

# Family Partnerships of Central Florida

## PROCEDURE

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<b>Series:</b>	<b>Operating Procedures</b>	<b>COA: RPM 7, 8</b> <b>CFOP: 15-4, 15-7</b>
<b>Procedure Name:</b>	Child and Family Records Management	
<b>Procedure Number:</b>	OP-1119	
<b>Review Date:</b>	06/28/16, 4/17/24	
<b>Revision #/Date:</b>	(3) 02/17/12, 12/13/19, 09/17/2020	
<b>Effective Date:</b>	11/01/08	
<b>Applicable to:</b>	All Family Partnerships of Central Florida (FPoCF) Staff and Contract Providers	

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**PURPOSE:** To ensure the confidentiality and proper maintenance of all child and family records in the custody of FPoCF.

### PROCEDURE:

### References

FPoCF Policies/Procedures: GOV203, RQ504, OP1099, OP1114, OP1122  
CFOP: 15-4, 15-7  
State Contract: GJ246

### Definitions

Records: Data in both paper and electronic formats

Public Records: Chapter 119.011, F.S., defines public records as “all documents, papers, letters, maps, books, tapes, photographs, forms, sound recordings or other material (excluding blank forms and library books), regardless of physical form or characteristics, made or received pursuant to law or ordinance or in connection with the transaction of business by the department.”

### Retention of Files and Records

Records retention is outlined in FPoCF procedure RQ-504. FPoCF follows the retention schedule outlined by CFOP 15-7 and the guidelines stated in the Contract between DCF and FPoCF.

### Inventory of Files

Files are managed via Excel Spread Sheet databases as appropriate.

### Program Files

FPoCF maintains files within the Program or ‘area’ of services provided to the child/family. The contents, location, and access protocols for each of these Programs are listed in attachments to this procedure. The Programs are:

- a. Intake and Placement Files – Attachment A
- b. Revenue Maximization Files – Attachment B
- c. Adoption Subsidy Files – Attachment C

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|--------------------------------------|--------------|
| d. Case Management Files –           | Attachment D |
| e. Electronic Client database/FSFN – | Attachment E |
| f. Foster Home Licensing Files -     | Attachment F |
| g. Prevention (formerly CARES) -     | Attachment G |

## Case Management Records

The assigned FPoCF agency is the custodian of records while the case is open and for the first six months following the termination of supervision. Six months after the termination of services, the official case management file will be sent to the designated storage facility.

## Other Program Records

FPoCF is the custodian of Adoption Subsidy Files, Intake and Placement Files, Licensing Files, Revenue Maximization Files, and other pertinent records, as specified by the Vice President and COO and/or President and Chief Executive Officer (CEO). FPoCF is the custodian of Dependency Case Management Files and Adoption Home Study Files. FPoCF is the custodian of Non-Judicial, Family Support Services, Prevention, MRT and other Case Management Files. Records pertaining to some of these programs are “official records” and others are “unofficial records” necessary to facilitate day to day operations. At termination of services, the responsible FPoCF representative will prepare the files for transport for storage or destruction, as appropriate.

## Open Files

- a. Case Management Records: FPoCF case management files are maintained in a locked centralized file room at each Care Center. The Administrative Assistants manage the file room and maintain all records within the file room. Upon termination of services, the Administrative Assistant maintains the records within the Care Center for six months and prepares the files for transport to the designated storage facility.
- b. Other Program Records: FPoCF Adoption Subsidy Files, Intake and Placement Files, Licensing Foster Home Files, Revenue Maximization Files, Case Management Files, and other pertinent records, as specified by the Vice President and COO and/or CEO, are maintained in locked centralized file rooms and/or offices staffed by employees responsible for their respective programs. FPoCF representatives staff the file rooms and offices and maintain all records within the respective rooms.

## Closed Files Requests

During the provision of services, if a responsible FPoCF employee determines a need to obtain a closed file that is in storage, the employee responsible may request this file as follows:

- a. The employee responsible will forward email requesting the closed file as specified below:

FPoCF or Contracted Agency employees will then send an email request to their supervisor for approval with the following information:

- (1) Name of family members;
- (2) Demographic information for family members;

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- (3) Justification for closed file request;
  - (4) Employee and Employee Supervisor signature approving closed file request and
  - (5) Urgency of request – In the event of an immediate need, the applicable Director should be contacted by phone. Memo must be provided within 24 hours of request.
- b. The supervisor will review and authorize the request and forward to the appropriate administrative staff.
- c. The applicable administrative staff will facilitate the request with the file storage facility.

