



**Section 6 – Case Management**

**Standard 6.19**

## Child and Family Services File Management

The management of files is an important function of Child and Family Services staff. Child Protection Workers and Designates (including Authorized Persons, Foster Care Worker, Case Aide, Family Preservation Worker or Supervisor/Manager) are required to accurately document all work-related activities by creating complete and accurate documentation and filing these documents in MatrixNT and on the hard file.

The Child Protection Worker must open and maintain an electronic and hard file for every individual (child, youth, and young adult) receiving services under the *Child and Family Services Act*.

### REFERENCE

*Child and Family Services Standard 6.1 – Case Documentation*

### PURPOSE

- To provide a record of all supports and services provided and/or legal proceedings involving a child, youth, young adult, and parent/caregiver(s).

### PROCEDURE

#### **File Structure for a VSA, SSA, POCA, Apprehension, SO, TCO and PCO**

A Child and Family Services file for a ***Voluntary Services Agreement, Support Services Agreement, Plan of Care Agreement, Apprehension Order, Supervision Order, Temporary Custody Order and Permanent Custody Order*** is contained in a six (6)-sectioned folder.

SECTION	DOCUMENTS
Front Cover	<ul style="list-style-type: none"> <li>LAST NAME, First Name (Alias)</li> <li>Date of Birth (mm/dd/yyyy)</li> <li>Matrix/CFIS Number</li> <li>Date of opening, closing and reopening (mm/dd/yyyy)</li> <li>Volume Number</li> <li>A list of cross-referenced sibling files</li> </ul>

Date: October 30, 2020

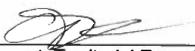
  
Colette Prevost, Territorial Executive Director, CFS



**Section 6 – Case Management**

**Standard 6.19**

Section 1	<ul style="list-style-type: none"> <li>• Child and Family Services Face Sheet(s) (most up to date version)</li> <li>• Case Note(s)</li> <li>• On Call Report(s) (Documentation Related to an After-Hours Report of Child Abuse and/or Neglect)</li> <li>• Case Review(s)</li> <li>• Foster Care Report(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Case Transfer Summaries</li> <li>• Closing Summaries</li> <li>• Access Plans Supervision Record Form(s) (Related to Case Management)</li> <li>• Email(s) (Related to Case Management)</li> <li>• Other Correspondence</li> </ul>
Section 2	<ul style="list-style-type: none"> <li>• Screening and Response Priority Assessment Form(s)</li> <li>• Safety Assessment Forms &amp; Safety Plans Form(s)</li> <li>• Risk Assessment Form(s)</li> <li>• Investigation Report Form(s)</li> <li>• Investigation Case Note(s)</li> </ul>	<ul style="list-style-type: none"> <li>• Household Strengths and Needs Assessment</li> <li>• Serious Occurrence Reports (Territorial, Interprovincial, Specialized Services)</li> <li>• Child Protection Alert(s) (Territorial, Interprovincial, Specialized Services)</li> </ul>
Section 3	<ul style="list-style-type: none"> <li>• Medical Report(s) (Dental, Psychological, Psychiatric, Speech Therapy, Occupational Therapy, Optometrist, Specialized Services Reports, FASD Assessment Reports, etc.)</li> <li>• Travel Authorization Form(s)</li> <li>• Parent(s)' Consent to Travel</li> </ul>	<ul style="list-style-type: none"> <li>• Immunization Record(s)</li> <li>• Educational Record(s), (Report Card(s), Dismissal Letter(s), Individual Education Plan(s))</li> <li>• Consent to Services for a Child/Youth Form(s)</li> <li>• Release of Information Form(s)</li> </ul>
Section 4	<ul style="list-style-type: none"> <li>• In Territory Specialized Services Document(s)</li> <li>• Out of Territory Specialized Services Document(s)</li> <li>• Social Histories</li> <li>• Child Assessment for Adoption Placement</li> </ul>	<ul style="list-style-type: none"> <li>• Photograph(s)</li> <li>• Life Books Genogram(s)</li> <li>• Transition Plans(s)</li> <li>• Permanency Plan(s)</li> <li>• Cultural Support Plan(s)</li> <li>• Child/Youth Placement Information Form(s)</li> </ul>
Section 5	<ul style="list-style-type: none"> <li>• Financial Approval(s)</li> <li>• Specialized Needs Assessment</li> </ul>	<ul style="list-style-type: none"> <li>• Day Care Expense(s)</li> <li>• Summer Programming Expense(s)</li> </ul>

