
**ORANGE COUNTY SOCIAL SERVICES AGENCY
CFS OPERATIONS MANUAL**

Effective Date: March 15, 1986
Revised: March 12, 2010

Number: E-0106

Case Closure

Purpose To provide guidelines regarding the closure of dependency and non-dependency CFS cases.

Approved This policy was approved by Mike Ryan, Director of CFS, on March 12, 2010. *Signature on file.*

Background This revision to the Children and Family Services (CFS) Policy and Procedure (P&P) Case Assignment, Transfer and Termination—Dependency (E-0106) incorporates and renders obsolete information contained in:

- Policy Development Unit (PDU) Dispatch “Case Closure/Storage” (E-0101-D)

In accordance with best-practice guidelines, staff will adhere to the responsibilities and timelines established in this P&P, when closing a dependency or non-dependency case.

This policy does not address:

- Court-ordered sealing of dependency case files. (Refer to CFS P&P [Case Sealing \[E-0109\]](#))
- Closure of a concurrent planning case (i.e., secondary assignment of a Concurrent Planning Social Worker). (Refer to CFS P&P [Concurrent Planning \[D-0202\]](#))

Legal Mandates [Welfare and Institutions Code \(WIC\) Section \(§\) 16501\(c\)](#) authorizes counties to provide child welfare services, as needed, pursuant to an approved service plan (i.e., Case Plan).

Definitions **Case Files:** Legal File(s) and Service Folder(s) associated with a dependency/non-dependency case, the contents of which are detailed in CFS P&P [Case Filing \(E-0102\)](#).

POLICY

Circumstances Requiring Case Closure An open case will be closed when ongoing CFS involvement will not be required following:

- Dismissal of a petition filed in Juvenile Court pursuant to WIC § 300, 342, or 387
- Termination of dependency proceedings
- Adoption finalization
- Termination of Voluntary Family Services (VFS)/Informal Supervision (WIC § 301) (**Note:** See CFS P&P [Voluntary Family Services \[VFS\] and Informal Supervision \[M-0106\]](#) for circumstances necessitating termination of voluntary services)
- Emancipation of the child
- A child being declared a ward pursuant to WIC § 601 or 602 (i.e., Juvenile Probation) (**Note:** This does not include a Dual Status Child under Court jurisdiction pursuant to WIC § 300 and WIC § 601 or 602)

Case Closure—Legal Guardianship Following establishment of legal guardianship and termination of dependency, continued provision of case management and/or financial services may be required. In such instances, the case will:

- Remain open in CWS/CMS
- and/or**
- Be transferred to another social worker/program/County

For guidelines regarding case closure following establishment of legal guardianship, refer to:

- CFS P&P [Legal Guardianship—Dependents \(K-0402\)](#)
- CFS P&P [Legal Guardianship—Non-Dependents \(K-0404\)](#)
- CFS P&P [Kin-GAP \(H-0113\)](#)

Preparation for Case Closure The following will be completed in preparation for closure of a case:

A. **Determination of Appropriateness of Case Closure:**
The assigned social worker, in consultation with his/her supervisor, will consider the following factors in determining the appropriateness of case closure:

- **For Dependency/Adoption Cases**
 - Dependency proceedings have been terminated
 - All Juvenile Court hearings have been vacated
 - Compliance with all outstanding Court orders

- **For VFS/Informal Supervision Cases**
 - Program Manager (PM) approval has been obtained (for case closures prior to six months)
 - Notice of Intended Action (NOA) has been provided pursuant to CFS P&P [Voluntary Family Services \(VFS\) and Informal Supervision \(M-0106\)](#) (**Note:** NOA is not required if *Waiver of 10-Day Notice Requirement [F063-25-203]* has been signed)

Note: Identify all associated sibling cases (as applicable) that also require case closure.

