



## Program Files

CBCB 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 |
| d. Case Management Files –           | Attachment D |
| e. Brevard C.A.R.E.S Files –         | Attachment E |
| f. Electronic Client database/FSFN – | Attachment F |

## Case Management Records

CBC of Brevard will be 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 turned over to the Department of Children and Families for storage.

## Other Program Records

CBC of Brevard will be the custodian of Adoption Subsidy Files, Intake and Placement Files, Revenue Maximization Files, Brevard CARES Files, Independent Living Program and other pertinent records, as specified by the CEO. 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 CBC of Brevard representative will prepare the files for transport for storage or destruction, as appropriate.

## Open Files

- a. Case Management Records: CBC of Brevard case management files will be maintained in a centralized file room at each Care Center. The contract Administrative Services Organization will staff the file room and will maintain all records within the file room. At termination of services, the ASO will maintain the records within the Care Center for six months and prepare the files for transport to DCF.
- b. Other Program Records: CBC of Brevard Adoption Subsidy Files, Intake and Placement Files, Revenue Maximization Files, and other pertinent records, as specified by the CEO, will be maintained in centralized file rooms and/or offices staffed by employees responsible for the respective programs. CBC of Brevard Representatives will staff the file rooms and offices and will maintain all records within the respective rooms.

## Closed Files Requests

During the provision of services, if a responsible CBC of Brevard or Contracted Administrative Services Administration 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 seek supervisor approval prior to requesting a closed file.
- b. The employee responsible will forward a memo requesting the closed file as specified:

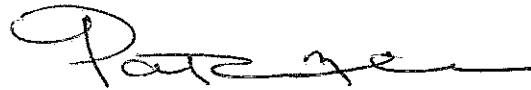
Contracted Administrative Services employees will submit requests to the CBC of Brevard Director of Operations. CBC of Brevard employees will submit requests to the applicable Director. The memo will contain the following information:

- (1) Name of family members
  - (2) Demographic information for family members
  - (3) Justification for closed file request
  - (4) Employee and Employee Supervisor signature approving closed file request
  - (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.
- c. The applicable Director will review and authorize the request.
- d. The applicable Director will facilitate the request with the file storage facility.

### Public Records Requests

All public records requests received for information found within Child and Family files will be forwarded to the CBC of Brevard administrative office for review and processing. The Director of Quality Operations will review each request and coordinate response as outlined in CBCB procedure OP1122.

BY DIRECTION OF THE CHIEF EXECUTIVE  
OFFICER



DR. PATRICIA NELLIUS-GUTHRIE  
Chief Executive Officer

APPROVAL DATE: 3/2/09

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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.

Recommended contents for each Intake and Placement File:

1. Section 1: Notes –
  - a. Notes reflecting relevant placement activities.
  
2. Section 2: Intake and Placement -
  - a. Pre-placement Tool
  - b. Court Orders
  - c. Shelter Petitions
  - d. Case Plan
  - e. Other Legal documents
  - f. Birth Certificates
  - g. Social Security Cards.
  
3. Section 3: Correspondence & Miscellaneous –
  - a. Incident Reports
  - b. Bed Holds
  - c. Clothing Allowance Request
  - d. Funding Letters
  - e. Other School Records
  
4. Section 4: Referrals & Faxes –
  - a. Referrals to Foster Homes, Group Homes and Residential Treatment Centers
  - b. Magellan Authorizations
  - c. Other Faxes and E-Mails.
  
5. Section 5: Child Adolescent Functional Assessment Scale (CAFAS) –
  - a. Related Notes and Reports.
  
6. Section 6: Clinical Information –
  - a. Suitability Assessments
  - b. Comprehensive Behavioral Health Assessments (CBHA)
  - c. Psychological Reports
  - d. Clinical Reviews
  - e. Psychiatric Reports
  - f. Treatment Plans
  - g. School Individual Education Plan (IEP)

Location of Files

1. All I & P files will be securely maintained in the designated file room, located at North Drive, Suite C – Intake & Placement Office. The file room is locked and secured when I & P employees are not physically present in the Suite.
2. Suspended I & P files will be maintained within the designated file room.
3. Closed I & P files will be 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 storage facility, where they will be maintained for the requisite storage time frame as identified in RQ-504.

