

UMATILLA MORROW COUNTY HEAD START, INC.  
Student/Client Records Policy

The agency shall maintain student and client records necessary for the educational guidance of students and/or clients, for orderly and efficient operation of the agency, and as required by law. All educational, health, nutrition, special services and social services information related to clients and their families shall remain confidential.

All records are the property of the agency, but shall be available in a timely manner to parents, clients and legal guardians. A parent, client or guardian may challenge any information in the record believed inaccurate, misleading or in violation of the privacy or other rights of the student or client. Parents, clients, and guardians will be informed annually of their rights to review and propose amendments to the record. Copies of records may be requested at the program cost of duplication.

Records shall be kept safe and secure at all times. All records will be stored under lock and monitored by authorized custodians. All Head Start/OPP student records are retained for three years in locked file cabinets within a storage room that meets or exceeds the one (1 ) hour fire wall regulation. At the end of the three year period the student records shall be destroyed. Student information maintained on computer tracking systems are saved on cassette tapes and stored in a safety deposit box at the agency's bank. Women, Infant and Children (WIC) client records shall be kept for seven years.

Student/client records will be forwarded to other schools and agencies upon request. Parental consent forms shall be required before Umatilla-Morrow County Head Start, Inc. may release those records, except as provided by law.

Records being released to school districts within the state of Oregon will be the original record with readable photocopies of the records being maintained at the Umatilla Morrow County Head Start, Inc. Records being released to other agencies and organizations will be readable photocopies.

The Executive Director is the official custodian of all records. In the event of a court subpoena, the Executive Director or representative, will present the records in court. The original records will be maintained by the individual programs and certified copies released to the court.

Either parent will be accorded full rights under OAR 581-21-210 - 581-21310 unless the agency has been provided with evidence that there is a court order, state statute, or legally binding document relating to such matters as divorce, separation, or custody that specifically revokes these rights.

#### Location and Content of Records for Head Start/OPP/EHS/Healthy Start/WIC

Current student records will be kept in the individual center the child is enrolled in by the Family Advocates. Current WIC client records shall be stored on location in one of the three agency clinics: Pendleton; Milton-Freewater; or Hermiston. The WIC Clerks will have responsibility and custody of these records. Older student and client records will be stored at the administrative office in Hermiston.

### Cumulative Child's File (Notebook -Head Start/OPP/EHS/Healthy Start)

Identifiable by student name, parent/s name, birth date and date of enrollment. Contents:

1. Program Face Sheet
2. Enrollment Summary of Services
3. Progress Notes
4. Education Summary of Services
5. Health Summary of Services
6. Social Services Summary of Services
7. Mental Health/ Disabilities Summary of Services

For more detailed content and procedure see Children's Files located in the Social Services Work Plan.

### Cumulative Folder (WIC)

Identifiable by client name, WIC clinic number, family number and part number. Contents:

1. Client Identification Sheet
2. Procedures
3. Certification Sheet
4. Health Questionnaire(s)
5. Progress Sheet and/or SOAP Sheet (Subject, Objective, Assessment and Plan)
6. Child's growth grid or mother's weight grid
7. Diet Flow Sheet
8. Diet Recall Sheet
9. Other information - letters from doctors, transfer information, breastfeeding questionnaires, voter registration

### Accessibility of Student/Client Records

Parents/Clients/Legal Guardians:

Parents, clients and legal guardians have the right to inspect their cumulative child's files/folders.

- a. The parent/client shall use the request form to gain access to their record.
- b. This review shall occur no later than five (5) working days after a request is received.
- c. Inspection and review will be conducted during normal working hours and the custodian shall be present or his/her designee.
- d. All records shall remain within the Agency, but may be copied by or for parents/guardians at their own expense. Copies of records will be \$.25 per page.

### Agency Personnel:

Staff members who have legitimate, educational, health, or social service interest in a student/client shall have access to the cumulative folder.

Other Head Start Programs/School Districts/WIC Programs: Student/clients records will be transferred to other programs and upon request and by written permission of the parent/guardian.

### Other Persons and Organizations:

- a. Information may be released to various federal agents for audit purposes

- b. To state and local officials to whom information is specifically required to be disclosed by any state law adopted before November 19, 1974.
- c. To testing organizations, so long as anonymity is preserved.
- d. To comply with court orders.
- e. To health and safety officials.
- f. To non-custodial parents, unless there is a court order to the contrary.

When information from a student/clients record is released to any person or organization other than program staff, a record of such release shall be maintained as part of the specific record involved. When information is no longer needed it will be destroyed. Telephone requests for information about students/clients shall not be honored unless the identity of the caller is known and the caller is authorized to receive the information under provisions of this rule. A record shall be made of any such release of information and placed in the student/client cumulative folder. This record of access shall include the date of access, the name of the party granted access, and the legitimate educational interest of the party granted access. In addition, organizations or interested parties will be informed that the disclosure of the record of a student/client is not to be disclosed further.

