arranged alphabetically by contractor's name and may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Close files at end of the fiscal year of involvement. Cut files and keep in-house for 10 years. Destroy at the end of the 10th year.</i></p>	Destroy 10 years after the close of the fiscal year involved	Destroy 10 years after the close of the fiscal year involved	N/A
<p align="center">Contractor's Payroll Files</p> <p>Files Include: Contractor's Payrolls (construction contracts) Submitted in accordance with Labor Dept. regulations, with related certifications, anti-kickback affidavits and other related papers. Files are arranged alphabetically by contractor's name, and may be in multiple formats, including paper and electronic. Files may contain personal and confidential information and are prohibitively restricted to CFSA personnel. May be audited.</p> <p align="center">Temporary Records</p> <p><i>Close file at the end of the year of the completion of the contract and cut from active files. Keep in-house for 3 additional years. Destroy at the end of the 3rd year unless contract performance is subject of enforcement action on such date.</i></p> <p><i>(This record series is covered in GRS three, item 12)</i></p>	Destroy 3 years after date of completion of contract unless contract performance is subject to enforcement action on such date.	Destroy 3 years after date of completion of contract unless contract performance is subject to enforcement action on such date.	N/A
<p align="center">Day Care Records</p> <p><i>Case file documenting the qualifications and eligibility of organizations, individuals, etc. and their facilities seeking to provide childcare services in compliance with District of Columbia laws and regulations. Files include 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. Files are arranged alphabetically by year (fiscal or calendar) and may be in multiple formats including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Close files at the end of the year of the expiration of license. Cut from active file and keep in-house for 5 years. Destroy at the end of the 5th year.</i></p>	5 years; Destroy at the end of the 5th year	5 years; Destroy at the end of the 5th year	N/A
<p align="center">Director's File</p> <p><i>These are the files created by the Director of the Agency during her or his term of office and include: Copies of Directives, Mayor's orders, speeches, City Council resolutions, organizational orders, policies and procedures, legal opinions, agreements, legal documents and other related records that document the functions of the Agency.</i></p> <p><i>May be in multiple formats, including paper and electronic. Included are all public records, books, writings, letters and emails in the custody of the official.</i></p> <p align="center">Permanent records</p> <p>On or before the expiration of the term of office, transfer to the Archives</p>	N/A		<p>Permanent</p> <p>Transfer to Archives on or before term of office ends</p> <p>Transfer to Archives on or before term of office ends</p>

Records Series Description	Total Retention	Maintain in Office	Retention in Records Center
<p align="center">Eligibility (Title IV-E) Foster Care</p> <p><i>Case file of records documenting eligibility of children determined eligible for assistance from the AID to Families with Dependent Children (AFDC) program and the Temporary Assistance for Needy Families (TANF) under the District's approved title IV-E plan. Files include all court orders/reports, Medical Assistance Data Entry 30A forms, birth certificate copy, social security card copy, child support documents, Automated Client Eligibility Determination System (ACEDS) printout, Title IV-E determination/redetermination summary and all related correspondence. Files arranged Chronologically by year and therein by Case number. Files may in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Close files on the date of the submission of the final claim for payment on behalf of child. Cut files at the end of the fiscal year and keep in-house for 10 years. Destroy at the end of the 10th year.</i></p>	10 years after case closure	10 years after case closure destroy	N/A
<p align="center">Eligibility (Title IV-E) Adoptions</p> <p>Files Include: subsidy agreement, final decree, adoption petition, and statement of need, medical/psychological/psychiatric/developmental evaluations and Title IV-E determination/redetermination summary and all related correspondence. <i>Files arranged Chronologically by year and therein by Case number. Files may in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Close files on the date of the submission of the final claim for payment on behalf of child. Cut files at the end of the fiscal year and keep in-house for 10 years. Destroy at the end of the 10th year.</i></p>	10 years after case closure; Destroy	10 years after case closure	N/A
<p align="center">Expenditure Accounting General Correspondence and Subjects Files</p> <p>Correspondence or subject files maintained by operating units responsible for expenditures accounting, pertaining to their internal operations and administration. <i>Files arranged Chronologically by year and Case number. Files may be in multiple formats, including paper and electronic.</i></p> <p align="center">Temporary Records</p> <p><i>Close files at the end of the fiscal year. Cut and keep in-house for 2 years. Destroy at the end of the 2nd year.</i></p>	2 years destroy	2 years	N/A
<p align="center">Family Assessment Records</p> <p><i>Case file of records documenting behavior and other factors for the purpose of evaluating family strengths and needs, conducted in lieu of investigation in response to certain reports of abuse and neglect with the stipulation that a re-investigation can be conducted when warranted. Files arranged Chronologically by year and Case number. Files Include: Hotline family assessment letter, contact letter, family assessment narrative, educational and medical assessments, safety assessment, intervention plan, risk assessment Consent/authorization forms, correspondence, collaborative referral, ACEDS documents, transfer information. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials.</i></p>	5 years destroy	5 years after case closure	N/A