Date: October 30, 2020	 Colette Prevost, Territorial Executive Director, CFS
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**Section 6 – Case Management**

**Standard 6.19**

	<ul style="list-style-type: none"> <li>Form(s)</li> <li>Vacation Expense(s)</li> <li>Children’s Special Allowance Application(s) and Cancellation(s)</li> </ul>	<ul style="list-style-type: none"> <li>Afterschool Expense(s)</li> <li>Any other expense(s)</li> </ul>
Section 6	<ul style="list-style-type: none"> <li>Voluntary Services Agreement(s) and Case Plan(s)</li> <li>Support Services Agreement(s) and Case Plan(s)</li> <li>Plan of Care Agreement(s) and Case Plan(s)</li> <li>Case Plan Report(s)</li> <li>Notification of the Right to Elect to Go to Court Form(s)</li> <li>Modification of a Plan of Care Agreement Form(s)</li> <li>Oath of Confidentiality Form(s)</li> <li>Notice of First Meeting of a Plan of Care Committee Form(s)</li> <li>Extension of Plan of Care Agreement Form(s)</li> <li>Notice of Request for Review of a Plan of Care Agreement Form(s)</li> <li>Written Notice of Termination of Plan of Care Agreement Forms Election to Proceed to Court Form(s)</li> <li>Notification of the Right to Access Legal Services Form(s)</li> </ul>	<ul style="list-style-type: none"> <li>Originating Notice(s)</li> <li>Notice of Motion(s)</li> <li>Affidavit(s)</li> <li>Supplementary Affidavit(s)</li> <li>Consent(s) (Related to Court)</li> <li>Revocation of Consent(s) (Related to Court)</li> <li>Affidavit of Execution(s)</li> <li>Waiver of Notice(s)</li> <li>Adjournment Order(s)</li> <li>Removal Order(s)</li> <li>Notice of Witness to Attend</li> <li>Any other legal document(s)</li> <li>Passport</li> <li>Health Care Card</li> <li>Social Insurance Number Card</li> <li>Registration of Live Birth</li> <li>Birth Certificate</li> <li>Indigenous Organization Membership Documents</li> <li>General Identification Card</li> <li>Driver’s Licence</li> <li>Notice of Significant Measures Form(s)</li> </ul>

Date: October 30, 2020	 Colette Prevost, Territorial Executive Director, CFS
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**Section 6 – Case Management**

**Standard 6.19**

**File Structure for an Extended Support Services Agreement**

A Child and Family Services file for an *Extended Support Services Agreement* is contained in a four (4)-sectioned folder.

SECTION	DOCUMENTS
Front Cover	<ul style="list-style-type: none"> <li>• LAST NAME, First Name (alias)</li> <li>• Date of Birth (dd/mm/yyyy)</li> <li>• Matrix/CFIS Number</li> <li>• Date of opening, closing and reopening (dd/mm/yyyy)</li> <li>• Volume Number</li> </ul>
Section 1	<ul style="list-style-type: none"> <li>• Extended Support Services Agreement Face Sheet(s) (most up to date version)</li> <li>• Case Note(s)</li> <li>• Email(s) (Related to Case Management)</li> <li>• Case Review(s)</li> <li>• Closing Summaries</li> <li>• Case Transfer Summaries</li> <li>• Supervision Record Form(s) (Related to Case Management)</li> <li>• Other Correspondence (Related to Case Management)</li> </ul>
Section 2	<ul style="list-style-type: none"> <li>• Serious Occurrence Report(s) (Territorial, Interprovincial, Specialized Services)</li> </ul>
Section 3	<ul style="list-style-type: none"> <li>• Budget Information</li> <li>• Financial Approval(s)</li> <li>• Reimbursable Information</li> <li>• Public Trustee Information</li> </ul>
Section 4	<ul style="list-style-type: none"> <li>• Extended Support Services Agreement(s) and Case Plan(s)</li> <li>• Transition Plan(s)</li> <li>• Permanency Custody Order</li> <li>• Public Guardianship Information</li> <li>• Notification of the Right to Access Legal Services Form(s)</li> <li>• Registration of Live Birth</li> <li>• Birth Certificate</li> <li>• Indigenous Organization Membership Document(s)</li> <li>• General Identification Card</li> <li>• Driver's Licence</li> <li>• Passport</li> <li>• Health Care Card</li> <li>• Social Insurance Number Card</li> <li>• Release of Information Form(s)</li> <li>• Any other legal document(s)</li> <li>• Notice of Significant Measures Form(s)</li> </ul>

