

Series	900: Data Systems, Data Collections, Records, and Reporting
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References

FL Statutes §39.00145 Records concerning children.
FL Statutes §39.0132 Oaths, records, and confidential information
FL Statutes §39.201 Exemption from Florida Statute 119.07(1)
FL Statutes §39.4085(6) Health screening & identity records in case file
FL Statutes §39.814 Oaths, records, and confidential information
FL Statutes §39.908 Info received by DCF or domestic violence center.
FL Statutes §119 Public Records (Government Records)
FL Statutes §384.34 Disclosure of Sexually Transmittable Infections
FL Statutes 456.057 Control and disclosure of patient records
FAC 65C-30.001 Definitions of Case File, Child Resource Record and CCWIS
FAC 65C-30.004 Identification of Children (Photo, Fingerprints, Birth, SSN)
FAC 65C-30.007 Case Management Responsibilities
FAC 65C-30.024 Case File Face Sheet
CFOP 170-1 Ch 4-5 Family Support Services Documentation
CFOP 170-1 Ch 5-14 Unified Home Study Documentation
CFOP 170-1 Ch 7-4 Investigation to Case Management Transfer Documentation
CFOP 170-1 Ch 9-9 New Child in an Active Case, Documentation
CFOP 170-1 Ch 10-4 New Adult in an Active Case, Documentation
CFOP 170-1 Ch 12-5 Case Note and Meeting Documentation
CFOP 170-1 Ch 14-10 Diligent Search Documentation
CFOP 170-1 Ch 16 Parent in Need of Assistance, Special Conditions Referral
CFOP 175-42 Case Chronological Documentation
CFOP 175-94 Criminal and delinquency records

Related Documents FSN Upload Reference

Policy It is the policy of Partnership for Strong Families, Inc. (PSF) to gather case records and document case work in the record for each case assigned to PSF, to maintain the security, organization, accuracy, and completeness of the Case Record, in accordance with the laws, administrative codes and DCF Child and Family Operating Procedures (CFOP) cited above. It is also the

policy of PSF to maintain and utilize procedures to implement this policy. PSF embraces a collaborative, strategic approach to risk management, which includes identifying and addressing threats and opportunities the organization faces at every level. This policy is written in accordance with the PSF Risk Management Plan.

Procedure

Section A: Definitions

Case File, pursuant to FAC 65C-30.001(12), means all information for a case contained in the comprehensive child welfare information system (CCWIS), as well as the supporting documentation gathered during provision of services to that family. The “case file” may also refer to a duplicate, paper copy of the electronic case file and the supporting paper documentation. The CCWIS is the Florida Department of Children and Families copy of record for each intake, investigation, and all subsequent casework to provide a complete, current, accurate and unified case history. (§39.00145, F.S.) The Clients drawer of the PSF Electronic Records and Document Imaging System contains the copy of record for the DCF client records of which PSF is custodian, including records created by or for PSF that are subsequently copied into the CCWIS, and the third party or other records that are not permitted in the CCWIS, including state background documents and clearing house opinions based on state and FBI background results.

Child’s Resource Record, pursuant to FAC 65C-30.001(21), means a standardized record developed and maintained for every child entering out-of-home care that contains copies of the basic legal, demographic, available and accessible educational, and available and accessible medical and psychological information pertaining to a specific child, as well as any documents necessary for a child to receive medical treatment and educational services. It is also referred to as the child’s blue folder.

Comprehensive Child Welfare Information System (CCWIS), pursuant to FAC 65C-30.001(30) means the comprehensive, statewide automated case tool of the Florida Department of Children and Families that supports child welfare practice. A CCWIS holds the state’s case file copy of record for all children and families served. According to 45 USC 1355 the CCWIS standard requires a data exchange standard for interfaces with service providers and other agency systems. Florida’s CCWIS is also called the Florida Safe Families Network (FSFN).

Section B: Investigation Records in the Case File

1. At case transfer from the DCF Child Protective Investigator (CPI) to the PSF Family Care Counselor (FCC), a.k.a. Case Management Specialist, the FSFN case file contains:
 - a. Up-to-date documentation of investigative activities
 - b. A completed family functioning assessment containing sufficient, reconciled, and corroborated assessment information. Sufficient means enough information has been gathered to support the identification of danger threats, caregiver protective capacities, and child vulnerability.