B. **Casework:**
The following casework will be completed by the assigned social worker:

1. **Compliance Contacts:**
Verify all required contacts have been completed and documented in CWS/CMS, pursuant to CFS P&P [Case Compliance Contacts and Documentation \(E-0105\)](#).

For instructions on entering case contacts into CWS/CMS, refer to [CWS/CMS Data Entry Standards—Qualifying Referral/Case Contact Instructions](#)

2. **Structured Decision Making (SDM):**
Verify all applicable SDM tools have been previously completed pursuant to CFS P&P [Structured Decision Making \(D-0311\)](#).

VFS/Informal Supervision cases require completion of the following additional SDM tools, prior to case closure:

- California Safety Assessment
- Safety Plan (only if a safety threat is identified and the child will be left in the home at the time of case closure)
- California Family Risk Reassessment for In-Home Cases

3. Return/Disposal of Child's Personal Property:
 During the life of a case, it may be necessary to store and/or safeguard a child's personal property.

In accordance with CFS P&P [Children's Property \(D-0306\)](#), prior to case closure, the assigned social worker will make every effort to return a child's unclaimed property.

Any property that remains unclaimed at case closure will be:

- a. Noted by the assigned social worker on the *Children and Family Services Termination (F063-25-117)*.
- b. Considered for disposal (i.e., donation) if unclaimed within the timeframes specified in CFS P&P [Children's Property \(D-0306\)](#).

C. **Filing and Documentation:**

The assigned social worker will review the following to ensure all documentation regarding casework and Court-related activities (as applicable) is filed in accordance with CFS P&P [Case Filing \(E-0102\)](#).

- 1. Legal File (include the Minute Order [or Ex Parte] indicating termination of dependency proceedings).

Note: For case closures following adoption finalization, the Adoption Decree or Petition to Adopt (Minute Order) will be forwarded to the Adoptions Program.

- 2. Service Folder.

D. **CWS/CMS Notebooks:**

The **CWS/CMS Notebooks** will be reviewed and updated, by designated staff (per program specific protocol), in the following areas (as applicable):

- Court Management Section will reflect:
 - Termination of dependency
 - No pending Court hearings
- Client demographic information
- Placement episodes will be end-dated (***Adoption Case Exception:*** *Following adoption finalization, do not end the current placement episode. This will be completed by designated Adoptions staff*)
 - The assigned social worker will complete a Placement Information Change (PIC) Notice pursuant to CFS P&P [Placement Change Notification \(K-0209\)](#)
 - The Unit Clerk will process the PIC Notice and end the placement episode pursuant to [CWS/CMS Data Entry Standards—Ending Foster and Non-Foster Care Placements/Placement Episodes](#)
- All “In Progress” Case Plans will be approved/removed
- Adoption and Foster Care Automated Reporting System (AFCARS) Navigation tool
 - Reviewed and signed by the assigned social worker, pursuant to CFS P&P [AFCARS \(E-0110\)](#)

Case closure will not be initiated unless each of the tasks specified above has been completed. Any exceptions to the items outlined in the Preparation for Case Closure policy section above must be approved by the assigned supervisor, and documented on the *Children and Family Services Termination (F063-25-117)*.

Timeframe for Case Closure

Case closure is considered complete when a case has been closed in CWS/CMS and all primary/secondary assignments have been end-dated.

Adoption Case Exception: *Following case closure in CWS/CMS, primary assignment will remain with the designated Adoption Assistance Program (AAP) Caseload.*

Case closure will be completed as soon as possible and no later than:

- **For Dependency Cases (including Adoptions Cases)**
 - 30 calendar days following termination of dependency proceedings

- **For Voluntary Cases (including VFS/Informal Supervision Cases)**
 - 30 calendar days from the Case Plan end date **or** 30 calendar days from the last face-to-face contact with the child (if case closure is prior to Case Plan end date)

Any delays in processing a case closure will be immediately reported by those encountering the delays, to the assigned social worker and supervisor.