BY DIRECTION OF THE PRESIDENT AND CHIEF  
EXECUTIVE OFFICER:



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PHILIP J. SCARPELLI  
President and Chief Executive Officer  
Family Partnerships of Central Florida

APPROVAL DATE: 04/17/2024

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## OP1119 -ATTACHMENT A

### INTAKE AND PLACEMENT FILES

#### Records Management Protocol

#### Contents of Files

Intake and Placement Files are not considered official records or subject to the same scrutiny as Case Management Files. For that reason, contents of the files are recommended as opposed to mandatory. Each file should contain sufficient detail to adequately reflect a child's placement history.

#### Location of Files

1. All Intake and Placement files are securely maintained in the designated file room, located in the FPoCF Intake and Placement Office. The file room is locked and secured when Intake and Placement employees are not physically present in the Suite.
2. Closed files are maintained in the designated file room (where space is permitted) until the Administrative Assistant is able to log the file and transfer it to the designated storage facility, where they will be maintained for the requisite storage time frame as identified in RQ-504.

#### Access to Files

1. Access to files are limited to those persons who have both the right and need to access the files (FPoCF employees, DCF employees, Contracted Agency Employees directly involved in the Intake and Placement process, and others as determined by the Senior Executive of Compliance).
2. The Intake Specialists are the primary FPoCF employees responsible for the Intake and Placement file accountability, access and security. The Administrative Assistant is the secondary FPoCF employee responsible for the files. Additional FPoCF employees may also be assigned file responsibilities as determined by the Chief Legal Officer.
3. Intake and Placement files are located in the designated file room and may be accessed during normal business hours. \*In case of an emergency, the Intake and Placement files may be accessed by the FPoCF employee designated to resolve the emergency.

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## OP1119 – ATTACHMENT B

### REVENUE MAXIMIZATION FILES

#### Records Management Protocol

#### Contents of Files

Revenue Maximization (Rev Max) Files are considered unofficial records and are not subject to the same scrutiny as official records, such as Case Management Files. Files dated prior to the October 1, 2006 Title IV-E Waiver will usually contain more information than files dated after the Title IV-E Waiver went into effect. Regardless, contents of the files are recommended as opposed to mandatory. Each file should contain sufficient detail to adequately reflect a child's Child in Care history.

#### Location of Files

1. All RevMax files will be locked and maintained in the file room located in the FPoCF Commerce Parkway Main Office (Room 40).
2. The RevMax staff is the primary FPoCF staff responsible for the RevMax files.
3. Closed Files: When a case has closed, the RevMax Staff should be informed of the "Date of Closure" within 48 hours. The closed file will remain in the file room for a minimum of 6 months. All documents to be filed must be submitted to the RevMax Staff prior to closure. After six (6) months the file will be transferred to the secure storage facility. If a closed file is needed after being transferred to secure storage, a request for the file may be submitted to the RevMax Staff via e-mail. Allow 3-5 business days for the file to be retrieved.

#### Access to RevMax Files

1. Identified FPoCF staff will be given the combination to the file room. These staff members are responsible for access to the file room.
2. FPoCF staff will be responsible for signing files in and out of File Room. Staff members must ensure name of case and file number are included on sign in/out sheet.
3. Files may be accessed between the hours of 8am-5:00pm.
4. RevMax files can be signed out for 48 hours with the expectation that the file will be kept in a secure area while in the requestor's care. Leaving files in the RevMax staff's chair does NOT constitute a secure area. Files are not to remain in offices or cubicles when FPoCF staff members are on vacation or out of the office.

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## OP1119 – ATTACHMENT C

### ADOPTION SUBSIDY FILES

#### Records Management Protocol

#### Contents of Files

Adoption Subsidy Files are subject to official review. Files may contain both mandatory and recommended items.

#### Location of Files

1. Active Adoption Subsidy files are maintained in the designated file room, located in the Programs Area of the FPoCF Main Office. Either filing cabinets or the file room itself will be secured when RevMax employees are not physically present. Adoption subsidy files will be maintained by Adoption Coordinator or by other designated Contracted Agency Employees for a period of 30 days from Final Adoption Date and at other times as determined by the Senior Executive of Programs or designee.
2. Suspended Adoption Subsidy files are maintained in the designated file room.
3. Closed Adoption Subsidy files are maintained in the designated file room for a minimum of six (6) months. Closed files will then be transferred to the designated storage facility, where they will be maintained for the requisite storage time frame as identified in FPoCF procedure RQ504.

