



SUBJECT Agency for Persons with Disabilities (APD) Procedures for Central Record Maintenance and Records Retention	YEAR 2007	PROCEDURE NUMBER APD 04-009
PROCEDURE MAINTENANCE ADMINISTRATOR: Community Development		
PURPOSE: This operating procedure describes the process to be used to maintain the central records of individuals who are consumers of APD.		

1. Scope.

This operating procedure applies to all APD Area office staff and waiver support coordinators (WSC) or Consumer Directed Care Plus (CDC+) consultants who have responsibility for consumers assigned to the Area, the WSC, or the consultant.

2. Uniform Area Office and Waiver Support Coordinator Procedures for Maintenance of Central Records.

Central Records shall be maintained in 6-part files. For consistency, uniformity in file content is established by this procedure. F.S. Ch. 393 requires that there be a central record for each consumer which will include data pertaining to eligibility determination and such information as may be required under regulation by the Agency. It also states that the central records shall accurately summarize each consumer’s history and present condition. It is not a depository of day-to-day medical, therapy and training files. It contains summaries of services received, the progress made by the consumer and where those services were provided, annual assessments, and support plans describing the consumer’s needs.

Each of the six parts of the file should have a cover sheet or tab identifying the contents of that part. This will assist in maintaining organization as new documents are received and filed. Tabbed sheets to separate documents are preferable. The most recent document should be on top of each section, and all documents should be filed in descending date order by document type within each section. Documents and other material should be filed in only one section; duplicates are not needed.

All documents should be filed in the central record upon receipt. Care should be taken to center attachments to prevent damage to documents and records.

The following sections should be labeled and shall contain the noted documents:

A. Legal/Financial.

This section shall include, but not be limited to:

- Consumer Information Sheet **
- Waiver Eligibility Worksheet(s) **

Director’s Signature	
Effective Date	Revision Date This is a newly established operating procedure.

SUBJECT CENTRAL RECORD MAINTENANCE AND RECORDS RETENTION	PROCEDURE NUMBER APD 04-009 ESTABLISHED 1/2007	PAGE 2
----------------------------------------------------------------	------------------------------------------------------	-----------

Consent(s) for release of information	*
Consent(s) to obtain information	*
Authorization(s) for routine medical and dental care	**
Wait List Form(s)	**
Application(s) for Services	**
Application(s) for Waiver Participation	**
Eligibility Determination	**

All eligibility documents submitted by the individual or family, or obtained from collateral sources, or assessments purchased or completed by the Agency to determine eligibility for the APD should be in this section. Copies of any desk reviews or reports from any APD staff person confirming review of information and determination of eligibility must also be filed here. **This information must be retained in the active volume of the individual's central record at all times.**

Court order(s) for guardianship, involuntary commitment and dependency, if applicable	**
Photocopies of birth certificate and/or other documentation verifying identity and US/Florida residency (Permanent Residency Card, photo identification card, passport, etc.)	**

B. Support Plan/Cost Plan.

This section shall include

Support Plan(s), support plan update(s) and support plan amendment(s) and the following:

<u>Waiver consumer</u>	
Cost Plan	*
Cost Plan Amendments	*
GR consumer	
Approvals – IFS/GR expenditures	*
Invoices – IFS/GR Expenditures	*
ABC Invoice Screen Printouts	*

C. Reports from Providers.

<u>Waiver Consumer</u>	
Service Authorizations (printout of ABC Cost Plan Screens)	*
Provider Reports (training programs, supported living, supported employment, residential facilities, behavioral services, etc.)	*

SUBJECT CENTRAL RECORD MAINTENANCE AND RECORDS RETENTION	PROCEDURE NUMBER APD 04-009 ESTABLISHED 1/2007	PAGE 3
----------------------------------------------------------------	------------------------------------------------------	-----------

Implementation Plans *

GR consumer *

Reports or copies of invoices from any providers for services paid with general revenue funds.

All Consumers **

Assessments (Florida Status Tracking Survey, Individual Cost Guidelines, Personal Outcome Measures, IEPs)

D. Contact Record.

Case Notes ***

Sequential, dated and signed compilation of all contact with, on behalf of, or related to the consumer. The first case note on each page requires full signature of the worker. Each case note thereafter may be initialed, unless a different worker enters the note. Each change in worker requires a full signature and any notes written until the next worker makes an entry may be initialed. Corrections are made with a single-line strike through the error and initialed by the writer. There shall be no blank lines or spaces in the case notes. Any space or line not used shall be lined through. White out is never permissible in the case notes.

All case notes must be dated using the date the entry is made. If case notes are completed electronically, they must be printed out at the end of each month and fastened into the file. The first note must be signed, and all others initialed. A diagonal line must be drawn from the end of the notes to the bottom of the page.

Field Visit Notes

If field notes are used, they must be placed in the central record after the last entry. The next case note will begin after the field notes. All other instructions above apply.

