

Policy Title:	Uniform Case Filing System – Policy		
Policy Number:	III-F.2.1		Effective Date: 01-02-1996

Approved By: *on file*

Date Approved:

[Policy](#)

[Forms, etc.](#)

[References](#)

[Contact](#)

Reference(s):

- PAM 9069, "File It - By Section"
- PAM 9070, "File It - By Form"

Form(s) that apply:

- None referenced.

Policy:

Purpose

This policy establishes a standard case filing system and procedures for client case files initiated and maintained by SOSCF branch office locations. It is to be used in conjunction with the "File It" guides, PAM 9069 and PAM 9070.

Policy

The client case file is a collection of information about an individual (family) that includes, but is not limited to, the client's social history, medical history, financial transactions. It contains identifying information particular to the individual. Three major goals of the client case file include accountability for agency actions concerning the client, efficiency (minimizing the amount of documentation), and privacy (protecting information about clients). The client case file is structured so information can be documented and retrieved efficiently, and is useful in service delivery and in accountability.

(1) Client Case File Sections. Eight separate sections are in the case file. Each section contains documents relevant to that part of the client's case.

(a) ICDB Face Sheet Section. The face sheet section generally consists of case identification and demographic information.

(b) Plan/Service Authorization (CF 308). This section contains the plan, referrals and services authorized to be provided to the child/family.

(c) Service Application Section (CF 304). This section contains only the application for voluntary and emergency assistance services.

(d) Financial Section. The financial section consists of any material relating to payments, financial information, financial eligibility, receipts and financial status. Some examples are material pertaining to V.A., SAIF, SSA, SSI and SED.

(e) Legal Section. The legal section consists of all materials which are to or from a legal source or entity, and specifically relate to legal matters. Some examples are material pertaining to courts, attorneys, law enforcement agencies, juvenile departments, interstate compact documents, birth/death certificates, custody reports, subpoenas and social security cards.

(f) Narrative Section. The narrative section consists of social service information directly related to case activity. Nothing but official SOSCF narratives should be in this section. Some examples of documents filed in this section are SOSCF service plan narrative, case review, parent training documentation, risk assessment, case notes and Citizen Review Board findings.

(g) Medical Section. The medical section consists of all material to or from a medical source. Some examples are material pertaining to hospitals, health centers, physicians, dentists, psychologists, psychiatrists, mental health agencies and therapists.

(h) Correspondence/General Section. The correspondence/general section consists of all material which does not fit into any of the other sections. It includes memos, letters and other forms of general correspondence. Some examples are material pertaining to miscellaneous referrals, casework staffing, termination reports, report cards, Indian child welfare correspondence, Independent Living Program documentation, and newspaper or magazine clippings.

(2) Multiple Volumes. When a case record requires making another volume due to bulk, the new volume shall contain the documents covering only the last 12 months of activity, plus the most recent court order. Example: Case record separated on January 1, 1990, would contain documents dated on or after January 1, 1989, and current court order in chronological order. It is not intended to carry all forms forward, but only those necessary for ongoing case operation. An example of an exception to this could be a medical document showing an allergy to penicillin. The documents in the new volume are to be filed by date.

(3) Unique Forms. Each region and branch can place its own unique forms in the appropriate section according to the guidelines already set, provided that the form is an approved regional form.

(4) Forms and Records Coordinator. The forms and records coordinator is responsible for deciding in which section new material and new forms should be located according to established guidelines and advice from program staff who initiate the form.

Contact(s):

- **Name:** CAF Reception; **Phone:** 503-945-5600