#### Access to Adoption Subsidy Files

1. Access to Adoption Subsidy Files is limited to those persons who have both the right and need to have access to Adoption Subsidy Files (FPoCF employees, DCF employees and Contracted Agency employees directly involved in adoption subsidy issues, including program audits; and others as determined by the Chief Financial Officer or designee).
2. The Medicaid Specialist is the primary FPoCF employee responsible for adoption subsidy file accountability, access, and security. The Administration Division Administrative Assistant is the secondary FPoCF employee responsible for the files. Additional FPoCF employees may also be assigned file responsibilities as determined by the Chief Financial Officer or designee.
3. Adoption Subsidy files located in the designated file room may be accessed during normal business hours between the hours of 8am – 5pm.
4. Files physically removed from the FPoCF Main Office complex will be logged out via the File on Q system.

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## OP1119 – ATTACHMENT D

### CASE MANAGEMENT FILES

#### Records Management Protocol

#### Contents of Files

Case Management files are subject to official scrutiny and review.

#### Location of Files

1. All family files are maintained at the appropriate Care Center and are kept in a locked file room, accessed via each Center's Administrative Assistant Team.
2. The Administrative Assistant is the primary FPoCF staff responsible for the family files.
3. The CPI team provides a Case Transfer staffing packet prior to the Case Transfer Staffing to the Administrative Assistant. The Administrative Assistant then builds the file with that information and any supplemental information provided by the Care Manager or Care Manager Supervisor.
4. When a Care Manager wants to submit information to a file, information will be placed in a confidential envelope and placed inside the Administrative Assistant's office labeled with the case name. After hours information is to be held until the next workday and information will be placed in a confidential envelope and placed in the Administrative Assistant's office in the "Unit in Box" located on the wall inside the file room.
5. Closed Files: When a case has closed, the Administrative Assistant must be informed of the "Date of Closure" within 48 hours. The closed file will remain in the file room for at least 6 months. All documents to be filed must be submitted to the Administrative Assistant within a week of case closure. After 6 months the file will be transferred to the designated storage facility. If a closed file is needed after being transferred, a request for the file may be submitted to the Administrative Assistant via e-mail. Allow 3-5 business days for the file to be brought to the Care Center.

#### Access to Files

1. Supervisors, Program Directors and Senior level leadership will be given keys or door combinations to the applicable file room. Supervisors are responsible for any access to file room only for emergency purposes.
2. Lunch time and breaks are not considered an emergency unless the file is needed for removal of children.

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3. Supervisors are responsible for signing files in and out of the file room if the Administrative Assistant is not available. The Supervisor must ensure the name of case and file number are included on sign in/out sheet, located in the file room.
4. Files may be accessed between the hours of 8:00am-5:00pm without a supervisor.
5. Family files can be signed out for 48 hours with the expectation that the file will be kept in a secure area while in the requestor's care. Leaving files in the Administrative Assistant's chair does NOT constitute a secure area. Files are not to remain in offices or cubicles when case managers are on vacation or out of the office.
6. Files must be returned to File Room by 5:00pm. Files needed for court cases may be checked out the day before, however, they must be returned within the 48-hour period unless special arrangements are made with the Administrative Assistant.



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OP1119 – ATTACHMENT E

ELECTRONIC DATABASE/FSFN RECORDS

Records Management Protocol

## Contents of Files

All electronic records contained within the Florida Safe Families Network (FSFN) database will contain the case/client specific information as appropriate and relevant to the particular case/client.

## Access to Files

Access to FSFN and electronic case files is restricted to those on a need to know basis for each case. FSFN access is requested and approved in accordance with requirements outlined in FPoCF procedure OP-1099.

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OP1119 – ATTACHMENT F

## FOSTER HOME LICENSING FILES

### Records Management Protocol

#### Contents of Files

All level Licensing Files are subject to official review. Files may contain both mandatory and recommended items.