- c. The name and location of child's school and/or childcare provider, if available.
 - d. The name and location of child's medical provider(s) and any health or medical information, if available.
 - e. Diligent Search. Any documented diligent efforts to identify and locate all relatives of the child, to include parents of siblings.
 - f. The child's date and location of birth if the child is under court ordered supervision, if available.
 - g. A photograph of the child who was removed or will be placed under court ordered supervision, if available.
 - h. Fingerprints of the child placed in out-of-home care, if available.
 - i. ICWA eligibility and documentation. The status of the inquiry into whether the child may have Native American heritage and whether the child's tribe is claiming jurisdiction.
 - j. The results of criminal, delinquency and abuse/neglect history checks performed on a relative or non-relative caregiver.
 - k. Any court or other documents related to shelter.
 - l. Any other documentation or actions agreed upon between the DCF CPI staff or sheriff's office performing the investigation and the contracted [Community Based Care] service provider.
2. When PSF creates a new case file or accepts an open case file, the case file contains at a minimum the information required by Florida Statutes, Florida Administrative Codes, Child and Family Operating Procedures, or the funding source standards in effect during the period that the case is open.

Section C: The CCWIS Face Sheet

1. The child welfare professional documents relevant case information, pursuant to §39.00146(2), §39.4022 and §39.4023, F.S., in the child's CCWIS record within two business days, after which the information displays in the case record face sheet.
2. The case record face sheet includes the recommendations of the multidisciplinary team meeting made pursuant to §39.4022, F.S., and transition plans, pursuant to §39.4023, F.S.

Section D: The Child's Resource Record (CRR)

1. The child's resource record shall include the following information:
 - a. Medical, dental, psychological, psychiatric and behavioral history,
 - b. Copies of documentation regarding all on-going medical, dental, psychological, psychiatric and behavioral services, including child health check-ups provided through Medicaid,
 - c. Parental consent for treatment or court order,
 - d. Copy of the Medicaid card,
 - e. Copy of the Shelter Order,
 - f. Copy of the court order or Voluntary Placement Agreement (CF-FSP 5004) placing or accepting the child into out-of-home care.

- g. Copy of the Case Plan,
 - h. Copy of the most recent Judicial Review Social Study Report,
 - i. All available school records,
 - j. An envelope for storing pictures,
 - k. The most recent photograph available,
 - l. Copy of the child's birth certificate or birth verification certified by the Office of Vital Statistics, as appropriate,
 - m. Documentation of immigration status, including certificate of citizenship, if available; and,
 - n. The names and phone numbers of staff to be contacted in emergencies.
3. Where DCF or its contracted service provider has originals of documents required to be included in the child's resource record, the original documents are placed in the child's case file and the copies are kept in the child's resource record.
 4. Where medical or educational information is not available and accessible, written documentation of the efforts made to obtain the information are documented in FSFN.
 5. The child's resource record is physically located with the caregiver, whether the child is in licensed care or placed with a relative or non-relative. The child's caregiver ensures that the child's resource record is updated after every health care, psychological, psychiatric, behavioral, and educational service or assessment has been provided to the child.
 6. The case management specialist ensures that medical and court-related documentation are kept current at each visit that is made at least every 30 days. If additional information is needed in the child's resource record, the case management specialist, and the caregiver work together to ensure that the child's resource record is updated.

Section E: Case Management Records in the Case File

1. If the physical Copy of Record cannot legally be considered the same as an original, then the original physical document is also retained until it is no longer needed. Such records include the child's original birth certificates, original immigration documents, original state identification cards, and original social security cards.
2. The contents of the case management portion of a client case file include but are not limited to the following records related to the case, if applicable:
 - a. Background Records
 - 1) Abuse/neglect history checks in the Florida CCWIS
 - 2) Abuse/neglect history checks from other states (Adam Walsh checks)
 - 3) Citizenship and Immigration Documents
 - 4) Civil Court history checks
 - 5) Corrections Records
 - 6) Death Certificate of Parent