Access to Files

1. Access to I & P Files are limited to those persons who have both the right and need to access the files (CBCB employees, DCF employees, Contracted Agency Employees directly involved in the Intake & Placement process, and others as determined by the Family Services Program Manager or Director.
2. The Intake Specialists are the primary CBCB employees responsible for the I & P File accountability, access and security. The Administrative Assistants of Suites C & D are the secondary CBCB employees responsible for the files. Additional CBCB employees may also be assigned file responsibilities as determined by the Family Services Program Manager or Director.
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 I & P files maybe accessed by the CBCB On-Call employees.

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OP1119 – ATTACHMENT B

## REVENUE MAXIMIZATION FILES

## Records Management Protocol

Contents of Files

Revenue Maximization (RevMax) 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.

Recommended contents for each Adoption Subsidy File:

1. Section 1: General Case Information -
  - a. Demographic Information
  - b. Case Recordings
  - c. Correspondence
  - d. Miscellaneous Forms.
2. Section 2: Legal –
  - a. Court Orders and other Legal Correspondence.
3. Section 3: Title IV-E -
  - a. Eligibility Documents.
4. Section 4: Placement –
  - a. Interstate Compact for the Placement of Children (ICPC) documents
  - b. Out of County Services (OCS) documents
  - c. Foster Care Licensing Documents.
5. Section 5: Title IV-A/EA Documentation
6. Section 6: Miscellaneous Documents

Location of Files

1. All RevMax files will be locked and maintained in the file room located at North Drive, Suite D.
2. The RevMax staff is the primary CBCB 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 the closure. After 6 months the file will be transferred to secure storage. 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 brought to the Service Center.

Access to RevMax Files

1. Certain CBCB Staff will be given the key to the file room. These staff members are responsible for any access to file room with use of their key **only** for after hours emergency purposes. Lunch time and breaks are not considered an emergency.
2. CBCB staff is responsible for signing files in and out of File Room if RevMax staff is not available. These staff members must ensure name of case and file number are included on sign in/out sheet, located near the File Room door.
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 CBCB staff members are on vacation or out of the office.
5. Files must be returned to File Room by 4:00pm.

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. **Mandatory items are in bold print and are required for all Title IV-E adoption subsidies**; the remaining items are highly recommended:

1. Section 1: Court Documents -
  - a. **Final Judgment of Adoption**
  - b. **Shelter Order** (or TANF Form from initial removal)
  - c. other court-related documents as applicable
2. Section 2: SPURS Input Form for Individuals
3. Section 3: Adoption Subsidy Information Sheet for Vouchering
4. Section 4: Agreements -
  - a. **Adoption Subsidy Agreement for each child (initial agreement signed by all parties and dated)**
  - b. subsequent agreements, as applicable
5. Section 5: Disposition Sheet for each child
6. Section 6: **Child Summary for each child or other documentation that shows that the child has “special needs”.**
7. Section 7: Data Sheet for each child
8. Section 8: Memorandum of Agreement for each child
9. Section 9: **Adoption Exchange for each child (or other proof that the state made “reasonable efforts” or that reasonable efforts were not required because of the unique circumstances of the adoption)**
10. Section 10: Affidavit of Disclosure for Adoption Subsidy
11. Section 11: Identification Documents -
  - a. **Birth Certificate or Social Security Card**
  - b. Declaration of Citizenship
12. Section 12: SSI-Related documents (if applicable)
13. Section 13: Economic Services Documentation (as available):
  - a. Copy of original CIC Medicaid, Title IV-E Application/Worksheet
  - b. **Adoption Subsidy Title IV-E Eligibility/Screening Worksheet**
  - c. Notice of Case Action at the time of most recent removal and subsequent Notices of Case Action

- d. Initial TANF Form (required if no Shelter Order)
  - e. Other TANF Related Documents
  - f. Completed TANF/MAS Worksheet Application
14. Section 14: Child Information (As Applicable) –
- a. Child Study
  - b. Psychological Evaluations
  - c. School Reports
  - d. Medical Reports
  - e. Therapy Reports

#### Location of Files

1. Active Adoption Subsidy files will be maintained in the designated file room, located at North Drive, Suite C- Intake & Placement Office. The file room will be secured when Intake and Placement employees are not physically present in Suite C. The majority of files will be locked in filing cabinets to the extent storage space permits. Excess files will be locked in the file room. Adoption subsidy files will be maintained by Adoption Coordinators, Adoption Recruiters or by other employees for a period of 30 days from Final Adoption Date and at other times as determined by the Utilization Management Program Manager or designee.
2. Suspended Adoption Subsidy files will be maintained in the designated file room.
3. Closed Adoption Subsidy files will be maintained in the designated file room for a minimum of six (6) months. Closed files will then be transferred to a designated storage facility, where they will be maintained for the requisite storage time frame as identified in CBCB 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 (CBCB employees, DCF employees and Contracted Agency employees directly involved in adoption subsidy issues, including program audits; and others as determined by the Utilization Management Program Manager or designee).
2. The Medicaid Data and Intake Specialist is the primary CBCB employee responsible for adoption subsidy file accountability, access, and security. The North Drive Suite C and D Administrative Assistant/Receptionist is the secondary CBCB employee responsible for the files. Additional CBCB employees may also be assigned file responsibilities as determined by the Utilization Management Program Manager 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 Intake & Placement Office 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. Files will contain the following information, in reverse chronological order (newest on top).