#### Location of Files

1. Active foster home licensing files are maintained in the designated file room, located in the Programs Area of the FPoCF Main Office. The file room is secured with a combination door lock at all times. Licensing files will be maintained by the appropriate Licensing Specialist while the home has a current license.
2. Closed license files are maintained in the designated file room for a minimum of six (6) months. Closed files will then be transferred to the designated storage facility, where they will be maintained for the requisite storage time frame as identified in FPoCF procedure RQ504.

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## OP 1119 -ATTACHMENT G

### Family Partnerships of Central Florida Records Management Protocol

#### Contents of Files

Case Management files are subject to official scrutiny and review. Files will contain the following information, in reverse chronological order (newest on top).

Contents of Case Management files include:

1. Section 1: Demographics –
  - a. Intake Referral
  - b. Directions to Family Residence
  - c. Contact Letters
  - d. Discharge Summary
  - e. Non-Judicial In-Home Services (NJIHS) Agreement
  - f. Birth Certificates
  - g. TANF Forms
2. Section 2: Chronological Records –
  - a. FSFN Case Chronological Notes
  - b. Notes signed and dated by Care Coordinator
  - c. Notes signed and dated by Family Partner
3. Section 3: Authorizations –
  - a. Acknowledgement of Receipt of FPoCF Handbook
  - b. HIPAA
  - c. Consents/authorizations for services
  - d. Release of Information Strength Discovery
  - e. Release of information Family Team Conference
4. Section 4: Family Team Conference and Care Plan
  - a. Care Plan Face Sheet
  - b. Initial Care Plan
  - c. Family Network Page
  - d. Safety Plan
  - e. Subsequent Release of Information Family Team Conferences
  - f. Updated Care Plans
  - g. Transition Care Plan
  - h. Graduation Care Plan
  - i. Positive Accomplishments
5. Section 5: Authorizations –
  - a. Service Authorizations
  - b. Reauthorization Requests
  - c. 3<sup>rd</sup> Party Referrals
  - d. Funding Information
  - e. Flex Funds Forms

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6. Section 6: Referrals and Correspondence
  - a. Service Provider Progress Reports
  - b. Case File Review Forms
  - c. Satisfaction Survey Data Form
  - d. Family Team Conferencing Survey Data Form
  - e. Mindshare Provider Notes
  - f. Evaluations
  - g. Specialized Assessments
  - h. Police Reports
  - i. Any applicable Family Court Documents

## Location of Files

1. All family files are maintained at the Family Partnerships of Central Florida Central Care Center.
2. The Administrative Assistant is the primary Family Partnerships of Central Florida staff responsible for the family files.
3. The Program Manager provides intake packets to the Administrative Assistant. The Administrative Assistant is responsible for building the file. When a Family Partner or Care Coordinator wants to submit information to a file, information will be placed in a confidential envelope and placed inside the Administrative Assistant's office labeled with the case name. After hour information is to be held until the next workday and information will be placed in a confidential envelope and placed in the Administrative Assistant's office in the "Unit in Box" located on the wall inside the file room.
4. Closed Files: When a case has closed, the Administrative Assistant must be informed of the "Date of Closure" within 48 hours. The closed file will remain in the file room for at least 6 months. All documents to be filed must be submitted to the Administrative Assistant prior to case closure. After 6 months the file will be transferred to the designated storage facility. If a closed file is needed after being transferred, a request for the file may be submitted to the Administrative Assistant via e-mail. Allow 3-5 business days for the file to be brought to the Brevard C.A.R.E.S. facility.

## Access to Files

1. Family Partnerships of Central Florida management will be given keys or door combinations to the applicable file room and are responsible for any access to file room only for emergency purposes.
2. Lunch time and breaks are not considered an emergency unless the file is needed immediately.
3. Family Partnerships of Central Florida management are responsible for signing files in and out of the file room if the Administrative Assistant is not available. The Supervisor must ensure the name of case and file number are included on sign in/out sheet, located near the file room doors.

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4. Files may be accessed between the hours of 8am-5:00pm.
5. In the instance of an audit or court subpoena, family files can be signed out with the expectation that the file will be kept in a secure area while in the requestor's care. Files must be returned at the close of business to the secure centralized filing room. Leaving files in the Administrative Assistant's chair does NOT constitute a secure area. Files are never to remain in offices or cubicles when case managers are on vacation or out of the office.
6. Files must be returned to File Room by 4:00pm. Files needed for court cases may be checked out the day before, however, they must be returned within the specified required timeframe unless special pre- approved arrangements are made.