Case Closure Process

The following will be completed and/or adhered to when requesting case closure.

A. **Requesting Case Closure:**

Once the tasks detailed in the Policy section entitled “Preparation for Case Closure” have been completed, the assigned social worker (or designee) will complete the following to request approval for case closure:

1. Complete the *Children and Family Services Termination (F063-25-117)* and forward, along with all associated case files, to the assigned supervisor (or designee).

2. Request case closure in CWS/CMS, utilizing the **End Case Navigation Tool**. See [CWS/CMS Data Entry Standards—Case Closures](#) for further instruction on requesting closure of a case in CWS/CMS.

Adoption Case Exception: *The assigned social worker will notify their supervisor that the case is ready for transfer of primary assignment, in CWS/CMS, to the **In-Box AAP Unit**. Case closure will be requested by designated Adoptions staff.*

Note: Case closure due to a child being declared a ward pursuant to WIC § 601 or 602 requires case suspension in CWS/CMS. See [CWS/CMS Data Entry Standards—](#)

[Instructions for Suspending a Case in CWS/CMS](#) for further information.

CWS/CMS Case Closure Summary: Staff requesting case closure in CWS/CMS will complete a Case Closure Summary, to be entered into CWS/CMS as detailed in [CWS/CMS Data Entry Standards—Case Closures](#).

The Case Closure Summary will be written in complete, concise sentences (avoid using abbreviations) and include, as applicable:

- Date child declared a dependent or VFS worker assigned to case
- Reason for termination of dependency/case closure
- Reasons family received services (e.g., general description of disposition allegations)
- Brief history of the case, including:
 - Services/referrals offered
 - Services utilized by client(s)
 - Case Plan participation and progress
 - Date(s) of Court-ordered services (i.e., Family Maintenance, Family Reunification, Permanency Planning)
 - Date dependency proceedings were terminated (reference any Exit Orders issued)
- Description of child's safety at time of case closure
- Prognosis and concerns should future CFS involvement be necessary (for VFS/Informal Supervision cases, include the Final SDM Risk Level)

Adoption Case Exception: *Due to the confidential nature of an adoption case, the Case Closure Summary will include only the date(s) of adoption finalization and termination of dependency. Additional information may be requested by submitting a Post-Adoptive Inquiry (PAI) to the Adoptions program.*

- B. **Casework Responsibility Pending Case Closure:**
Pending approval of case closure, the assigned social worker will remain responsible for all case-related responsibilities. This may include:

- Responding to phone calls from clients
- Consideration of the need to file a child abuse referral when child safety issues are identified, pursuant to SSA Administrative P&P [Mandated Suspected Abuse Reporting \(D 16\)](#). (**Note:** Consult assigned supervisor regarding any child safety issues identified)

C. **Approving Case Closure:**

To approve case closure, the assigned supervisor will review the following for accurateness and completeness, to ensure compliance with the guidelines outlined in this policy:

- Case Files
- CWS/CMS (as detailed in [CWS/CMS Data Entry Standards—Case Closures](#))
- *Children and Family Services Termination (F063-25-117)*

If case documentation and/or filing is incomplete, the assigned supervisor will return the case files to the assigned social worker and indicate necessary modifications to approve case closure.

Exception: If a Minute Order/Ex Parte indicating termination of dependency or an Adoption Decree/Petition to Adopt has not been received, case closure may be approved, provided:

- Termination of dependency and/or adoption finalization (as applicable) is verified in the Court Management Section of CWS/CMS

and

- The *Children and Family Services Termination (F063-25-117)* indicates missing document(s) will be obtained prior to forwarding the closed case for record retention

If case closure is approved, the assigned supervisor will:

- Provide signature approval on the *Children and Family Services Termination (F063-25-117)*
- Approve case closure in CWS/CMS, pursuant to [CWS/CMS Data Entry Standards—Case Closures](#). (**Note:** Following case closure approval in CWS/CMS, primary/secondary assignments associated with the case are end-dated and no further information may be updated)

Adoption Case Exception: Once signature approval on the *Children and Family Services Termination (F063-25-117)* is obtained, the assigned supervisor (or designee) will transfer primary assignment in CWS/CMS to the **In-Box AAP Unit**, for CWS/CMS case closure by designated Adoptions staff.

