



Administrative Policies and Procedures: 16.23

Subject:	Resource Home Case Files
Authority:	TCA 37-5-105(3), 37-5-106;37-5-107; 37-4-201-207
Standards:	DCS 2-104 A; COA: PA-RPM 5.01, PA-RPM 5.02, PA-RPM 6.01, PA-RPM 6.03.
Application:	DCS Foster Care Staff and Supervisory Staff, Private Provider staff
Policy Statement:	
<p>The Department of Children's Services (DCS) reviews and maintains case files in a systematic, confidential manner that ensures safeguards are in place to protect files from unauthorized and improper disclosure. The Department creates a Resource Home Case File upon receipt of an application. Private provider case files may contain equivalent forms. Staff document contacts with resource parents in the Resource Home Case File.</p> <p>DCS maintains Interstate Compact on the Placement of Children (ICPC) Resource Home Case Files using identical procedures and safeguards.</p>	
Purpose:	
To provide filing guidelines to ensure that Resource Home Case Files contain organized, pertinent information.	
Procedures:	
A. Confidentiality, sensitivity, and access to information	<ol style="list-style-type: none"> 1. Resource Home Case Files are marked "<i>CONFIDENTIAL</i>" on the spine of the binder and include the last name and first initial of the family. Resource Home Case Files are stored in a secure location out of public view. 2. When writing case recordings, staff considers the resource parent's right to confidentiality. Case recordings do not include information about persons unrelated to the case, except where those persons have a direct effect on the resource family. 3. When writing case recordings, staff are sensitive to the emotional well being of the participants involved in the case and carefully consider terminology without sacrificing accuracy and completeness. Refer to Section D (5) in this policy for more information. 4. Documentation in the Resource Home Case File regarding custodial children is specific, only as it relates to the resource family. 5. As outlined in the Foster Parent Bill of Rights, resource parents have access to

	<p>information in their case files, with the exception of third party documentation, documents deemed confidential by DCS or protected health information pursuant to HIPAA.</p> <p>6. DCS may release copies of a resource parent home study to another agency upon receipt of a signed release of information for each adult member noted in the home study. Portions of the resource parent home study may be considered public record and can be released upon request to the DCS Office of Communications. In such cases, consultation with the DCS Regional Legal Counsel is appropriate.</p>
<p>B. Case file style</p>	<ol style="list-style-type: none"> 1. Documents related to the resource family are maintained in a 3-ring binder. This binder serves as the official hard copy Resource Home Case File for the family. 2. Information contained in each section listed on the Resource Home File Section Sheets is filed in chronological order, with the most recent information located on top (e.g., discipline forms are placed together in the appropriate location in the case record, with the most recent version placed on top, etc.).
<p>C. Resource Home Case File content organization</p>	<p>Resource Home case files are organized in the manner outlined below. Resource Home Case Files active prior to the effective date of this policy are reorganized as they are reassessed each year by their reassessment date or earlier if the case file is selected for auditing. There is no waiver to extend the approved Resource Home’s reassessment date or to reorganize the case file beyond that date.</p> <ol style="list-style-type: none"> 1. <u>Home Study and Reassessments</u> <ol style="list-style-type: none"> a) CS-0675, Resource Home Cover Sheet (Always on Top) b) CS-0690, Resource Home Study and Family Update Checklist c) CS-0692, Resource Home Mutual Reassessment, Reactivation or Reclassification d) Home Study Addendums/Updates (if applicable) e) Original DCS Home Study f) CS-0682, Expedited Placement Assessment Summary (if applicable) g) Previous or other agency studies (if applicable) <p>Note: Items listed in this section are the narrative summaries. Other sections are the supporting documents to these narratives and are filed as outlined in items 2 through 11 below, in chronological order (with the most recent information located on top).</p> 2. <u>CS-0709, Resource Home Recording</u> <p>This section includes documentation of successful <u>and</u> attempted contacts and correspondence with resource parents.</p>

3. Background Checks

(For adults in the home-required at initial approval & reassessment.)