Records Series Description	Total Retention	Maintain in Office	Retention in Records Center
<p align="center">Temporary Records</p> <p><i>Close files at the conclusion of case. Cut at the end of the calendar year. Keep in-house for 5 years, Destroy at the end of the 5th year.</i></p>			
<p align="center">Feasibility Studies</p> <p><i>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. Files are arranged by fiscal year, and thereafter by subject matter. Files may be in multiple formats, including paper and electronic</i></p> <p align="center">Temporary Records</p> <p><i>Flag studies upon completion. Cut completed studies at end of the fiscal year and separate. Keep in-house for 5 year. Destroy at the end of the 5th year.</i></p>	Destroy when the completed study is 5 years old.	5 years	N/A
<p align="center">Foster Home Records</p> <p>Files Include: 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.</p> <p align="center">Long Term Temporary Records</p>	10 years destroy	10 years	N/A
<p>Formal Directives, Procedures, Policies, Operating Manuals</p> <p><i>Formal directives distributed as orders, circular, etc. announcing major changes in the agency's policies and procedures, usually issued by the authority of the agency Director, Deputy Director or Chief of Staff, having continuing value.</i></p> <p>a. <i>Issuances related to the agency program functions</i></p> <p>b. <i>Case files related to "a" above that document important aspects of the development of the Issuance</i></p> <p><i>See GRS 16, item I</i></p>	<p><i>PERMANENT</i></p> <p><i>OFFER TO DC Achieves in 5 year blocks</i></p> <p><i>Submit a request to dc Archives for disposition authority</i></p>	Keep in house 20 years	
<p align="center">Publications</p> <p><i>Pamphlets, reports, leaflets, file manuals, newsletters, annual reports, or other items processed and/or published by the agency for public access and distribution; or if not published, the last manuscript report, etc.related to management projects. Note: Pursuant to DC Law 6-19, effective Sept. 5, 1985, agencies "shall transmit to the Library of Government Information at least 4 copies of each report, study, or publication of the agency and those prepared by independent contractors, immediately after they have been issued."</i></p> <p>a. <i>Record copy with supporting papers (notes, etc.) which document the inception, scope and purpose of a project, etc.</i></p>	Submit request for disposition authority to DC Archives		

