



Title Records Management		Number 1301	
Department: Data Management	Owner: Quality Management Projects Supervisor	Regulatory Authority/ Related Policies: CFOP 15-4	Attachments: NA
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Policy It is the policy of Communities Connected for Kids to establish and maintain standardized processes for managing all client and business records across the organization. This includes the processing and secure storage of archived electronic client records, the maintenance of active files in FSFN, and the management of client records within each service center. Procedures will ensure compliance with all applicable statutory requirements related to the handling of analog (paper) documentation, the use of electronic records management systems, and the electronic imaging of paper-based files and administrative documents. Additionally, it is the policy of Communities Connected for Kids to retain and dispose of official business records in accordance with all applicable state regulations and procedures. These guidelines are consistent with, and in compliance with, the state and federal laws and administrative rules established by the Department of Children and Families.

Records Management

Procedure

1. There are four centralized record and processing rooms which are maintained by the Data Management Specialist (DMS) assigned to each record room.
2. Each DMS is responsible for the local scanning, validation and upload of the active analog (paper) records into FSFN as an electronic file.

Electronic Records Management

The following guidelines are established to ensure that the electronic imaging process for child protection case records, adoptive records, and administrative documents and records are in compliance with the policies set forth by regulating agencies. These guidelines apply to any electronic image which is stored and/or archived within the Communities Connected *for Kids* recordkeeping systems.

Specifics within the Procedure: Florida Statute 92.29 and Florida Administrative Code Rule 1B-26.003 provides the guidelines for converting analog (paper) copies into electronic images. According to these guidelines, there must be proper quality control checks in place to ensure that every page of the paper copy is completely scanned, that no defects on the scanned copy exist, and that the file is in a clean, non-corrupt form.

The following elements are to be present within the electronic imaging system to ensure reliability, accuracy, security, and accessibility of the records:

- Procedural documentation outlines the specifics and describes and defines the creation, maintenance, use, and storage of digital images.
- Hardware and software use complies with regulating agency standards.



- Procedures and practices that comply with regulating agency standards.
- Training schedules for staff which pertain to the implementation or upgrade of software or hardware.
- Quality control process to monitor the authenticity of the records including file preservation, storage, maintenance, and overall quality of the digital image.

This policy will outline the following areas: digital imaging, file formatting, quality review for scanning and validation, image storage, retention requirements, and destruction of analog (paper) records.

Digital Imaging

Digital imaging is the process by which a document, a series of documents, a photo, or a series of photos is scanned by a computer and converted from an analog (paper) format to a machine-readable (digital or electronic) format.

Scanners are used to convert the analog (paper) record into an electronic file. The scanner is programmed to the settings required by state, federal, and the Department of Children and Families regulations. These include:

- Hardware and software systems are not to be outdated or obsolete.
- Scanner must be able to produce 1-bit, 8-bit, and 24-bit pixel quality.
- Scanner must have a density of 300 dots per inch.
- Compression practice(s) can be used for memory/space availability but must not alter the quality of the image in the electronic record.

File Formatting

All analog (paper) records will be scanned in and saved in an electronic file format. The preferred format is Portable Document Format (PDF) which allows for accessible, accurate, and flexible use of the records. When the electronically stored record is ready to use and designated the official record (master), then the paper copy becomes duplicate.

The details of the PDF format include:

- User friendly format for viewing and printing documents.
- Commonly used format and assists is accessibility.
- Supports color and gray scale text.
- Captures images and preserves the fonts, images, graphics, notations, and overall 'look' of the analog (paper) record.

Electronic Records

The system of record that stores case files uploaded by Communities Connected *for* Kids is Florida Safe Families Network (FSFN).

The electronic file system that stores historical case files uploaded by Communities Connected *for* Kids is Agency Secure Knowledge (ASK). ASK is a browser-based application that allows users to search, find, view, and print case record documents from a secured system.

For the FSFN system, documents are scanned and turned into Adobe PDF files which are then validated and uploaded.