- 7) Driving Record checks
 - 8) Income and Employment Verification
 - 9) Law enforcement background checks in accordance with applicable agreements, including, Local (Police, Sheriff), State (FDLE, public records version from other states) and Federal (Criminal History Review Letter from DCF).
 - 10) Sexual Offender Registry Checks
- b. Case Narrative (ChronoNotes)
- 1) The chronological notes that document case work activities as specified by PSF Policy and Procedure 909 Chronological Recording.
 - 2) Parent and Child Visitation documentation regarding visits between the children and parents, including the visit dates, visit durations and information that can potentially be used to support decision-making, such as substantive interactions between children and parents during the visits.
 - 3) Sibling Visitation documentation regarding visits between siblings.
 - 4) Home Visit documentation regarding visits between a Case Management Specialist and the children at their placements.
 - 5) Photographs of the children
- c. Child Safety Records
- 1) Child Death Reviews
 - 2) Credit Checks to monitor potential identity theft of client children
 - 3) Domestic Violence Screening
 - 4) Family Functioning Assessments
 - 5) Family Risk Assessment
 - 6) Family Risk Reassessment
 - 7) Family Tree-Genogram
 - 8) Florida Child Safety Methodology Safety Plans
 - 9) Impending Danger Assessments
 - 10) Incident Reporting and Analysis System (IRAS) Reports. IRAS Reports are maintained in the DCF IRAS system and not the PSF Records System.
 - 11) Missing and Recovery Reporting Forms
 - 12) Present Danger Assessment
 - 13) Rapid Safety Feedback Tool
 - 14) Safe Harbor Assessments
- d. Client Trust Fund Records
- 1) Social Security Correspondence
 - 2) Trust Fund Statements
- e. Court Records
- 1) Appeals
 - 2) Appointments
 - 3) Answers to Demands, Motions and Petitions



- 4) Child Support Enforcement (CSE)
 - 5) Demands for Discovery and Disclosure
 - 6) Dependency Drug Court Records
 - 7) Designation of e-mail Address
 - 8) Entries
 - 9) Guardian Ad Litem Documents
 - 10) Injunctions
 - 11) Caregiver Input Forms and Independent Living Progress Reports
 - 12) Judicial Case Plan(s), pursuant to §39.00145, F.S.
 - 13) Judicial Review Social Study Permanency Reports
 - 14) Mediated Agreements
 - 15) Motions
 - 16) Non-judicial Case Plan(s)
 - 17) Notices
 - 18) Orders
 - 19) Paternity Determinations
 - 20) Petitions
 - 21) Putative Father Registry Certificates
 - 22) Reports and Recommendations from the General Magistrate
 - 23) Rulings
 - 24) Status Review Reports
 - 25) Subpoenas
 - 26) Transfers of Jurisdiction
 - 27) Warrants
- f. Education Records
- 1) College Tuition Waiver
 - 2) Developmental Evaluation
 - 3) Diploma or GED
 - 4) Financial Aid
 - 5) IEP, ESE, and 504 Documents
 - 6) Incident Reports
 - 7) Progress Reports
 - 8) Psychoeducational Evaluation
 - 9) School Stability Checklist
- g. Eligibility Records
- 1) Disability including but not limited to Agency for Persons with Disabilities (APD) records.
 - 2) Flex Fund Records
 - 3) Medicaid Insurance
 - 4) Other Insurance (Non-Medicaid)
 - 5) TANF1 - Eligibility Determinations
 - 6) TANF2 - Requests for Funds



- 7) Title IV-E
- h. Extended Foster Care and Young Adult Support Records
 - 1) Aftercare Support Records
 - 2) Extended Foster Care Agreement
 - 3) Financial Management Needs Assessment
 - 4) My Decision to Opt Out of Extended Foster Care
 - 5) Normalcy Teen Plans
 - 6) Notice of Denial for Readmission to Extended Foster Care
 - 7) Notice of Discharge from Extended Foster Care
 - 8) Post Educational Secondary Support (PESS) Records
 - 9) Request for Fair Hearing
 - 10) Shared Living Plan
 - 11) Supervised Living Arrangement
- i. Other Case Management and Permanency Records
 - 1) The demographic information of each case participant, including at a minimum: his or her name, address, gender, birth date, race, ethnicity, disability information and marital status. The demographic information of each adult case participant shall include his or her social security number and his or her relationship to the child participants. The demographic information of each child case participant shall include the mother's current marital status and her marital status at the time of the child's birth. The demographic information will be updated as new information is acquired and as changes develop.
 - 2) The identity documentation of all court involved child case participants, including the birth certificate, fingerprints, and identity photographs of children.
 - 3) Family Team Conference documentation such as the Family Plan or Family Team Conference Exemption form, if applicable.
 - 4) Correspondence, only if it has been designated as a case record, whether transmitted by postal delivery, facsimile, or electronic mail.
 - 5) Documentation of actions taken to provide adequate services to case participants that are deaf, hard of hearing, visually impaired or unable to communicate using the English language.
 - 6) Client authorizations to release or exchange confidential information.
 - 7) Requests for Records
 - 8) Courtesy Supervision, Out-of-County, and OTI Records
 - 9) Interstate Compact of the Placement of Children (ICPC) Records
 - 10) The supervisory reviews of case documentation that provide the child protective investigator or case management specialist with some guidance to rectify any deficiencies in documentation. (Supervisory comments on performance or other performance evaluations are not part of the case file.)
- j. Placement Records
 - 1) Caregiver Self Appraisal