E. Correspondence/Miscellaneous.

This section shall include, but not be limited to:

- Any correspondence to or from the consumer or about the consumer *
- Case Transfer Form(s) *
- Referral(s) *
- Grievance(s) or request for hearing(s) *
- Incident report(s) *
- Arrest reports *

SUBJECT CENTRAL RECORD MAINTENANCE AND RECORDS RETENTION	PROCEDURE NUMBER APD 04-009 ESTABLISHED 1/2007	PAGE 4
----------------------------------------------------------------	------------------------------------------------------	-----------

DCF Notice(s) of Case Action *

Any document pertaining to the individual’s ability to function in the community or his or her current situation that would not be appropriately placed elsewhere. *

F. Medical.

All information of a medical nature must be filed in this section. ***

(This includes any psychological reports, medical reports, physical exam reports, dental reports, psychiatric or psychological reports, medical case management reviews, psycho-social reports, behavioral assessments, etc.)

Documentation used to determine eligibility is filed here when an individual is moved to a waiver, including any original Habilitation Plans.

Extraneous documents, such as copies of ABC or FMMIS screens are not needed for the Central Record.

4. Opening of a New File of the Central Record.

When a central record has reached its maximum capacity, a new six-part file should be established. Documentation shall be moved from the old file to the new file per the following:

- Items noted above with a single asterisk *
The most current document or any compilation of documents within the past 12 months shall be moved to the new file.
- Items noted above with a double asterisk **
These documents must be moved to the new file. If more than one document exists, then the most recent document must be moved
- Items noted above with a triple asterisk ***
Documentation from at least the past 12 months shall be moved to the new file. If an on-going situation exists preceding the past year, then documentation from the past two years shall be moved to the new file.

The documentation used for determination of eligibility, the eligibility determination letter, the current Application for Services, the current Application for Waiver Participation, the Wait List Form (for GR consumers), the current Waiver Eligibility Worksheet (for waiver consumers), and any current legal documents, such as appointment of guardianship, shall always be moved forward to the new file.

SUBJECT CENTRAL RECORD MAINTENANCE AND RECORDS RETENTION	PROCEDURE NUMBER APD 04-009 ESTABLISHED 1/2007	PAGE 5
-----------------------------------------------------------------------	-------------------------------------------------------------	------------------

5. Retention of Central Records

A. Active Consumers

The current volume of the central record shall contain, at a minimum, all information relating to the current calendar year and the two previous years. During the third year, at the time of reassessment, a new volume may be opened and all current material required for the current volume moved to the new volume and the material for the third prior year (except section A – Legal/Financial, which must be retained in the current volume) may be retained in the old volume. Each year thereafter, the material for the third prior year, other than that which is required to be maintained in the current volume, may be moved to the old volume.

RETENTION:

- i. Record copy – materials over 6 years of age are eligible for destruction.
- ii. Duplicates – retain until obsolete, superseded or administrative value is lost.

Old volumes of central records for waiver consumers must be submitted to the waiver coordinator at the Area office for review prior to destruction.

An Area office staff person so designated by the Area administrator must review central records for general revenue consumers prior to destruction.

B. Closed Adult Consumers

No purging of the record shall occur after the case is closed. The entire case becomes eligible for destruction at the same time.

RETENTION:

- i. Record copy – archive until five years after case is closed.
- ii. Duplicates – Retain until obsolete, superseded or administrative value is lost.

Central records for waiver consumers must be submitted to the waiver coordinator at the Area office for review prior to archival.

An Area office staff person so designated by the Area administrator must review central records for general revenue consumers prior to archival.

C. Closed Minor Consumers

No purging of the record shall occur after the case is closed. The entire case becomes eligible for destruction at the same time.

RETENTION:

- i. Record copy – retain until consumer is 21.

SUBJECT CENTRAL RECORD MAINTENANCE AND RECORDS RETENTION	PROCEDURE NUMBER APD 04-009 ESTABLISHED 1/2007	PAGE 6
-----------------------------------------------------------------------	-------------------------------------------------------------	------------------

- ii. Duplicates – Retain until obsolete, superseded or administrative value is lost.

Central records for waiver consumers must be submitted to the waiver coordinator at the Area office for review and maintained in the Area office until eligible for destruction.

An Area office staff person so designated by the Area administrator must review central records for general revenue consumers which will be maintained in the Area office until eligible for destruction.

D. Deceased Consumers

Records will not be purged after the consumer’s death. The entire case becomes eligible for destruction at the same time.

RETENTION:

- i. Record copy – 5 years after death.
- ii. Duplicates – Retain until obsolete, superseded or administrative value is lost.

Central records for waiver consumers must be submitted to the waiver coordinator at the Area office for review and may be archived until eligible for destruction.

Central records for general revenue consumers must be reviewed by an Area office staff person designated by the Area administrator and may be archived until eligible for destruction.

Purged documents or destroyed records shall be shredded or otherwise destroyed so as to prevent unauthorized access to confidential information.

BY DIRECTION OF THE DIRECTOR:

(signed copy on filed)

BARNEY RAY
INTERIM DIRECTOR