Contents & Organization of Archived and Active Electronic Client Records

General Procedures

1. Communities Connected *for Kids* will maintain all active client case file records in Florida Safe Families Network. (FSFN)
2. Historical electronic client records are located in on a secure server until they are uploaded into FSFN.
3. Each electronic record is maintained, secured, tracked, and inventoried within the secured server and uses the Florida Safe Families Network (FSFN) official case name and case identification number for retrieval and identification purposes.

Organization of Active Client Record - FSFN

1. Electronic records are organized in the sections outlined in the File Cabinet or within the Medical/Mental Health heading.
 - a. The sections within the file cabinet consist of the following:
 - i. Adoption
 - ii.Assets and Income
 - iii.Case Notes
 - iv.Child Placement Agreement
 - v.Comprehensive Placement Agreement
 - vi. Credit Checks
 - vii. Education
 - viii.Ext Guardianship Assistance Program
 - ix.Guardianship Assistance Agreement
 - x.Guardianship Assistance Program
 - xi.Hotline
 - xii.
 - xiii. Hotline
 - xiv.
 - xv. Independent Living
 - xvi.Investigations
 - xvii.Legal Documentation
 - xviii.Medications
 - xix.Meetings
 - xx.Mobile Document
 - xxi.
 - xxii. Ongoing Services
 - xxiii.Other
 - xxiv. Out of County Services



- xxv. Over-Capacity Assessment
- xxvi. Participant Documents
- xxvii. PDA
- xxviii. Safety Plan
- xxix. Separated Sibling Assessment
- xxx. Service Request Authorization
- xxxi. Unified Home Study

b. The sections within the Medical/Mental Health heading consist of the following:

i. Medical/Mental Health

Organization of Archived Client Record for the retrieval of old case documents located in ASK

Section 1: Investigative History (Documents from PI)

- 1) File Face Sheet
- 2) HSN Demographic Face Sheet
- 3) FAHIS Reports/Initial Assessment
- 4) CSA's
- 5) Safety Plans
- 6) Police Reports
- 7) Diligent Search
- 8) Persons by Name
- 9) Background Checks
- 10) Abuse Reports
- 11) Investigative Decision Summary (IDS)

Section 2: Identification Records

- 1) Birth Certificates
- 2) Photographs
- 3) Fingerprints
- 4) Social Security Cards

Section 3: Legal

- 1) Case Plans
- 2) Court Action Forms
- 3) Court Orders
- 4) Shelter & Custody Orders
- 5) Petitions
- 6) Pre-Disposition Study (PDS)
- 7) Judicial Reviews (JRSSR)
- 8) Home Study
- 9) Proposed Settlement Agreement Worksheet
- 10) Referral for Permanency Planning
- 11) Affidavits



- 12) UCCJAs
- 13) GALs
- 14) Fact Sheet to Legal
- 15) Court Reporting Forms

Section 4: Staffings

- 1) IFCC (72-hour) staffing
- 2) 30-day (case plan) staffing
- 3) 90-day staffings
- 4) Permanency Planning staffing
- 5) New Baby Staffing
- 6) Reunification staffing
- 7) Visitation/overnight staffing
- 8) High risk/critical juncture staffings
- *NOTE: Independent Living staffings go in Independent Living section 9.*

Section 5: Case Activity

- 1) Chronological notes
- 2) Case Notes Detail
- 3) Notice of Case Manager Change
- 4) Termination Summary (closed cases)
- 5) Family Assessment
- 6) Child Monthly Visit Forms
- 7) Birth Parent Monthly Visit Forms
- 8) Requests for Courtesy Supervision/Visitation
- 9) Emergency Information Sheet

Section 6: Medical information (Child)

- 1) Child Safety Risk Assessment (ICSA)
- 2) Child Health Screening (EPSDT)
- 3) Dental Records/Visit Documentation
- 4) Immunization Records
- 5) Medicaid Information/Card
- 6) Medical Reports
- 7) Medical/Substance Assessments & Results
- 8) Child Protective Team (CPT) Report
- 9) Prescriptions
- 10) Psychological/Psychiatric Evaluations
- 11) Mental Health Reports
- 12) Therapists/Psychological



Section 7: Mental Health/Assessments/Provider reports (Parents)