- a) [CS-0687- Background Checklist and Results Summary /internet Records Clearance Internet Records](#)
 - ◆ National Sex Offender Registry <http://www.nsopr.gov/>
 - ◆ Abuse Registry <http://health.state.tn.us/abuseregistry/index.html>
- b) [CS-0751, Background Clearance Check- Local Criminal History](#)
 - ◆ Local Law Enforcement checks
 - ◆ Any additional court documentation

Note: Refer to DCS policy [16.8, Responsibilities of Approved Resource Homes](#) for more information.

- c) [CS-0741, Database Search Results](#)
 - ◆ Child Protective Services Records Check
 - ◆ TFACTS/Social Services Management System (SSMS)
- d) [Fingerprint Card Information, CS-0691](#)

4. Forms

- a) [CS-0688, Resource Home Application for Parenting](#)
- b) [CS-0932, Resource Home Disclosure Acknowledgement](#)
- c) [CS-0668, Authorization for Release of Information to DCS and Notification of Release](#) (updated at expiration)
- d) [CS-0676, Home Safety Checklist](#) (initial approval and reassessment)
- e) [CS-0871, Resource Home Disaster Plan](#)
- f) [CS-0678, Resource Parent Medical Report](#) (for adults in the home)
- g) [CS-0707, Medical Self Report \(Annual\) Resource Parent and Child](#) (used only for reassessment)
- h) [CS-0427, Child's Medical Record](#) (for children in the home)
- i) [CS -0670, Resource Parent Oath to Abide](#)
- j) [CS-0699, Notice of Privacy Practices \(HIPAA\)](#)
- k) [CS-0660, Disclosure Statement \(Options/Services Available to Relatives](#) (when applicable)
- l) [CS-0553, Discipline Policy](#) (initial approval and reassessment)
- m) [CS-0782, Family ECO Map](#)
- n) [CS-0895, Resource Family Strengths/Needs](#)
- o) [CS-0950, AdoptUSKids Information](#)

5. **Verification**

- a) Birth Certificate (for household members)
- b) Valid Drivers License or RA approved plan for transportation (at time of approval and when license is renewed)
- c) Auto Insurance (at time of approval and when insurance is renewed)
- d) Current Auto Registration (at time of approval and when registration is renewed)
- e) Driving Record Check (at time of approval and required at reassessment)
- f) Pet Vaccination (at time of approval and when vaccination is due)
- g) Current Marriage Certificate (if applicable)
- h) Divorce Decree (for previous marriages)
- i) Death Certificate (for immediate family members)
- j) Final Decree of Adoption (for past adoptions)
- k) Medical Insurance (required for adoption)
- l) Contingency Plan (required for adoption)

6. **Financial/Fiscal Information**

- a) [CS-0431, Monthly Income & Expenditures](#) (initial approval and reassessment)
- b) Proof of reported sources of income (initial approval and reassessment)
- c) [CS-0842, Substitute W-9](#)
- d) [CS-0674, Special or Extraordinary Rate Request](#) (if applicable)
- e) [CS-0656, Supplemental Respite Billing Form](#) (if applicable)
- f) [CS-0493, Standard Claim Form](#) (with receipt copies)
- g) [FA-0825, Automated Clearing House Credits](#) (not wire transfers)
- h) Voided Check

7. **Placement Contracts**

- a) [CS-0626, Expedited Child Placement Contacts](#) (if applicable)
- b) [CS-0565, Daily Rate Child Placement Contract between DCS and Resource Parents approved to Provide Approved to Provide Temporary Care](#)
- c) [CS-0544, Resource Home Placement Checklist](#), (completed for each placement contract).