Case Closure Following Adoption Finalization

Following adoption finalization, closure of an adoption case involves extraordinary processing, as it relates to:

- Forwarding relevant adoption documents to the Unit Clerk of the Parent Adoptions Worker, to be combined with the Adoptions Applicant case file
 - [Attachment 1—Adoptions Case Closing Procedure](#) describes the documents to be forwarded for inclusion in the Adoptions Applicant case file. (**Note:** All other case files not designated as Adoptions Applicant case files will be retained by the sending program until case closure is approved)
 - See CFS P&P [Case Filing \(E-0102\)](#) for information regarding “A” (homestudy) files and “purple” (legal worker) files maintained/organized by the Adoptions program
- Transfer of primary assignment in CWS/CMS to the **In-Box AAP Unit**

Regarding approval of case closure for adoptions cases:

- The Unit Clerk of the Parent Adoptions Worker will request case closure in CWS/CMS
- The Adoptions Clerical Supervisor will be responsible for approving case closure in CWS/CMS

For detailed information regarding case closure following adoption finalization, see the Procedure section below.

Sensitive/Highly Sensitive Cases

Case closure of a **Sensitive/Highly Sensitive** case involves extraordinary processing and handling, as it relates to:

- Completion of the *Children and Family Services Termination (F063-25-117)*
- CWS/CMS data entry
- Delivery of hard files associated with the case
- Record retention

For further information regarding case closure of **Sensitive** and **Highly Sensitive** cases, refer to CFS P&P [Sensitive/ Highly Sensitive Referrals and Cases \(F-0107\)](#).

Record Retention Following Case Closure

Following approval of case closure, all case files will be forwarded for record retention to the appropriate storage area:

- Case files associated with a dependency case will be forwarded to the **Closed Files Index**
- Case files associated with a non-dependency case (e.g., VFS) will be forwarded to **SSA Closed Files** (**Note:** VFS/Informal Supervision cases that involved dependency proceedings will be forwarded to the **Closed Files Index** for record retention)
- Case files associated with a case identified as “Life Retention” will be forwarded to the **Custodian of Records**

Adoption Case Exception: *Adoptions Applicant case files are retained in **Adoptions Closed Files**. All other case files not designated as Adoption Applicant case files (i.e., Legal File/Service Folder) will be forwarded to the appropriate storage area.*

Any case record documentation that requires filing after a closed case is sent for record retention, will be forwarded to the appropriate storage area with an attached memo indicating the case name, child’s date of birth, and CWS/CMS case number.

For specific information regarding timeframes for record retention and expungement of case record information following case closure, see CFS P&P [Record Retention \(E-0111\)](#).

REFERENCES

Attachments and Data Entry Standards

Click on the links below to directly access attachments to this P&P and any Data Entry Standards referred to.

- [Attachment 1—Adoptions Case Closing Procedure](#)
- [CWS/CMS Data Entry Standards—Ending Foster and Non-Foster Care Placements/Placement Episodes](#)
- [CWS/CMS Data Entry Standards—Qualifying Referral/Case Contact Instructions](#)
- [CWS/CMS Data Entry Standards—Instructions for Suspending a Case in CWS/CMS](#)
- [CWS/CMS Data Entry Standards—Case Closures](#)

Hyperlinks

Users accessing this document by computer may create a direct connection to the following references by clicking on them.