Records Series Description	Total Retention	Maintain in Office	Retention in Records Center
<p>b. Working papers and background materials, not having continuing value.</p> <p style="text-align: center;">Organizational Files</p> <p>a. Organizational charts and reorganization studies, graphic illustrations which provide a detailed description of the arrangement and administrative structure of the agency's functional units. Reorganization studies design efficient alignment or framework for the agency best suited to complete its legislated missions and goal via agency programs, and include final recommendations, proposals, evaluations, administrative maps demonstrating regional boundaries or geographical limitations, or area of coverage of certain programs, etc. Arranged chronological by fiscal year. PERMANENT</p> <p>b. Functional statements, prepared descriptions, of the responsibilities assigned to senior executives of the agency, usually at the division level or higher. Arranged by fiscal year, thereafter by division. PERMANENT</p> <p>c. Agency Histories and selected background materials, including oral histories. May include background materials such as interviews with past and present agency personnel created during the course of conducting research about the agency, reports, photographs, newspaper clips and magazine articles, etc. PERMANENT</p>	<p>Destroy 6 months after final action on project report or 3 years after completion of report if no final action is taken.</p> <p>PERMANENT offer to DC Archives when 5 years old</p> <p>PERMANENT offer to DC Archives when 5 years old</p> <p>PERMANENT offer to DC Archives when 5 years old</p>		
<p style="text-align: center;">General Accounting Ledgers</p> <p><i>General account ledgers, showing debit and credit entries, and reflecting expenditures in summary. Arranged by fiscal year. May be audited. Temporary Records</i></p> <p><i>Close at the end of the fiscal year, cut closed files and keep in-house for 10 years. Destroy at the end of 10th year.</i></p>	<p>Destroy 10 years after the close of the fiscal year involved.</p>	<p>Destroy 10 years after the close of the fiscal year involved</p>	<p>N/A</p>
<p style="text-align: center;">Guardianship Subsidy Program Files</p> <p>Case file of program that provides financial assistance to caregivers who assume legal guardianship of a child in out-of-home care. Files include: guardianship subsidy (GS) referral form, commitment order, IEP medical/psychological/psychiatric/developmental evaluations, GS eligibility checklist, motion for permanent guardianship, guardianship decree, GS application and "godparent affidavit". Files Include: GS referral form, guardianship petition, commitment order, Title-IV-E determination forms, assets statement, IEP, documents legally freeing the child and photographic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audit. medical/psychological/psychiatric/developmental evaluations, GS application and Guardianship Decree. Records are filed alphabetically by</p>	<p>25 years after case closure</p>	<p>25 years destroy</p>	<p>N/A</p>

Records Series Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition
<p>the Guardian's last name and Provider Number. Files may contain multiple document types, including paper, electronic</p> <p style="text-align: center;">Long Term Temporary Records</p> <p><i>Close file when child is no longer eligible. Cut closed files at the end of the fiscal year. Keep in-house for 25 years. Destroy at the end of the 25th year.</i></p>			
<p style="text-align: center;">Interstate Compact on the Placement of Children (Adoption)</p> <p>A contractual agreement between multiple state jurisdictions participating overseeing and regulating the interstate placement of children for adoption to ensure that the jurisdictional, administrative, and human rights obligations of all the parties involved in an interstate placement can be protected. Files Include: 100A, 100B, social summary/court report, Court order, Title IV-E determination, adoption petition, final decree, psychological/psychiatric/developmental assessments, school report, medical report, home study and state police clearances. <i>Files are arranged by client's last name and case number and are considered closed when the placement terminates or case closure with prior concurrence of Receiving State. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audited</i></p> <p style="text-align: center;">Long Term Temporary Records</p> <p><i>Cut closed files at the end of the fiscal year. Keep in-house for 5 years. Transfer to the Record Center for 70 years. Destroy at the end of 75 year.</i></p>	75 years destroy	5 years after case closure	70 years
<p style="text-align: center;">Interstate Compact on the Placement of Children (Foster Care)</p> <p>A contractual agreement between multiple states jurisdictions participating overseeing and regulating the interstate placement of children in foster homes to insure that the jurisdictional, administrative, and human rights obligations of all the parties involved in an interstate placement can be protected. Files Include: 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. Files are arranged by client's last name and case number and are considered closed when the placement terminates or case closure with prior concurrence of Receiving State. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials may be audited</p> <p style="text-align: center;">Temporary Records</p> <p><i>Cut closed files at the end of the fiscal year. Keep in-house for 5 years. Destroy at the end of fifth year</i></p>	5 years destroy	5 years after case closure	N/A
<p style="text-align: center;">Inventory Requisition File Records</p> <p><i>Requisitions for supplies and equipment for current inventory. Files may be in multiple formats, including paper and electronic. May be audited</i></p> <p style="text-align: center;">Temporary Records</p> <p><i>Arrange chronologically by fiscal year, thereafter by subject or title. Close file at the completion or cancellation of requisition. Cut closed files at the end of the fiscal year. Keep in-house for 2 years. Destroy at the end of the 2nd year.</i></p> <p><i>[See DCGS 3, item 9 (a)]</i></p>	2 years destroy	2 years	N/A