- 2) Child Information Form
 - 3) Child Placement Agreements
 - 4) Disaster and Emergency Preparedness Plans
 - 5) Exit Interviews according to PSF Policy and Procedure 804.
 - 6) Guardianship Assistance Records
 - 7) Inventory of possessions
 - 8) Log of current and past placements with full names of caregivers, placement street addresses, dates of placement, and the reason that each placement terminated, pursuant to §39.00145, F.S.
 - 9) Missing and Recovery Procedures
 - 10) Non-Relative Caregiver Financial Documents
 - 11) Placement Assessment
 - 12) Placement Memorandum or Placement Letter
 - 13) Placement Rate Letters
 - 14) Placement Transition Plans
 - 15) Relative Caregiver Communication Form
 - 16) Restitution Claim Forms
 - 17) Sibling Separation Memo
 - 18) Travel and Transportation Records
 - 19) Voluntary Placement Agreement
- k. Placement Services Records
- 1) Childcare or Daycare Reports
 - 2) Department of Juvenile Justice (DJJ) Placement Reports
 - 3) Emergency Youth Shelter Facility Reports
 - 4) Medical Foster Home Reports
 - 5) Residential Groups Home Reports
 - 6) SIPP Residential Treatment Reports
 - 7) Therapeutic Foster Home Reports
 - 8) Therapeutic Group Home Reports
- l. Reunification Records
- 1) Family Functioning Assessment for Reunification
 - 2) Family Reunification Assessments
- m. Services Records for healthcare treatment, case plan requirements, and childcare. Services include but are not limited to Medical Treatment, Crisis Stabilization (Baker Act), Batterer's Intervention Program (BIP), Domestic Violence Prevention, Parenting Classes, Couples Counseling, Individual Mental Health Counseling, and Substance Abuse Treatment.
- 1) Authorizations for client services
 - 2) Agency for Health Care Administration (AHCA) documents
 - 3) Behavioral Health Intakes (Mental Health and Substance Abuse Treatment)
 - 4) Behavioral Health Evaluations
 - 5) Behavioral Health Action Plans



- 6) Behavioral Health Treatment Plans
 - 7) Behavioral Health Safety Contracts
 - 8) Behavioral Health Service Plans
 - 9) Behavioral Health Progress Notes
 - 10) Behavioral Health Discharges and participation records
 - 11) Behavioral Health Certificates of Completion
 - 12) Case Management Service Records, including but not limited to anger management services and parenting classes.
 - 13) Childcare or Daycare Reports
 - 14) Client authorizations to release or exchange protected health information.
 - 15) Comprehensive Behavioral Health Assessments of the child, for court, formerly known as a pre-disposition study.
 - 16) Consents for Treatment from patients, parents, or the court
 - 17) Deceased Child Services (Funeral, etc.)
 - 18) Dental
 - 19) Drug Screens
 - 20) Hearing and Speech
 - 21) Immunizations
 - 22) Medical Intakes
 - 23) Medical Exams / Evaluations/ Reports
 - 24) Medical Treatment Plans
 - 25) Medical Progress Notes
 - 26) Medical Discharge
 - 27) Parents' Receipt of (HIPAA) Privacy Notification and the PSF Child and Family Handbook
 - 28) Parent Needs Assistance (PNA) Intake and Screenings
 - 29) Polygraph Reports
 - 30) Powers of Attorney
 - 31) Prescriptions
 - 32) Psychiatric Evaluations
 - 33) Psychotropic Medication Records, such as the 30-day review, physicians medical report, medication logs, placement change forms, and pre-consent records.
 - 34) Rapid Response Team Records
 - 35) Referrals and requests for client services
 - 36) Suitability Assessments (Qualified Evaluations) for Residential Treatment
 - 37) Vision
- n. Staffings. The documentation of case staffings/meetings, including the meeting dates and actions taken at each meeting.
- 1) Case Management Services Staffings
 - 2) Case Transfer Staffings
 - 3) Clinical Care Level Staffing
 - 4) Disruption and Pre-Disruption Staffings
 - 5) Permanency Staffings



- 6) Safety Staffings
- 7) Separated Siblings Staffings

Section F: Parent Needs Assistance Records in the Case File

1. Parent Needs Assistance (PNA). When PSF received a PNA Referral for a parent or legal custodian seeking assistance for himself or herself to ameliorate a potential future risk of harm to a child, all actions pursuant to the referral are documented in the CCWIS within two business days and the response to the Parent Needs Assistance referral is documented in the Special Conditions Assessment Summary in the CCWIS. A copy of the PNA Intake and Screening form is submitted to the PSF Records System.