- CFS P&P [AFCARS \(E-0110\)](#)
- CFS P&P [Case Compliance Contacts and Documentation \(E-0105\)](#)
- CFS P&P [Case Filing \(E-0102\)](#)
- CFS P&P [Case Sealing—Administrative Tasks \(E-0109\)](#)
- CFS P&P [Case Sealing – Clerical Tasks \(E-0108\)](#)
- CFS P&P [Children’s Property \(D-0306\)](#)
- CFS P&P [Concurrent Planning \(D-0202\)](#)
- CFS P&P [Kin-GAP \(H-0113\)](#)
- CFS P&P [Legal Guardianship—Dependents \(K-0402\)](#)
- CFS P&P [Legal Guardianship—Non-Dependents \(K-0404\)](#)
- CFS P&P [Placement Change Notification \(K-0209\)](#)
- CFS P&P [Record Retention \(E-0111\)](#)
- CFS P&P [Sensitive/ Highly Sensitive Referrals and Cases \(F-0107\)](#)
- CFS P&P [Structured Decision Making \(D-0311\)](#)
- CFS P&P [Voluntary Family Services \(VFS\) and Informal Supervision \[M-0106\]](#)
- SSA Administrative P&P [Mandated Suspected Abuse Reporting \(D 16\)](#)

Other Sources

Other printed references include the following:

None.

REQUIRED FORMS

Online Forms

Required forms listed below may be printed out and completed, or completed online, and may be accessed by clicking on the link provided.

Form Name	Form Number
Children and Family Services Termination	F063-25-117
Adoptions Routing Sheet	F063-25-581

Hard Copy Forms

Forms listed below must be completed in hard copy (including multi-copy NCR forms). **For reference purposes only**, links are provided to view these hard copy forms, where available.

Form Name	Form Number
None.	

CWS/CMS Forms

The following required forms may **only** be obtained in CWS/CMS. **For reference purposes only**, links are provided to view these CWS/CMS forms, where available.

Form Name	Form Number
None.	

Brochures

Brochures to distribute in conjunction with this procedure include:

Brochure Name	Brochure Number
None.	

PROCEDURE

**Required Actions—
Case Closure –
Non-Adoption
Cases**

The following procedure will be completed within the timeframes specified in this Policy when case closure of a dependency/non-dependency case is appropriate.

Note: Closure of **Sensitive/Highly Sensitive** cases requires extraordinary processing, handling, and storage. See CFS P&P [Sensitive/Highly Sensitive Referrals and Cases \(F-0107\)](#).

<u>Staff Responsible</u>	<u>Step</u>	<u>Required Action</u>
Assigned Social Worker	1.	Complete the following, in accordance with the Policy section entitled “Preparation for Case Closure:” <ol style="list-style-type: none"> a. Verify all required compliance contacts have been completed and documented in CWS/CMS. b. Structured Decision Making (SDM) tools (as applicable) pursuant to CFS P&P Structured Decision Making (D-0311). c. Return a child’s unclaimed property, when stored in the CFS Children’s Property Room.

d. Update/organize the following, as applicable:

- Legal File
- Service Folder
- CWS/CMS Notebooks

2. Complete and sign *Children and Family Services Termination (F063-25-117)*. Include all information necessary for case closure

Identify any specific documents missing from the case file (e.g., Minute Order/Ex Parte indicating termination of dependency).

Assigned Social Worker (or Designee)

3. Request case closure in CWS/CMS, utilizing the **End Case Navigation Tool**. See [CWS/CMS Data Entry Standards—Case Closures](#) for further instruction.

Note: To request case closure in CWS/CMS, staff must be assigned as the Primary or Secondary worker or have approval authority in the Primary worker's unit.

4. Forward all case files to the assigned supervisor, along with attached *Children and Family Services Termination (F063-25-117)*.

Assigned Supervisor

5. Review the following (as applicable) for accurateness and completeness:

- Case Files
- CWS/CMS (as detailed in [CWS/CMS Data Entry Standards—Case Closures](#))
- *Children and Family Services Termination (F063-25-117)*

6. Following approval of case closure:

a. Sign *Children and Family Services Termination (F063-25-117)*.

b. Approve case closure in CWS/CMS (per program specific protocol), pursuant to [CWS/CMS Data Entry Standards—Case Closures](#).