Records Series Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition
<p align="center">Leave Application Files</p> <p><i>Application for Leave, SF 71, or equivalent and supporting documents relating to requests for an approval of taking leave. Files may be in multiple formats, including paper and electronic. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Arranged alphabetically by last name, first name, middle initial, then by calendar year. Close file at the end of the calendar year and flag. Cut after audit or when 3 years old, whichever is sooner, and destroy.</i></p> <p align="center"><i>(See DCGS 2, item 8)</i></p>	Destroy after audit or when 3 years old, whichever is sooner	Destroy after audit or when 3 years old, whichever is sooner	N/A
<p align="center">Levy and Garnishment Files</p> <p><i>Files documenting the process of and enforcement of a legal action seizing assets and/or a stream of income. Includes 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. Arranged chronologically by calendar year, thereafter by court case number. File considered closed when lien is released, debt satisfied, and or court order. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials. May be audited</i></p> <p align="center">Temporary Records</p> <p><i>Cut closed files at the end of the calendar year. Keep in-house 3 years. Destroy at the end of 3rd year.</i></p>	3 years destroy	3 years	N/A
<p align="center">Lists</p> <p>a. <i>Mailing Lists - Lists of individuals or organizations that are to receive copies of newsletters, reports, and other issuances. Files may be in multiple formats including electronic and paper. Arranged chronologically by fiscal year, thereafter by subject or title.</i></p> <p align="center">Temporary Records</p> <p><i>Close file and cut when obsolete or superseded Destroy</i></p> <p>b. <i>Invitation List- Lists of individuals or organizations that are to receive invitations to events. Files may be in multiple formats including electronic and paper. Arrange chronologically by fiscal year, thereafter by subject or title.</i></p> <p align="center">Temporary Records</p> <p><i>Close file when obsolete or superseded. Destroy (See DGRS23, item 4)</i></p>	<p>Destroy when obsolete or superseded (see GRS 23 item 3)</p> <p>Destroy when obsolete or superseded</p>	<p>Destroy when obsolete or superseded</p> <p>Destroy when obsolete or superseded</p>	N/A
<p align="center">Office Administration Files</p> <p><i>Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists. These records 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. May include copies of internal activity and workload reports (including progress, statistical, and narrative reports prepared in the office and forwarded to higher levels) and other materials that do not serve as official documentation of the programs of the office. Files may be in multiple formats, including paper and electronic. Arranged by calendar year and then by subject matter.</i></p>	<p>Destroy when 2 years old or when no longer needed, whichever is sooner</p> <p>(See DCGRS 23, item 1)</p>		N/A