### Challenges and Hearings

Umatilla-Morrow County Head Start, Inc. will inform parents, clients and legal guardians of their right regarding records by providing notice of the following items:

- 1. Type of records maintained
- 2. Name of Custodian (Family Advocate, Child and Family Advocate, Family Educator or WIC Clerk)
- 3. Person(s) other than parent/guardians having access to records and the purpose of such access.
- 4. Inspection, review, challenge and hearing rights
- 5. Cost for copying records

At the time of inspection and review, parents, clients, or legal guardians may challenge the appropriateness and accuracy of any records directly related to the student/client and may demand correction or deletion. The Custodian, with concurrence from their Component Director, may honor such a demand by correcting or deleting records which are misleading, a violation of privacy, or inaccurate.

If the request is denied by the Custodian, the parent, client, or legal guardian will be notified of the right to a hearing. If a hearing is requested, it shall be held within ten (10) working days of the receipt of such request. The Executive Director will conduct the hearing and review the facts as presented by the parent/client/guardian and the Custodian and decide whether or not to order the demanded correction or deletion. The Executive Director will send his/her written decision to the parent/client/guardian within ten (10) working days of the hearing.

Upon denial of correction or deletion by the Executive Director, the parent, client, or guardian may request in writing a hearing before the Board of Directors which hearing shall be conducted at the Board's next regularly scheduled meeting. This meeting will be closed to the public. The Board will review the facts as presented by the parent, client, or guardian and Custodian and decide whether or not

to order the demanded correction or deletion. The Board will send its written decision to the parent, client, or guardian within (10) working days of the hearing.

Parents, clients, or guardians challenging the appropriateness and accuracy of the records may insert a written explanation of the objections in such records.

Parents or guardians may file a written complaint with the Family Policy Compliance Office, United States Department of Education, Washington D.C. 20202, regarding an alleged violation under the Family Education Rights and Privacy Act. The written Complaint must be filed within 180 days of the date of the alleged violation.

#### Record Review Procedure

Record reviews are conducted to provide assistance to staff in complying with performance standards and in providing quality services to families in the program.

Head Start/OPP record reviews will be conducted by the Content Area Directors, CFS Managers and supervisors assigned to Grant County, Wallowa County, South Morrow County and the Tri-County area every other month utilizing the File Review Checklist. A copy will be maintained by the reviewers in a notebook specifically for record reviews and a copy will be sent to the main office and kept on file.

The file checks will be scheduled with the staff on site and each file will be reviewed. Following the review, the designated file reviewer will share findings of the review with the staff, pointing out strengths and needs, clarifying any areas where improvement is required. This same information will be shared with the staff person's supervisor. Corrections will be made by the on site staff for any areas where improvement needs to be made. The staff supervisors will follow up with staff to ensure compliance with requests for improvement and complete a full file review of files as needed.

Full record reviews will be completed for the annual self assessment utilizing the content area file monitors, for designated families, and will include recruitment, enrollment, family service information and follow up; individual child assessment and update, education information; health information and follow up; emergency contact information; and parent consent forms.

The WIC Director will do chart reviews weekly as part of protocol for high risk referral. Once a year a random sample of charts is pulled as part of the WIC self review process.

When a record is found to be out of compliance, the supervisor of the appropriate staff will work with them to bring the record into compliance within seven working days.

#### REQUEST TO GAIN ACCESS TO CLIENT'S RECORDS

Name of Client Record Requested: \_\_\_\_\_

Date of Request: \_\_\_\_\_

Reason for request: \_\_\_\_\_

Authorized Signature \_\_\_\_\_

Relationship to Client: \_\_\_\_\_

#### RELEASE OF CONFIDENTIAL INFORMATION

Person/ Agency requesting Information: \_\_\_\_\_

Date of Release of Information: \_\_\_\_\_

Information to be Released Includes: \_\_\_\_\_

Interest of the Party Granted Access to Client Records: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Records obtained as authorized by this Privacy Act of 1974 and Federal Confidentiality Regulations (Title 42 of the Federal register).

Reviewed and updated 09/2012

[http://www.umchs.org/umchsresources/administration/pandp/Operations\\_Management/OM01\\_Student\\_Client\\_Records\\_Policy/Student\\_Client\\_Records\\_Policy.PDF](http://www.umchs.org/umchsresources/administration/pandp/Operations_Management/OM01_Student_Client_Records_Policy/Student_Client_Records_Policy.PDF)