

<b>Policy Name</b>	Child Welfare & Adult Protection Quality Assurance and Investigatory Process
<b>Supersedes</b>	1.1.2024
<b>Effective Date</b>	9.1.2024
<b>Director's/Designee's Approval &amp; Date</b>	

**A. Policy Statement**

- a. The purpose of this policy is to establish a comprehensive framework for ensuring the highest standards of quality in child welfare and adult protection casework. Ensuring accountability and accuracy in the documentation of casework is crucial for the effective functioning of child welfare and adult protection systems.

**B. Internal Controls**

- a. Each Supervisor of a Child Welfare and Adult Protection team will establish practices to conduct regular reviews and audits of case files to compare documented information with actual case activities.
  - i. This practice is specific to client, parent, and child contacts within assessments and cases.
  - ii. Each supervisor will conduct at least a minimum of one inquiry per month per worker and document the outcome in the appropriate location or system of tracking as determined by the manager.
    - 1. Documentation must include the date of contact, contact name, caseworker assigned, method of contact, inquiry made and outcome.
  - iii. Each supervisor will conduct at least a minimum of one ROC note review per month per worker.
    - 1. The review will ensure monthly contact was made and recorded, there is content from the visit in the ROC note, not simply a place holder, the relevance of the discussion, and the information has been documented accurately (not a cut and paste/repeat from a prior contact note).
  - iv. For non-case carrying staff, supervisors will implement practices to review community contacts, professional interactions and accuracy of information documented.
- b. Each supervisor of Child Welfare and Adult Protection can utilize a variety of methods to verify documentation.
  - i. Emailing or calling clients, parents, and caregivers.
  - ii. System-generated reports.
  - iii. Contacting collateral school personnel, medical personnel, law enforcement, legal entities, and service providers.

- iv. Family Partnership Meetings, Legal Staffings, and Court hearings.
- v. Face to face child and parent contacts.
- c. The quality assurance outcomes are to be made available upon request but at a minimum submitted or made available monthly to the manager for review.
  - i. This information should be accessible no later than the 10<sup>th</sup> of the following month.

**C. Identified Discrepancies**

- a. Will be reported to the manager immediately upon discovery via direct conversation and/or phone call.
- b. The manager will assist in investigation as needed and/or provide direction and notify administration as required.
  - i. If there is concern for intentional falsification of records the Director, Deputy Director, County Attorney, and Human Resources shall be immediately notified.
- c. Casework staff are required to report documentation errors that are not able to be corrected within the system immediately to their supervisor (i.e., roc notes that are locked).
- d. Violations of county policy as outlined in the employee handbook or violations of Trails/CAPS Usage agreements will be reported to the supervisor and/or manager immediately. Please refer to the Douglas County Employee Handbook and Trails/CAPS System Disclaimer.

**D. Concern of Records Falsification**

- a. In any instance where there is concern an employee has knowingly or intentionally made a false entry or falsely altered information in Trails or CAPS the employee shall be placed on paid or unpaid administrative leave, until an investigation of the concerns is conducted.
- b. Within one (1) day of the employee being placed on administrative leave their access to Trails or CAPS shall be suspended, pending the investigation.
- c. In an effort to preserve evidence that a child welfare or adult protection record has been falsified, any hard copy case records shall immediately be collected along with the employee's computer, badge access card, and county issued cell phone.
- d. A thorough investigation into the concerns of falsification shall occur regardless if the employee resigns, is terminated, or was no longer employed by the department at the time the alleged falsification of records becomes known.

**E. Confirmation of Falsification**

- a. A confirmed incident of falsification of child welfare or adult protection records is an incident where, after an investigation the department establishes by a preponderance of the evidence that a person knowingly or intentionally made a false entry or falsely altered the information in Trails or CAPS.

- b. The Colorado Department of Human Services, Division of Child Welfare or Adult Protective Services shall be notified within three (3) working days of a confirmed incident of falsification.
- c. A confirmed incident of falsification shall be reported to the district attorney's office within ten (10) working days of the confirmation. This shall also be documented in the employee's personnel record.
- d. Within ten (10) working days, notification of a confirmed incident of falsification and the corrections to the record shall be provided to the court for any open dependency and neglect or juvenile delinquency case.
- e. Within ten (10) working days of a confirmed incident of falsification, and utilizing both the preferred contact method of the individual and the state department approved letter of notice shall be mailed to each individual:
  - i. Notification to the parents and guardians of the child/youth who was alleged or found to be the victim of abuse or neglect or a youth in conflict.
  - ii. Notification to the person found or alleged to be responsible for the abuse or neglect.
  - iii. Notification to the child/youth if age ten (10) years old or older.
  - iv. Notification to the legal counsel and Guardian ad Litem for the individuals involved in an open dependency and neglect or juvenile delinquency case.
- f. The Trails or CAPS case record shall be corrected, and the individuals identified in (e.) above shall be notified within ten (10) working days that the record has been corrected. The notice shall include a description of the corrections made to the record.