Records Series Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition
<p align="center">Temporary Records</p> <p><i>Cut when 2 years old or when no longer needed, whichever is sooner and Destroy.</i> (See DCGRS 23, item 1)</p>			
<p align="center">Out-of-Town Inquiries</p> <p><i>These are records of investigations, evaluations and home studies requested by other jurisdictions. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information, are prohibitively restricted to CFSA personnel, court, and law enforcement officials. Arranged by calendar year and then alphabetically by jurisdiction.</i></p> <p align="center">Temporary Records</p> <p><i>Cut closed files at the end of the calendar year. Keep in-house for 5 years. Transfer to Record Center at the beginning of 6th year for 5 years. Destroy at the end of the 10th year.</i></p>	10 years destroy	10 years	N/A
<p align="center">Payroll Correspondence Files</p> <p><i>General correspondence files maintained by payroll units pertaining to payroll preparation and processing. Files may be in multiple formats including paper and electronic. Arranged chronologically by fiscal year, then alphabetically by subject matter</i></p> <p align="center">Temporary Records</p> <p><i>Cut files at the end of the fiscal year. Keep in-house for 2 years. Destroy</i> (See GRS 2, item 2)</p>	2 years, destroy (see GRS 2, item 2)	2 years	N/A
<p align="center">Payroll Files</p> <p><i>Security copies of documents prepared or used for disbursement by disbursing offices, with related papers. Files may be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted. Arranged chronologically by fiscal year and employee last name. May be audited.</i></p> <p align="center">Temporary Records</p> <p><i>Cut files at the end of the fiscal year. Keep in-house for 3 years or audit is completed, whichever is sooner. Destroy</i> [See GRS 2, item 13(a)]</p>	Destroy after audit or w hen 3 years old, w hichever is sooner [see GRS 2, item 13 (a)]	Destroy after audit or w hen 3 years old, w hichever is sooner	N/A
<p align="center">Project Control Files</p> <p><i>Memorandums; reports, and other records documenting assignments, progress, and completion of projects. Files may be in multiple formats, including paper and electronic. Arranged chronologically by fiscal year, and thereafter alphabetically by project name.</i></p> <p align="center">Temporary Records</p> <p><i>Cut closed files at the end of the calendar year. Keep in-house for 1 year. Destroy</i> (See GRS 16, item 7)</p>	Destroy 1 year after the year in w hich the project is closed (see GRS 16, item 7)	1 year	N/A
<p align="center">Records Disposition Files</p> <p><i>Descriptive Inventories, disposal authorization, schedules, and reports. Files may be in multiple formats, including paper and electronic. Arranged by series title, thereafter chronologically by date, numerically by Disposal Authority or schedule number.</i></p> <p align="center">Permanent Agency Records</p> <p><i>Note: These records should be considered and made a permanent part of the agency's records management program.</i></p>	Permanent Agency Record	Permanent Agency Record	N/A

Records Series Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition
<p><i>High level officials include heads of departments and independent agencies, commissioners, directors, office chiefs, administrators, their deputies and assistants; the heads of program offices and staff offices; Directors of offices, bureaus, or equivalent; staff assistants to these aforementioned officials, such as special assistants and administrative assistants; and career D.C. Employees and political appointees serving in equivalent or comparable positions.) May be in multiple formats, including paper and electronic. Arranged chronologically by calendar year, thereafter by subject matter.</i></p> <p style="text-align: center;">Permanent Records</p> <p><i>Transfer to Archives when the related "High level Official" resigns, retires or is no longer in office.</i></p> <p>b. <i>Records of other than high level D.C. employees as defined in "a" above containing substantive information relating to official activities, the substance of which has not been incorporated into official files. May be in multiple formats, including paper and electronic.</i></p> <p style="text-align: center;">Temporary Records</p> <p><i>Destroy when no longer needed.</i></p> <p>c. <i>Routine materials containing no substantive information regarding the daily activities of other than high officials as defined in "a" above; records of all D.C. employees containing substantive information, the substance of which has been incorporated into official files; and/or personal records of all D.C. employees relating to nonofficial activities.</i></p> <p style="text-align: center;">Temporary Records</p> <p><i>Destroy when no longer needed.</i> (see GRS 23, item 2 a, b, c)</p>	<p>Official resigns, retires, or is no longer in office</p> <p>Destroy when no longer needed</p> <p>Destroy when no longer needed</p>	<p>N/A</p> <p>N/A</p>	<p>N/A</p> <p>N/A</p>
<p style="text-align: center;">Supply Management File</p> <p>Files consist 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). May be in multiple formats, including paper and electronic. Arranged chronologically by fiscal year, thereafter by subject matter.</p> <p style="text-align: center;">Temporary Records</p> <p><i>Cut files at the end of the fiscal year. Keep in-house for 2 years. Destroy</i></p>	<p>2 years destroy</p>	<p>2 years</p>	<p>N/A</p>
<p style="text-align: center;">Time and Attendance Reports Files</p> <p>Optional Form 1130 or equivalent.</p> <p style="text-align: center;">Temporary Records</p> <p><i>(1) Payroll preparation and processing copies. May be audited</i></p>	<p>Destroy after audit or when 3 years old, whichever is sooner.</p>	<p>N/A</p>	<p>N/A</p>

