



CHILDCARE AND PARENT SERVICES (CAPS)

Records and Record Keeping:

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The local county department shall not use or disclose any confidential information for any purpose which does not conform to federal and state requirements.

Organization and Management of Records

Active case records should be organized and maintained so that CAPS case managers, supervisors, and other authorized reviewers are able to identify that the initial and continued eligibility requirements are met, and that there is communication and documentation to support all actions relating to the case.

The client's case record should be divided into permanent sections in the order listed below. Material in each tabbed section must be maintained in chronological order with the most current information on top:

Section 1: General Information – Form 450 (Face Sheet, if used)

- Verification of SSN
- Verification of Immunization
- Verification of Citizenship
- Verification of Residency
- Verification of Identity

Section 2: Signed Copy of Application

- Supporting Verification (Wage Verification, SUCCESS Print, Informal Care Giver Information)
- Form 62 (Disposition)
- All appropriate system/automation screens

All actions should have corresponding forms, appointment letter and other correspondence with the client, verification, etc. together; actions should be in chronological order with most recent actions on top

Section 3: Correspondence –

- Appointment Letter & Checklist
- Form 713 and other interoffice communication,
- All other correspondence (i.e. email correspondence with parental authority)

Section 4: Miscellaneous -

- Hearing Information
- Claims
- Case Accuracy Reviews

The client's CAPS case record should be either maintained separately from the client's related program case record.



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CAPS records may be reduced in size by establishing more than one volume of the active case record. When using this practice, the records must have a distinctive marking to identify that more than one volume exists (e.g., Vol. 1 of 2). The most current certification documentation, verifications and contact information must be filed in the volume currently used by the case manager.

CAPS records should be retained for a three-year period from the end of the federal fiscal year in which the last activity took place. The exceptions to the three-year period are situations where audits, investigations, or claims are in progress or are expected. Records that have an audit or investigation must be retained until completed. *Inactive* claims cases will be terminated after four years dating from the calendar month in which the most recent activity took place and records may be purged unless the claim was established as suspected fraud by Office of Audits and Compliance. Case records and claims material associated with an intentional program violation are permanent documents and cannot be destroyed.

Computer-generated reports are considered case record material and therefore must be retained for a period of three years. Documentation for any computer-generated report must also be retained for three years.

When destroying a case record or any document carrying the names of applicants or recipients, the materials must be shredded or burned.

Accessing Forms

Most forms are available in PDF format in the Table of Contents of the Childcare and Parent Services Manual found on the Department of Early Care and Learning (DECAL) website www.caps.dec.state.ga.us. Forms must be printed by accessing the CAPS Manual, Table of Contents section. There is no central printing or storage of CAPS program forms.