- 1) CBHA
- 2) Drug Screening
- 3) Mental Health Reports
- 4) Psychological/Psychiatric Evaluations
- 5) Alcohol, Substance Abuse Assessments & Reports
- 6) Provider Reports for Parents' Tasks
- 7) Residential Group Home Reports
- 8) Parent Employment/Housing Information
- 9) MDT Reports
- 10) DNA Testing Results

Section 8: Revenue Maximization

- 1) TANF Eligibility & Determination
- 2) Title IV-EA Applications
- 3) Title IV-E Applications
- 4) Flex Fund Requests
- 5) Temporary Cash Assistance form
- 6) Master Trust
- 7) SSI/SSA Information

Section 9: Independent Living

- 1) IL Case Plan
- 2) IL Assessments
- 3) IL Staffings
- 4) IL Reports

Section 10: Releases/Authorizations/Referrals

- 1) Releases for Services
- 2) Authorization for Release of Information
- 3) Clients' Rights
- 4) Consents for Medical Care
- 5) Authorization to Dispense Medication
- 6) Signed Permission to copy Documents
- 7) Provider Referrals
- 8) Daycare Referrals (Title XX Information)

Section 11: Placement

- 1) Placement Authorizations
- 2) Status Change Forms & Waivers
- 3) Gal Notifications
- 4) Exit Interviews
- 5) Placement Agreement
- 6) ICPC Forms (Interstate Compact on Placement of Children)



- 7) Client Resource Record receipt

Section 12: Correspondence/Education

- 1) Family/Foster Family Correspondence
- 2) Newspaper Articles
- 3) Incoming and outgoing letters
- 4) Email correspondence
- 5) Report Cards
- 6) Educational Testing & Records

Section 13: Master Trust

- 1) Clients Information
- 2) Master Trust Anecdotal Record
- 3) Comments
- 4) Judicial Review
- 5) Medical Records
- 6) Florida Dept of Health – Health Exam
- 7) Florida Dept of Health – Certification of Immunization
- 8) Judicial Review Social Study Report/Case Plan Update
- 9) Court Orders
- 10) Birth Certificate
- 11) Social Security Administration Form SSA-11-BK Application for Benefits
- 12) Social Security Administration Form SSA-3820-BK Function Report
- 13) Authorization to Disclose Information to the Social Security Administration
- 14) Social Security Notice of Appointment
- 15) Request to be Selected as Payee Notice/Application
- 16) Social Security Administration Retirement, Survivors and Disability Insurance
- 17) Social Security Administration Supplemental Security Income
- 18) Representative Payee Report
- 19) Advance Notice of Termination of Child's Benefits
- 20) Client Payment History
- 21) Client Placement History
- 22) ARGOS Placement Report
- 23) FSN Person Management Report
- 24) Master Trust Balance Excel Spreadsheet
- 25) Correspondence
- 26) Notarized Designation of Client Money and Property
- 27) Notice of Fee Assessment and Rights of Foster Child Regarding Government Benefits
- 28) Client Trust Fund Withdrawal Request
- 29) Check Copy
- 30) Receipts
- 31) Certification of Receipt of Funds or Purchases
- 32) Social Security Administration Receipt for Payment



33) Form SSA-1099

Section 14: Relative Caregiver

Section 15: Adoption

Section 16: Adoption Activities

Section 17: DCF Case Files

To properly archive and store electronic images, Communities Connected *for Kids* utilizes a tiered approach to system storage, maintenance, and back-up. The master file is archived on a primary server with internal back-up precautions. In addition, the primary server is synced with TeraStations. The TeraStations are used to back-up data from the server and provide a secondary location for file storage. For full data back-up and disaster recovery process, refer to the Communities Connected *for Kids*, Policy & Procedure Manual, 1100 Series Information Technology, Data Backup and Disaster Recovery #1109.

All official records are then managed according to the state, federal, and regulatory guidelines set forth by the Department of Children and Families. For full security of information systems, refer to Communities Connected *for Kids*, Policy & Procedure Manual, 1100 Series, Technology, Data, Records, and Reporting #1108 and 1300 Series, Records Management #1302 Confidentiality of Client Information #1302.