- c. Forward all case files and signed *Children and Family Services Termination (F063-25-117)* to assigned Unit Clerk.

Note: If case documentation and/or filing is insufficient to approve case closure, return the case files to the assigned social worker with requested modifications.

Assigned Unit Clerk (IPT)

7. Upon receipt of case files and *Children and Family Services Termination (F063-25-117)*:
 - a. Verify assigned social worker and supervisor signed *Children and Family Services Termination (F063-25-117)*.
 - b. Review all case files to ensure:
 - All Accos are properly labeled
 - There are no case documents left unfiled (**Note:** Any loose paperwork will be filed in accordance with CFS P&P [Case Filing \[E-0102\]](#))
 - c. Print Adoption and Foster Care Automated Reporting System (AFCARS) Navigation tool and:
 - Forward to assigned social worker for review and signature approval
 - Make any corrections/additions on the AFCARS data, as indicated by the assigned social worker

Note: For further information, refer to CFS P&P [AFCARS \(E-0110\)](#).
8. Complete the *Children and Family Services Termination (F063-25-117)* as follows:
 - a. Enter CWS/CMS closure/approval date.
 - b. Indicate number of volumes of Legal Files and Service Folders.
 - c. Print Unit Clerk name and include date the form was processed.

9. If parent is appropriate for Parent Leadership Program referral, as indicated on *Children and Family Services Termination (F063-25-117)*, forward copy to the Team Decision Making (TDM) Program Manager.
10. Deliver all case files with attached *Children and Family Services Termination (F063-25-117)* to the appropriate storage area for record retention, as identified in “Record Retention Following Case Closure” in the Policy section of this P&P.

Exception: If the Minute Order/Ex Parte verifying termination of dependency (as applicable) is not in the Legal File, return all case files, with attached *Children and Family Services Termination (F063-25-117)*, to the assigned social worker. **Once the Minute Order/Ex Parte has been received, proceed with step 10.**

Required Actions— Case Closure – Adoption Cases	The following procedure will be completed within the timeframes specified in this Policy when case closure is appropriate following adoption finalization <u>and</u> termination of dependency.	
	Note: Closure of Sensitive/Highly Sensitive cases requires extraordinary processing, handling, and storage. See CFS P&P Sensitive/Highly Sensitive Referrals and Cases (F-0107) .	
Staff Responsible	Step	Required Action

Given the extraordinary processing for closure of an adoption case, the following will be completed as expeditiously as possible to facilitate case closure within the timeframes specified in this Policy.

**Parent
Adoptions
Worker Unit
Clerk (IPT)**

1. End current placement episode (based upon date of adoption finalization) pursuant to [CWS/CMS Data Entry Standards—Ending Foster and Non-Foster Care Placements/Placement Episodes](#), upon verification of adoption finalization and/or receipt of the Adoption Decree or Petition to Adopt (Minute Order).

Note: Placement Information Change (PIC) Notification not required. PIC previously completed when Adoption Placement Agreement signed.

Assigned Social Worker

2. Complete the following, in accordance with the Policy section entitled “Preparation for Case Closure:”
 - a. Verify all required compliance contacts have been completed and documented in CWS/CMS.
 - b. Structured Decision Making (SDM) tools (as applicable) pursuant to CFS P&P [Structured Decision Making \(D-0311\)](#).
 - c. Return a child’s unclaimed property, when stored in the CFS Children’s Property Room.
 - d. Update/organize the following, as applicable:
 - Legal File
 - Service Folder
 - CWS/CMS Notebooks
3. Complete and sign *Children and Family Services Termination (F063-25-117)*. Include all information necessary for case closure

Identify any specific documents missing from the case file (e.g., Minute Order/Ex Parte indicating termination of dependency).
4. Forward all case files to the assigned supervisor, along with attached *Children and Family Services Termination (F063-25-117)*.