Contents of Case Management files include:

1. Section 1: Demographics –
  - a. Face Sheet with identifying information, current on top
  - b. Florida Safe Families Network (FSFN) Case Information summary
  - c. Photographs
  - d. Medicaid Care or other Insurance Card
  - e. Birth Certificate
  - f. Social Security Cards
  - g. Fingerprints
2. Section 2: Placement Information and Reports –
  - a. Pre placement tool
  - b. Placement information and history
  - c. Progress reports from placement providers
  - d. Foster family reports or correspondence
  - e. Home study on caregiver other than parent
  - f. Home study on parent
3. Section 3: Authorizations –
  - a. HIPAA
  - b. Consents/authorizations for services
  - c. CBCB Release of Information
  - d. Client Rights Notification
  - e. Consents for medical care
  - f. Authorization to dispense medication
  - g. Placement authorization form
  - h. TANF eligibility form
  - i. Title IV-E/A application and determination forms
  - j. SSI information
4. Section 4: Family Team Conference and Case Plan
  - a. Case Plan
  - b. Service planning conference checklist, with reasons for services
  - c. Family Assessment/Psychosocial evaluations
  - d. Bypass referral
  - e. CBCB Crisis and Safety Plan
  - f. Family Wraparound plan
  - g. Progress Report including ongoing need and/or future services
  - h. Utilization review

5. Section 5: Chronological Records –
  - a. FSFN Chronological records
  - b. Emails
  - c. Home visit sheets
  - d. Monthly compliance letters
  - e. Notification of case manager change
  
6. Section 6: Referrals and Correspondence
  - a. Referrals and descriptions of services
  - b. Request for Courtesy supervision, Out of Town Inquiries (OTIs) or Interstate Compact on the Placement of Children (ICPC)
  - c. OTI transmittal forms or ICPC 100A/B forms and transmittal forms, as applicable
  - d. Request for flex fund/response
  - e. Transportation and FSW request
  - f. Request for FSFN background check
  - g. FCIF/NCIC and/or local criminal checks and results
  - h. Fingerprinting results
  
7. Section 7: Visitation and Provider Reports –
  - a. Reports regarding supervised visitation
  - b. Letters and progress reports from providers regarding recommendations
  - c. Client/Parents Satisfaction and Consumer Reports
  - d. Closing summary reports of providers
  - e. Termination summary
  
8. Section 8: Education –
  - a. Individual Education Plans (IEP)
  - b. Educational Testing Records
  - c. Report Cards
  - d. Correspondence from Education Liaison
  - e. Tutoring Reports
  - f. School attendance reports
  
9. Section 9: Child(ren) Medical and Mental Health –
  - a. CAFAS/PECFAS assessment
  - b. Comprehensive Behavioral Health Assessment (CBHA)
  - c. Mental Health Reports, psychological evaluations, testing psychiatric records
  - d. Substance abuse assessments, drug testing
  - e. Immunization and child health check records, dental records, diagnostic testing
  - f. Any hospitalization or other reports
  - g. Child Protection Team Reports
  
10. Section 10: Legal –
  - a. Shelter Petition, Shelter Order, UCCJEA
  - b. Court orders and/or court minute orders
  - c. Request for Legal Action Forms
  - d. Dependency Petitions
  - e. Predisposition Study and Disposition Order
  - f. Judicial Review
  - g. Status Hearings
  - h. Motions, Orders for medications or treatments

- i. Documents of Guardianship or Legal Custody
  - j. VPS Agreement (place on top of section)
11. Section 11: Investigation –
- a. Checklist from Team staffing
  - b. Contingency Plan
  - c. Initial Report information to CPI
  - d. Prior FSFN history
  - e. Child Safety/Risk Assessment (CSA)
  - f. Police reports regarding initial investigation, arrest information
  - g. Incarceration information
  - h. Background checks
  - i. Diligent Search Requests
  - j. Other as appropriate

