

Policy 3.5 Records Management

3.5.1 Purpose

To provide guidance to local Children's Services Act (CSA) programs regarding minimum documentation requirements and the management of printed and electronic records.

3.5.2 Authority

- A. Code of Virginia [§2.2-2648](#) enumerates specific areas in which the State Executive Council for Children's Services (SEC) shall be responsible for the development and implementation of guidelines and practices for the Children's Services Act (CSA).
- B. [Section 2.2-2648.D.13](#) of the Code of Virginia states that the SEC shall: "Oversee the development and implementation of uniform guidelines for documentation for CSA-funded services."
- C. [Section 2.2-2648.D.16](#) of the Code of Virginia states that the SEC shall: "Oversee the development and implementation of uniform data collection standards and the collection of data, utilizing a secure electronic client-specific database for CSA-funded services, which shall include, but not be limited to, the following client specific information: (i) children served, including those placed out of state; (ii) individual characteristics of youths and families being served; (iii) types of services provided; (iv) service utilization including length of stay; (v) service expenditures; (vi) provider identification number for specific facilities and programs identified by the state in which the child receives services; (vii) a data field indicating the circumstances under which the child ends each service; and (viii) a data field indicating the circumstances under which the child exits the Children's Services Act program. All client-specific information shall remain confidential and only non-identifying aggregate demographic, service, and expenditure information shall be made available to the public."
- D. In addition, the Office of Children's Services (OCS) is established pursuant to [§2.2-2649](#) A as the administrative entity of the SEC.
- E. [§2.2-5206.12](#) of the Code of Virginia directs local Community Policy and Management Teams to "Collect and provide uniform data to the Council as requested by the Office of Children's Services in accordance with subdivision D 16 of [§ 2.2-2648](#)."

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- F. [§2.2-5210](#) of the Code of Virginia states that: “All public agencies that have served a family or treated a child referred to a family assessment and planning team shall cooperate with this team. The agency that refers a youth and family to the team shall be responsible for obtaining the consent required to share agency client information with the team. After obtaining the proper consent, all agencies shall promptly deliver, upon request and without charge, such records of services, treatment or education of the family or child as are necessary for a full and informed assessment by the team.

- G. Proceedings held to consider the appropriate provision of services and funding for a particular child or family or both who have been referred to the family assessment and planning team and whose case is being assessed by this team or reviewed by the community policy and management team shall be confidential and not open to the public, unless the child and family who are the subjects of the proceeding request, in writing, that it be open. All information about specific children and families obtained by the team members in the discharge of their responsibilities to the team shall be confidential.

- H. Utilizing a secure electronic database, the CPMT and the family assessment and planning team shall provide the Office of Children's Services with client-specific information from the mandatory uniform assessment and information in accordance with subdivision D.11 of § [2.2-2648](#).”

3.5.3 Definitions

“Community Policy and Management Teams (CPMT)” is the entity that develops, implements, and monitors the CSA local program through policy development, quality assurance, and oversight functions.

“Family Assessment and Planning Team (FAPT)” implements the CSA by recommending services for children and families. When making a decision, the team will take into consideration every child and family's unique strengths and challenges when addressing their specific needs as best they can. Families are included in all FAPT assessments, service planning, and decision-making.

“Individual Family Services Plan (IFSP)” is a plan developed during the Family Assessment and Planning Team (FAPT) process that incorporates the results of the mandatory uniform assessment, input of the youth and family, and other information to document goals, objectives, specific interventions/activities, and services recommended by the FAPT.

“Original record” means the first generation of the information and is the preferred version of a record. Archival records should, to the maximum extent possible, be original records. (§42.1-77, COV).

3.5.4 Record Collection

The CPMT shall adopt written policies and establish procedures regarding the management of printed and electronic records for the following purposes:

- To protect confidential data regarding individual children and families.
- To create an internal structure for the management of documents.
- To assure that appropriate records to document the provision of child-specific services, including FAPT decision-making and CPMT funding authorizations, are maintained for future individualized service planning, analysis of aggregated data used to monitor and evaluate overall program effectiveness, and subject to audit; and
- To comply with federal and state requirements regarding confidentiality, records management, storage, and destruction.