Assigned Supervisor

5. Review the following for accurateness and completeness:
 - Case Files
 - CWS/CMS (as detailed in [CWS/CMS Data Entry Standards—Case Closures](#))
 - *Children and Family Services Termination (F063-25-117)*
6. Following approval of case closure:
 - a. Sign *Children and Family Services Termination (F063-25-117)*.

- b. Forward all case files and signed *Children and Family Services Termination (F063-25-117)* to assigned Unit Clerk.

Note: If case documentation and/or filing is insufficient to approve case closure, return the case files to the assigned social worker with requested modifications.

Assigned Unit Clerk (IPT)

7. Upon receipt of case files and *Children and Family Services Termination (F063-25-117)*:
 - a. Verify assigned social worker and supervisor signed *Children and Family Services Termination (F063-25-117)*.
 - b. Review all case files to ensure:
 - All Accos are properly labeled
 - There are no case documents left unfiled (**Note:** Any loose paperwork will be filed in accordance with CFS P&P [Case Filing \[E-0102\]](#))
 - c. Print Adoption and Foster Care Automated Reporting System (AFCARS) Navigation tool and:
 - Forward to assigned social worker for review and signature approval
 - Make any corrections/additions on the AFCARS data, as indicated by the assigned social worker

Note: For further information, refer to CFS P&P [AFCARS \(E-0110\)](#).
8. Complete the *Children and Family Services Termination (F063-25-117)* as follows:
 - a. Indicate number of volumes of Legal Files and Service Folders.
 - b. Print Unit Clerk name and include date the form was processed.

9. Remove all documents/Accos from case file that will be combined with the Adoptions Applicant Case file.
 - a. Refer to [Attachment 1—Adoptions Case Closing Procedure](#) to identify and remove relevant case file documentation in the Legal File and Service Folder.
 - b. Place a Memo on the top of the right-hand side of the Service Folder (Volume I), which indicates:

“All Placement, Medical, and Services information is in the Permanent Adoptions File.”
 - c. Complete the *Adoptions Routing Sheet (F063-25-581)* and attach to case file documents complied for forwarding to the Adoptions program.

Note: Attach copy of signed *Children and Family Services Termination (F063-25-117)* and AFCARS Navigation Tool Report to Placement Acco.

Assigned Unit Clerk (IPT) or Assigned Supervisor

10. Electronically transfer Primary assignment of case to the In-box AAP Unit in CWS/CMS.

Send email notification of electronic assignment in CWS/CMS to Adoptions Clerical Supervisor.

Assigned Unit Clerk (IPT)

11. Deliver only those documents/Accos designated for the Adoptions Applicant Case File to the Adoptions Program no later than **one business day** following transfer of Primary assignment.

Note: Await confirmation of case closure from the Adoptions Program prior to forwarding the remaining case files to the Closed Files Index for record retention.

Parent Adoptions Worker Unit Clerk (IPT)

12. Upon receipt of documents/Accos designated for the Adoptions Applicant Case File, combine per program-specific protocol with:

- Existing Adoption Applicant Case File maintained by the Parent Adoptions Worker
- Purple file maintained by the Adoptions Legal Worker

See CFS P&P [Case Filing \(E-0102\)](#) for information regarding case files maintained/organized by the Adoptions program.

13. Request case closure in CWS/CMS, utilizing the **End Case Navigation Tool**. See [CWS/CMS Data Entry Standards—Case Closures](#) for further instruction.

Whenever possible, request closure of a child’s case in conjunction with closure of the associated Adoption Applicant case.