8. **Training**

- a) PATH Completion Certificate
- b) Child's PATH Participation Certificate (if applicable)

- c) Medication Administration (prior to approval and every two years thereafter)
- d) CPR and First Aid- Non Certified training (prior to approval and every two years thereafter) or CPR Certification (renewed at expiration)
- e) CORE and In-Service Training Completion Certificates
- 9. **Incident Reports/Corrective Action Plans** (if applicable)
 - a) Serious Incident Reports
 - b) Complaint Letters/Memos
 - c) [CS-0909, Resource Home Corrective Action Plans](#)
 - d) [CS-0826, Special Investigations-Notification of Case Initiation and Closure](#)
- 10. **Correspondence**
 - a) [CS-0702, Resource Home Approval](#)
 - b) Denial Letter (if applicable)
 - c) Other Letters, notices or written correspondence
 - d) Interstate Compact on the Placement of Children (ICPC) documents (if applicable)
 - ◆ [CS-0525, Interstate Compact Placement Request \(100A\)](#)
 - ◆ [CS-0523, Interstate Compact Report on Child's Placement Status \(100B\)](#)
 - e) Interstate Compact on Juveniles documents (if applicable)
- 11. **Miscellaneous**
 - a) Family Photograph
 - b) Photo of Exterior of Home
 - c) Autobiography or SAFE Questionnaires
 - d) PATH In Review Homework
 - e) Family Home Floor Plan (indication fire escape route)
 - f) [CS-0679, Authorizations for DCS Custodial Child to Travel out of State /Out of Country](#) (if applicable)
 - g) [CS-0672, Shared Home Authorization](#), (if applicable)
 - h) Miscellaneous Work Aid Documents (if applicable)
 - i) Resource Home Study Reference Letters

Note: Private Provider Agencies may use equivalent forms, provided the content of the forms capture the content of the forms listed above.

D. Documentation

1. Case recording are initiated by utilizing form [CS-0709, Resource Home Recording](#), upon receipt of the application for parenting. Significant events that occur with the family are documented within five (5) working days and recorded on form **CS-0709**. This form is printed and filed on a monthly basis, until a decision is made regarding the family's approval.
2. A summary of the interaction and participation of resource parent applicants during PATH and the home study process is documented in the case file.
3. An entry is made in the family case file to indicate:
 - a) When the home study was submitted for approval:
 - b) When the study was approved or denied:
 - c) If the study was denied: and
 - d) The reason for the denial.
4. Once a Resource Home is approved, significant events that occur with the family are documented within five (5) working days.
5. The quarterly summary includes an entry that summarizes the contact/activities of the previous quarter. The summary also highlights the strengths demonstrated and the challenges faced by the family. The summary is written in clear, concise sentences. Slang language or subjective/personal value judgments are not used when writing the summary. This method of documentation is maintained until the home is closed.
6. E-mail correspondence with resource parents does not include confidential, identifying information due to the potential security risk associated with electronic communication outside the state e-mail system.
7. Abbreviations and acronyms used are commonly understood and acceptable.
8. Contacts with resource parents, either successful or attempted identify:
 - a) The name of the person contacted or attempted contact person;
 - b) The location of the contact or attempted contact;
 - c) The beginning and end times of the contact or contact attempt;
 - d) If telephone contact was made, list who initiated the telephone call; and
 - e) If a message was left and there was no answer.
9. The narrative of case recordings that document contacts (home visits, significant telephone calls, or written correspondence) with resource parents are written in the following "PC-COP" format and entered into **TFACTS**.
 - a) **Purpose of Contact** – Why it was necessary to contact the family (e.g., to gather information, a response to a call or letter, to set up a visit etc.).
 - b) **Content** - What was discussed and/or accomplished.
 - c) **Observation/Assessment** -State in observable/measurable terms: individual behaviors and appearance, interactions among partners present, significant environmental factors, any progress made.
 - d) **Plan** - State what is to be done next as a result of this contact, or as a

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	natural progression of the case management process, including date/time and location of the next planned contact.
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Forms:	Located in Case File Contents
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Collateral documents:	Case Process Review Interstate Compact on the Placement of Children Procedures Manual
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