- a. Refer to Communities Connected *for Kids* Policy 1304 Records Retention, Storage and Disposal. Communities Connected *for Kids* will be responsible for ensuring the continued accessibility and readability of public records throughout their entire life cycle regardless of the format or media in which records are maintained.
- b. Communities Connected *for Kids* schedules the retention and disposition of all electronic records, as well as related access documentation and Indexes, in accordance with the provisions of Chapter 1B-24, F.A.C. Communities Connected *for Kids* will be responsible for regular recopying, reformatting, and other necessary maintenance to ensure the retention and usability of the electronic records throughout their authorized life cycle.
- c. Communities Connected *for Kids* will destroy electronic records only in accordance with provisions of Chapter 1B-24, F.A.C. At a minimum Communities Connected *for Kids* shall ensure that:
 - 1) Electronic records scheduled for destruction are disposed of in a manner that ensures that any information that is confidential or exempt from disclosure, including proprietary, or security information, cannot practicably be read or reconstructed, and;
 - 2) Recording media previously used for electronic records containing information that is confidential or exempt from disclosure, including proprietary or security information, are not reused if the previously recorded information can be compromised in any way by reuse.
 - 3) Prior to records disposition, Communities Connected *for Kids* will ensure the minimum requirements for each records disposition is the identification and documentation of the following:
 - i. Schedule number;
 - ii. Item number;
 - iii. Record series title, and
 - iv. The inclusive dates.



Records Retention, Storage and Disposal

Retention

1. Communities Connected *for Kids* adheres to the retention and disposition requirements of official records as outlined in the master services agreement with the Department of Children and Families.
2. Client files are retained in their entirety within the FSFN system and no information in the record is to be removed or expunged, unless legally amended, ordered or directed to do so. The sole exception to FSFN storage are the following which are stored in accordance with Florida Statute 92.29 and F.A.C. Rule 1B-26.003, in hard copy in locked cabinets at the appropriate county service center:
 - a) Birth Certificates
 - b) Social Security Cards
 - c) Immunization records
 - d) Death Certificates
 - e) Medicaid Cards
3. Historical records housed in the Archives Management or Agency Secure Knowledge (ASK) system will be evaluated to ensure all necessary records are transferred or already included in the child or family's FSFN record, as appropriate. Upon determination that the transfer or inclusion verification is complete, ASK and Archives management copies may be disposed of as duplicates.

Retention Schedule

1. The retention schedules are as outlined in CFOP 15-4, and include, but are not limited to, the following requirements for client records:
 - a) Adoption Records The records are maintained for life and are never to be destroyed.
 - b) Other Client Services Records- (Protective services, family support)
The records are maintained until the youngest child in the case reaches the age of 30 years.

Storage

1. All records and information, both active and inactive, will be stored with due consideration for security, confidentiality and final disposition.
2. All storage systems will be designed in such a manner as to be cost effective, to facilitate efficient access and with due consideration for the needs of the end user.
3. All storage media will be maintained in accordance with state and federal laws governing record security, and in such a manner as to secure and protect the information contained therein.

Disposal

1. FSFN-housed records will not be disposed of by CCKids' employees.
2. Hard copy records will be disposed of only after verification of the retention schedule and with appropriate prior approval from the CCKids' records custodian, obtained from the Department of Children and Families. Prior to records disposition, Communities Connected *for Kids*' records custodian will ensure that the following information is documented and maintained on a disposal log, if applicable:
 - a. Box #
 - b. Box ID



- c. Box Description
 - d. Expire Date
 - e. Create Date
 - f. Retrieved Date
 - g. Name Out
 - h. Permanently Deleted (from AM)
 - i. Inventory (details of what is in each box and status, such as shredded or uploaded)
3. ASK records will be disposed of as duplicates following verification that records are complete and present in FSFN. A log of ASK records that have been uploaded into FSFN will be maintained as documentation.
4. All records will be disposed of with appropriate security to ensure confidentiality.

Approved by:

DocuSigned by:

Carol DeLoach

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Carol DeLoach, CEO