3.5.4.1 Minimum Documentation Requirements

Each CPMT shall ensure the collection of child-specific documentation to demonstrate compliance with the CSA statutory requirements ([§2.2-2648.D.16](#) and [§2.2-5206.12](#)). Such documentation shall include, at a minimum, the following:

- Client referral forms
- Case manager designation
- Parent/guardian consent to release information
- Child and Adolescent Needs and Strengths (CANS) assessments
- Parental-contribution assessments, notifications, and payment agreements
- Individual Family Services Plans (IFSP), which include:
 - CSA eligibility determinations, including Child in Need of Services (CHINS) determinations/court orders
 - Identified strengths and needs of the child and family
 - Goals and objectives (desired outcomes and time frames)
 - Services recommended by FAPT/MDT
 - Plan for returning youth to family settings or the community (e.g., discharge plans)
 - Parent/Guardian participation and consent to the service plan
- Individualized Education Programs (IEP)-for CSA-funded special education services
- Foster Care Plans (if used in place of an IFSP)
- Virginia Enhanced Maintenance Assessment Tool (VEMAT)

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- Title IV-E Foster Care Notice of Actions
- Independent Assessment Certification and Coordination Team (IACCT) decisions
- Medicaid denials
- Best Interest Determination Documentation (ESSA form B-17) (for CSA-funded school transportation for youth in foster care)
- Utilization review data (if performed by FAPT, purchased, or otherwise directed by local practice/policy)
- Parental agreements
- CPMT funding requests/authorization(s)
- Signed vendor contract(s)
- Vendor purchase orders
- Vendor invoices and supporting documentation (e.g., receipts, contact logs, etc.)
- Vendor treatment plan(s)
- Vendor progress report(s)

See Appendix A for a copy of a CSA Document Inventory form.

3.5.4.2 Records Management and Retention

The retention and destruction of original records are governed by the agency's retention and destruction policy under whose purview the document originated. Duplicates or “copies of convenience” of original documents are not under the purview of the record retention schedule.

3.5.5 Policy Review

This policy will be subject to periodic review by the State Executive Council for Children's Services.

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Appendix A



CSA Document Inventory

Client Name/Case Number:	enter client name and case number	Date:	select date
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Required Documentation	Location	Date Received	Notes
Referral Information			
Referral Form	enter location if applicable	select date	enter notes if applicable
Consent to Release Information	enter location if applicable	select date	enter notes if applicable
Family Assessment and Planning Team Documentation			
Case Manager Designation	enter location if applicable	select date	enter notes if applicable
Child and Adolescent Needs and Strengths Assessment ¹ (initial, annual, discharge)	enter location if applicable	select date	enter notes if applicable
Service Plan: select plan type	enter location if applicable	select date	enter notes if applicable
CSA Eligibility Determination	enter location if applicable	select date	enter notes if applicable
CHINS Determination	enter location if applicable	select date	enter notes if applicable
Court Orders	enter location if applicable	select date	enter notes if applicable
IEP (for CSA funded educational services)	enter location if applicable	select date	enter notes if applicable
Identified Strengths and Needs	enter location if applicable	select date	enter notes if applicable
Goals and Objectives	enter location if applicable	select date	enter notes if applicable
Services Recommended by FAPT/MDT	enter location if applicable	select date	enter notes if applicable
Discharge Plans	enter location if applicable	select date	enter notes if applicable
Parent/Guardian Participation and Consent to the Services Plan	enter location if applicable	select date	enter notes if applicable
Parental Agreements	enter location if applicable	select date	enter notes if applicable

¹ Per Policy 3.6, "Mandatory Uniform Assessment Instrument"; CANS assessments must be completed in the ~~CANVAS~~ CANVAS 2.0 system.

Financial Information			
CPMT Funding Requests/Authorizations	enter location if applicable	select date	enter notes if applicable
Parental Contribution Assessments/Payment Agreements	enter location if applicable	select date	enter notes if applicable
Virginia Enhanced Maintenance Tool (VMAT)	enter location if applicable	select date	enter notes if applicable
Title IV-E Notice of Actions	enter location if applicable	select date	enter notes if applicable
Independent Assessment, Certification and Coordination Team (IACT) Decisions	enter location if applicable	select date	enter notes if applicable
Medicaid Denials	enter location if applicable	select date	enter notes if applicable
Vendor Purchase Orders	enter location if applicable	select date	enter notes if applicable
Vendor Invoices and Supporting Documentation	enter location if applicable	select date	enter notes if applicable
Best Interest Determination Documentation (ESSA form B-17)	enter location if applicable	select date	enter notes if applicable
Signed Vendor Contract(s)	enter location if applicable	select date	enter notes if applicable
Monitoring Information			
Utilization Review Data	enter location if applicable	select date	enter notes if applicable
Vendor Treatment Plan(s)	enter location if applicable	select date	enter notes if applicable
Vendor Progress Report(s)	enter location if applicable	select date	enter notes if applicable
Miscellaneous Documentation			
enter document name/type	enter location if applicable	select date	enter notes if applicable
enter document name/type	enter location if applicable	select date	enter notes if applicable
enter document name/type	enter location if applicable	select date	enter notes if applicable

Policy 3.5
Appendix A

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