Date: October 30, 2020

  
Colette Prevost, Territorial Executive Director, CFS



## Section 6 – Case Management

## Standard 6.19

### Responsibilities

#### Child Protection Worker/Designate:

##### Opening a File:

- Creates an Individual or Household Profile in MatrixNT and adds basic information related to the individual (child, youth, young adult, and parent/caregiver(s)) in the Personal Details section.
- Opens a Child and Family Services hard file under the individual's (child, youth, and young adult) name.
- Places all correspondence and documentation in the correct section of the Child and Family Services hard file and MatrixNT file.

##### Maintaining a File:

- Maintains the Child and Family Services hard file and MatrixNT file for as long as the individual (child, youth, and young adult) is receiving services.
- Stores all court related documents and agreements in envelopes. These documents **must not** be hole-punched.
- For those young adults who are eligible for support through an Extended Support Services Agreement (ESSA), access to their Permanent Custody file is prohibited after their 19<sup>th</sup> birthday; therefore, it is crucial to gather all important documents like the Permanent Custody Order, birth certificates, ID, etc. that the young adult may require if they receive an ESSA.

##### **Note:**

- Accurate, complete and timely documentation and filing are not a separate function but an integral part of the casework process.
- All documents, correspondence, case notes, recordings, etc. must be maintained in the hard file located in the community where the child, youth, young adult, and parent/caregiver(s) last received services. The hard file is the permanent and complete record of the child, youth, young adult, and parent/caregiver(s). Furthermore, **all documents** related to the hard file, including court documents, **must** be maintained on the hard file and not separated into individual files, i.e. individual court hard files.

Date: October 30, 2020

  
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## Section 6 – Case Management

## Standard 6.19

### **Closing a File:**

- Completes a **Closing Summary form** and provides the **form** and file to the Supervisor/Manager for review and approval.
- Uploads the approved **Closing Summary form** to MatrixNT and places a copy of the **form** in the appropriate section in the Child and Family Services hard file.
- Provides the file(s) to the administrative assistant, file clerk or designate responsible for filing and record-keeping to be placed with closed files until the individual turns 19 years old.
  - Records the files as per the Region/Authority's Health and Social Services **Operational Records Classification System (ORCS) Ongoing Schedule**.
- Contacts the Department of Health and Social Services' (DHSS) Records Technician/Administrator at [CFS\\_Info@gov.nt.ca](mailto:CFS_Info@gov.nt.ca) to transfer the Child and Family Services hard file(s) to the Department of Health and Social Services (DHSS) for archiving.

### **Supervisor/Manager:**

- Ensures the Child Protection Worker or Designate creates an Individual or Household Profile in MatrixNT and opens a Child and Family Services hard file under the individual's name (child, youth, and young adult).
- Ensures the Child Protection Worker or Designate maintains the Child and Family Services hard file and MatrixNT file for as long as the individual (child, youth, and young adult) is receiving services and stores court related documents and agreements in envelopes.
- Ensure the Child Protection Worker or Designate gathers all important documents like the Permanent Custody Order, birth certificates, ID, etc. that the young adult may require if they receive an Extended Support Services Agreement
- Reviews the **Closing Summary form** along with the MatrixNT and hard files with the Child Protection Worker or Designate to ensure the **Closing Summary form** and all required documentation are completed on both files.
- Instructs the Child Protection Worker or Designate to upload the approved copy of the **Closing Summary form** to the MatrixNT file and to place a copy on the hard file.

Date: October 30, 2020

  
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## Section 6 – Case Management

## Standard 6.19

### FORMS

- Closing Summary
- 6.19.1 Child and Family Services Face Sheets
- 6.19.2 Extended Support Services Face Sheets

### TOOLS

- 6.19.1 Child and Family Services File Cover Sheets
- 6.19.2 Extended Support Services File Cover Sheets

Date: October 30, 2020

  
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