#### 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's office.
2. The Administrative Assistant is the primary CBCB staff responsible for the family files.
3. Supervisors provide intake packets to Administrative Assistant. The Administrative Assistant is responsible for building the file.
4. Supervisors/Care Managers are responsible for submitting the following information to the Administrative Assistant within 48 hours of staffing:
  - a. FSFN Number
  - b. Mother's Name
  - c. Children's Names
  - d. The role of the care manager: Primary or Courtesy Worker.
5. 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 work day 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.
6. 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 the closure. After 6 months the file will be transferred to secure storage. If a closed file is needed after being transferred to secure storage, 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 will be given keys to the relevant file room. Supervisors are responsible for any access to file room with use of their key only for emergency purposes. Ex:

2. Weekends past 5:00pm. Lunch time and breaks are not considered an emergency unless the file is needed for removal of children.
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 near the file room door.
4. Files may be accessed between the hours of 8am-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 4:00pm. 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

## BREVARD C.A.R.E.S. FILES

## Records Management Protocol

Contents of Files

Brevard C.A.R.E.S. Files are official records subject to the same scrutiny as Case Management Files. For that reason, contents of the files are mostly mandatory. Each file should contain sufficient detail to adequately reflect a family's history with the program. Files are organized in reverse chronological order (newest on top).

Recommended contents for each Brevard C.A.R.E.S. File:

1. Section I: Case Documentation –
  - a. Case Notes
  - b. Emails
  - c. Letters to Clients
  - d. Map to Family Home
  - e. \*\* Referral form/Intake and Assessment
2. Section 2: Care Plan(s) conducted at least every 90 days
  - a. Care Plan Face Sheet, Care Plan, Family Team Conference ROI and Team Signature Page for each FTC
  - b. Family Network, Strengths, and Vision handouts
  - c. Strength Discovery
  - d. Strength Discovery ROI
  - e. HIPAA Acknowledgement Form
3. Section III:
  - a. Flex Funds Requests
  - b. Service Authorizations with all back up paperwork
  - c. CBC of Brevard ROI to/from Providers
4. Section IV:
  - a. Brevard C.A.R.E.S. Case Staffing Form (if any)
  - b. Brevard C.A.R.E.S. File Review Form(s)
  - c. Provider Progress Notes (if any)
  - d. DV Safety Plan (with red indicator tab on form)
  - e. Misc. Documentation

Location of Files

1. All Brevard C.A.R.E.S. files will be securely maintained in the designated file room, located at North Drive, Suite B – Brevard C.A.R.E.S. Office. The file room will be locked and secured when C.A.R.E.S. employees are not physically present in the Suite.

2. Closed Brevard C.A.R.E.S. files will be 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 storage facility, where they will be maintained for the requisite storage time frame as identified in CBCB procedure RQ504.

Access to Files

1. Access to Brevard C.A.R.E.S. files is limited to those persons who have both the right and need to access the files (CBCB employees, and others as determined by the Brevard C.A.R.E.S. Program Manager or the Director of Wraparound/UM.)
2. The Brevard C.A.R.E.S. staff are the primary CBCB employees responsible for the Brevard C.A.R.E.S. file accountability, access and security. The Administrative Assistants of Suites C & D are the secondary CBCB employees responsible for the files. Additional CBCB employees may also be assigned file responsibilities as determined by the Brevard C.A.R.E.S. Program Manager or Director of Wraparound/UM.
3. Brevard C.A.R.E.S. files are located in the designated file room and may be accessed during normal business hours, Monday thru Friday, excluding holidays.

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OP1119 – ATTACHMENT F

## 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 following information as appropriate and relevant to the particular case/client.

1. Demographic Information: (including but not limited to) Name, address/phone, sex, race, SS#, date/place of birth of child; parents' demographic and contact information; contact information for siblings and other significant relatives.
2. Annual (over age 6) or semi-annual (under age 6) photographs of child. Photograph is scanned into database and originals kept in hard copy of case file.
3. Placement history of child including all prior placements with caregiver contact information and reasons for moves.
4. Permanency plan reviews with dates and actions taken.
5. Chronological notes reflecting dates and content of Dependency Care Managers contacts with the child, parents, caregivers and other individuals involved with the child; progress notes regarding services and documentation showing reasonable efforts toward reunification or other permanency plans.
6. Documentation of parent/child visitation including substantive interactions between the parent/child during those visits.
7. Forms or other information as required by DCF in order to comply with state and federal reporting requirements.

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 CBCB procedure OP-1099.