Records Series Description	Retain at CFSA	Retain at DCRC/FRC	Authorized Disposition
<p style="text-align: center;">Temporary Records</p> <p>(2) All other copies.</p> <p>[See GRS 2, item 3a, (1) & (2)]</p>	<p>Destroy 6 months after the end of the pay period</p>	<p>N/A</p>	<p>N/A</p>
<p style="text-align: center;">Volunteer Coordinator's Ledger</p> <p>Records documenting donations, disbursements and related documents. May be in multiple formats, including paper and electronic. Arranged chronologically by fiscal year, thereafter by subject matter or name of donor, etc. May be audited.</p> <p style="text-align: center;">Temporary Records</p> <p style="text-align: center;"><i>Cut files at the end of the 5th fiscal year after creation. Destroy</i></p>	<p>5 years destroy</p>	<p>5 years</p>	<p>N/A</p>
<p style="text-align: center;">Wards Case Record</p> <p>Case file of each child receiving child welfare services whether or not wards in loco parentis of the Mayor of the District of Columbia containing social security card, birth certificate, application for services, social history of family and child, Title IV-E determination forms, rmedical/psychological/psychiatric/developmental evaluations, commitment order, legal documentation. <i>Active casefiles are maintained in the originating care units; inactive files are filed chronologically by year of closure and, thereafter alphabetically by client's last name. May be in multiple formats, including paper and electronic. Files contain personal and confidential information and are prohibitively restricted to CFSA personnel, court and law enforcement officials.</i> May be audited</p> <p style="text-align: center;">Long Term Temporary Records</p> <p><i>Cut closed case files at the end of the calendar year. Keep in- house for 5 years. Transfer to Record Center for 70 years. After the death of a child, the case file should be cut, and then arranged chronologically by date of demise, and kept in-house for 5 years.</i></p> <p><i>Note: These are the basic detailed records of each child receiving child welfare services, whether or not wards in loco parentis of the Mayor of the District of Columbia. They are to be retained for 75 years after cessation of child welfare services by which time they will have reached the age of 25 years or more. This is sufficient to include 3 years after they have reached 21 years of age during which they are entitled to bring suit for any cause against the District of Columbia.</i></p>	<p>75 years submit to archives for final disposition</p>	<p>5 years after closure in Court</p>	<p>70 years; submit to archives for final disposition at end of the 75th year</p>
<p style="text-align: center;">Wards Medical Records</p> <p>Case file of child receiving child welfare services, whether or not wards in loco parentis of the Mayor of the District of Columbia. Case file may include records of physical examinations, medical treatment and related clinical data. Arranged alphabetically by last name and case number of child. Once initiated the case file is incorporated into the child's Ward Case file and subject to the disposition authority as stated in this schedule under item 36.</p> <p style="text-align: center;">Long Term Temporary Records</p>	<p>75 years submit to archives for final disposition</p> <p>(see item 36)</p>	<p>5 years after closure in court</p> <p>(see item 36)</p>	<p>70 years; submit to archives for final disposition at end of the 75th year</p>

**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)

Requester:	Date:
Program:	Time:
Phone Number:	Pickup Date:

Client Name:	Electronic Client Management System Case Number:	Year Case Closed:

RECEIVED BY:

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

_____ Name (print)	_____ Date
_____ Signature	_____ Date