If the Adoption Decree has not been received by the Parent Adoptions Worker, case closure in CWS/CMS may be requested, provided:

- Termination of dependency and adoption finalization has been verified in the Court Management Section of CWS/CMS
- Missing documentation is noted on the *Children and Family Services Termination (F063-25-117)*

**Adoptions
Clerical
Supervisor**

14. Approve case closure in CWS/CMS pursuant to [CWS/CMS Data Entry Standards—Case Closures](#).

**Parent
Adoptions
Worker
Unit Clerk (IPT)**

15. Complete the following:
- Send email notification of case closure in CWS/CMS to previously assigned Unit Clerk.
 - File Applicant Case File (which includes Adoption Decree/Petition to Adopt) in Adoption Closed Files, numerically, by Adoptions case number.

Note: Do not file in Adoption Closed Files until Adoptions Applicant Case is closed.

Previously Assigned Unit Clerk (IPT)

16. Upon confirmation of case closure by Adoptions program:
 - a. Enter CWS/CMS closure/approval date on *Children and Family Services Termination (F063-25-117)*.
 - b. Deliver remaining case files with attached *Children and Family Services Termination (F063-25-117)* to the appropriate storage area for record retention, as identified in "Record Retention Following Case Closure" in the Policy section of this P&P.

Exception: If the Minute Order/Ex Parte verifying termination of dependency is not in the Legal File, return all case files, with attached *Children and Family Services Termination (F063-25-117)*, to the assigned social worker. **Once the Minute Order/Ex Parte has been received, proceed with step 16(b).**

**Required Actions—
Closed Files Index**

The following procedure will be completed when a closed case has been forwarded to the Closed Files Index, for record retention.

Note: Closure of **Sensitive/Highly Sensitive** cases requires extraordinary processing, handling, and storage. See CFS P&P [Sensitive/Highly Sensitive Referrals and Cases \(F-0107\)](#).

Staff Responsible	Step	Required Action
Index Clerical Supervisor (or Designee)	1.	Upon receipt of the closed case: <ol style="list-style-type: none"> a. Review case files for completeness to ensure there are no loose (unfiled documents). b. Verify that the Minute Order/Ex Parte indicating termination of dependency is in the Legal File (required for dependency cases only).
	2.	If case files are complete: <ol style="list-style-type: none"> a. Update the Folder Tracking System (FTS) database.

Note: Sensitive/Highly Sensitive cases will be logged in the Index Shared Drive.

- b. File closed case in the appropriate storage area of the Closed Files Index, alphabetically by last name, and categorized by the month/year case closure was approved.

3. If case files are incomplete (e.g., missing the Minute Order/Ex Parte verifying termination of dependency or required signatures are not on the *Children and Family Services Termination [F063-25-117]*):

- a. Return all case files to the Unit Clerk of the sending program.
- b. Email the Unit Clerk of the sending program (CC assigned social worker and supervisor) identifying the required modifications prior to delivery of the case files to the Closed Files Index.

Required Actions—Custodian of Records – Life Retention The following procedure will be completed when a closed case identified as “Life Retention” has been forwarded to the Custodian of Records, for record retention.

Note: Closure of **Sensitive/Highly Sensitive** cases requires extraordinary processing, handling, and storage. See CFS P&P [Sensitive/Highly Sensitive Referrals and Cases \(F-0107\)](#).

<u>Staff Responsible</u>	<u>Step</u>	<u>Required Action</u>
Custodian of Records (or Designee)	1.	Upon receipt of the closed case:
	a.	Review case files for completeness to ensure there are no loose (unfiled documents).
	b.	Verify that all volumes of the Legal File and Service Folder are included.
	2.	If case files are complete:
	a.	Assign Life Retention case number.
	b.	Update the Life Retention database.

- c. File closed case in the Life Retention Inventory, categorized numerically by Life Retention case number.

3. If case files are incomplete (e.g., missing Legal File):

- a. Return all case files to the Unit Clerk of the sending program.
- b. Email the Unit Clerk of the sending program (cc assigned social worker and supervisor) identifying the required modifications prior to delivery of the case files to the Custodian of Records.