Section G: Super Confidential Information in the Case File

1. Super Confidential Information is confidential information of a sensitive nature that is required by law to be safeguarded with additional protocols compared to other confidential information.
 - a. Domestic Violence Shelter Information
 - b. Sexually Transmitted Infection (STI) Information
 - c. HIV/AIDS Information
 - d. Historic NCIC and FCIC Criminal Background Results that were requested by a CPI during a Protective Investigation and were placed in paper client files that were transferred to PSF prior to 2010. These historic documents are only stored in Perceptive Content and access is limited to user groups with a need to know, including, Legal Staff, Data Management Staff, Adoptions Staff, Case Management Supervisors, and auditors. These documents are only retained beyond 72-hours as supporting documentation for past decisions and may not be released. This records set will cease to exist once the retention period has ended.

Section H: The PSF Electronic Records and Document Imaging System

1. The Clients drawer of the PSF Electronic Records and Document Imaging System contains documentation sufficient to respond to requests for client records request case file information except for CCWIS chronological notes, child photographs, placement log, and Remote Data Capture (RDC) records which are imported to the Clients drawer of the PSF records system when they are needed for records releases or for significant event responses.
2. All documents acquired or created for the case, by PSF or its contracted case management agencies, are submitted for filing in the PSF Records System. Paper documents are deposited in the records receptacle at each service center. Digital documents are submitted electronically through any of the available means. Drafts or other documents that are not part of the case record are not submitted for filing in the PSF Records System. Duplicates of documents that are already

filed in PSF Records System do not need to be submitted.

3. The Business Analyst in the PSF Information Technology Department is the administrator of the PSF Records System and is responsible for its administration, including but not limited to: the designing, assigning, updating, and terminating access permissions, application plans, filing conventions, drawers, document types, views, workflows, stamps, export profiles, and printing profiles.
4. Access to client records in the PSF Records System is restricted to users who have access to client records in the CCWIS. The administrator of the PSF Records System must be notified in writing to restrict a case from any case management units or other security groups in the PSF Records System.
5. Document Types or Record Types: Changes in case documentation requirements are communicated to the administrator of the PSF Records System so that the administrator can determine what updates are needed to the document type lists and user guide.
6. Error Reporting: Misfiled or other problematic records are reported by email (datamanagement@pfsf.org) so that the Data Management staff can make the necessary corrections.
7. Case Name or ID Changes: changes in a CCWIS (FSFN) case name or case ID number are reported by email (datamanagement@pfsf.org) so that the Data Management staff can update the metadata of existing documents to match the current case information.
8. Court Service for all client court cases is sent to records@pfsf.org instead of individual staff e-mail addresses. This e-mail account imports the messages into the Clients drawer of the PSF Records System so that staff can locate the served court documents in the case file. Do not send messages to records@pfsf.org unless you intend to place them in the client record.

Section I: Uploading Case File Documents to the CCWIS (FSFN)

1. The FSFN Upload Reference is published to the PSF intranet. It details the following: (i) document types to be uploaded to FSFN, (ii) the destinations in FSFN of these document types and (iii) the parties responsible for uploading each document type.
2. The administrator of the PSF Records System modifies the FSFN Upload Reference only after confirming that all documents of that type are required by contract to be uploaded to the CCWIS. The current contract states that all uploads to FSFN detailed in a DCF Operating Procedure or memo are required to be uploaded as described in the Operating Procedure or memo. Updated DCF Operating Procedure or memos detailing FSFN upload instructions are sent in writing to the administrator of the PSF Records System.
3. Data Management staff may employ automation tools to securely copy records from the PSF records System to the CCWIS.



4. The FSFN Upload Reference exempts some document types from being uploaded by the Data Management staff because they are required to be uploaded to the CCWIS within a specific number of hours. These records are uploaded to the CCWIS by the Case Management Specialist, who also submits a copy for filing in the PSF Records System.
5. Unless specifically exempted by FSFN Upload Reference, records are exported from the PSF records system before being uploaded to the CCWIS. In addition to ensuring that case records are available to respond to records requests and audit requests in a timely and efficient manner, this ensures that the PSF records system retains a backup of documents that risk corruption or deletion in the CCWIS.
6. Case Management Specialists who exercise the option of attaching documents to FSFN Chronological Notes in the CCWIS identify the attached documents in the narrative by documenting the titles and dates of the documents. This allows the attached documents to be identified when the Chronological Notes have been exported from the CCWIS.
7. Misfiled documents in FSFN are reported in writing to the case management specialist who is assigned as primary on the case and, if necessary, to the Data Management staff.