
	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 1 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

## Table of Contents

Subsection	Title	Page
1.0	PURPOSE AND SCOPE .....	2
2.0	REFERENCES .....	2
3.0	INSTRUCTIONS .....	3
3.1	Confidentiality of Early Intervention Records .....	3
3.2	Electronic Communication and Records.....	3
3.3	Electronic Signature and the Child's Birth to Three Record .....	3
3.4	Electronic Communication Between Parents and Providers.....	4
3.5	Exempted from Definition of Records.....	4
3.6	Name Changes while in Birth to Three .....	5
3.7	Documentation of Requests to Access to Records.....	5
3.8	Parental Access to Records .....	7
3.9	Department of Children and Families Access to Records.....	8
3.10	Amendment of Records .....	8
3.11	Electronic Record System .....	10
3.13	Retention and Destruction of Records.....	11
3.14	Data Destruction Guidance Best Practices.....	13
3.15	Data Breach.....	14
3.16	Highly Confidential Records .....	15
3.17	Sharing Information from a Record .....	17
3.18	Email and Text Message Guidance.....	18
4.0	REVISION HISTORY .....	20
	Attachment 1, Access to Records Without Parental Consent.....	21

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 2 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

## **1.0 PURPOSE AND SCOPE**

1.1.1. This procedure provides instructions for creating, maintaining, and destroying records of families and children receiving supports and services through Connecticut Birth to Three Programs to ensure families' privacy and confidentiality through Individuals with Disabilities Education Act (IDEA) and Family Educational Rights and Privacy Act (FERPA) provisions.

- FERPA 20 U.S.C. § 1232g; 34 C.F.R. Part 99; 34 C.F.R. §303


## **2.0 REFERENCES**

### **2.1 Associated Documents**

- 2.1.1. Exiting and Transitioning Procedure
- 2.1.2. Form 3-1, Individualized Family Service Plan
- 2.1.3. Form 3-3, Authorization for Programs to Release Information
- 2.1.4. Form 3-4, Early Intervention Record Access Log
- 2.1.5. Form 3-15, Authorization for Programs to Obtain Confidential Information
- 2.1.6. Form 5-1, Notification of Retention and Destruction of Records
- 2.1.7. Parents Rights Under Individuals with Disabilities Education Act (IDEA) Part C Brochure

### **2.2 Source Information**

- 2.2.1. Connecticut Birth to Three Records Procedure. Effective July 1, 1996. Revised July 1, 2021.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 3 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.0 INSTRUCTIONS

#### 3.1 Confidentiality of Early Intervention Records

3.1.1. **SAFEGUARD** personally identifiable information (PII) and confidentiality of early intervention (EI) records per:

- Individuals With Disabilities Education Act (IDEA), Part C
  - Family Educational Rights and Privacy Act (FERPA)
1. **PROTECT** personally identifiable information regarding children and families receiving services from Birth to Three programs from unauthorized disclosure per FERPA.

3.1.2. **INCLUDE** child's health information in their educational record.

3.1.3. **USE** an electronic record system (ERS) as a child's early intervention record, if desired.

- Original documents electronically stored are NOT required to be kept on file.

#### 3.2 Electronic Communication and Records

3.2.1. **INCLUDE** all communication between team members about a family, or direct communication with families, as part of a child's record, including but not limited to:


- Text messages
- Emails
- Social media sites

3.2.2. May either **PRINT** electronic communication and add to record or identify way to **ARCHIVE** the information and **ENSURE** it is retrievable.

#### 3.3 Electronic Signature and the Child's Birth to Three Record

3.3.1. **PERFORM** the following for electronic signatures:

1. **SIGN** and **DATE**.
2. **IDENTIFY** and **AUTHENTICATE** individual as source of electronic consent (signature).
3. **INDICATE** individual's approval of information contained in electronic consent.
4. **STATE** the individual understands and agrees.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 4 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.4 Electronic Communication Between Parents and Providers

3.4.1. Provider and parents **DISCUSS** and **AGREE** upon preferred methods of communication.

1. **CONSIDER** the potential for families to have financial or equipment constraints and limited to no use of electronic communication.
2. **DOCUMENT** the discussion in child's record.
  - a. **DISCUSS** with families:
    - Use of social network sites.
    - Regulations regarding communicating via social media.
  - b. **DO NOT** communicate with families via personal social media while family and child are enrolled in Birth to Three.
3. **USE** caution for all forms of electronic communication to ensure protection of identify for the following reasons:
  - a. Use of personal email, cell phone numbers, or personal social network sites is accessible by others not directly working with the family.
  - b. Electronic communication records, including personal email accounts, may be requested through the Freedom of Information Act during investigation.
  - c. Use of personal cell phones and emails for electronic communication has the potential to violate professional boundaries.


### 3.5 Exempted from Definition of Records

3.5.1. **CONSIDER** the following exempt from the definition of education records:

1. Records kept in sole possession by author of the records and not accessible or revealed to other individuals or groups, except a temporary substitute author of records.
2. Test protocols with child's name encoded on the test and examiner is only individual able to de-code it.

3.5.2. **WHEN** the recorded contents or information in sole possession of author is disclosed to parties other than temporary substitute,

**THEN UNDERSTAND** records become education records subject to Federal Educational Rights and Privacy Act (FERPA).

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 5 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.6 Name Changes while in Birth to Three


3.6.1. **USE** child's legal name for documentation in a child's record.

1. **IF** a child's name is changed while enrolled in a Birth to Three Program,  
**THEN** Service Coordinators:
  - a. **REQUEST** a copy of a legal document as proof.
  - b. **INCLUDE** in child's record.
2. Service Coordinators **ENSURE** parents alert insurance company or Department of Social Services about the name change for new medical cards to be issued.

### 3.7 Documentation of Requests to Access to Records


3.7.1. **MAINTAIN** documentation of requests and disclosures of Personal Identifiable Information (PII) from Early Intervention (EI) record in child's record.

1. **USE** Form 3-4, Early Intervention Record Access Log.
2. **CONSIDER** the following as exceptions for request and disclosure of logs:
  - Parents
  - Authorized representatives
  - Employees of the participating agency.
  - a. **IF** parents request to see their child's record,  
**THEN INCLUDE** on the log, which may take the form of an email when a child is no longer eligible for services.
  - b. **MAINTAIN** record of requests while child's record is maintained.
    - (1) **ALLOW** parents to inspect it upon request.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 6 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.7.1. (continued)

- c. **IDENTIFY** and **AUTHENTICATE** using reasonable methods, the following identities prior to disclosing or permitting access to PII, including but not limited to:
- Parents
  - Students
  - Officials
  - Others
- (1) **ADHERE** to Family Educational Rights and Privacy Act (FERPA) requirements to ensure educational agencies and institutions protect the privacy of education records.
- d. **USE** appropriate safeguards to protect the integrity of the process when using electronic or digital signatures, per Individuals with Disabilities Education Act (IDEA) Part C.
- e. **CONSIDER** per FERPA, signed and dated written consent may include an electronic record and signature:
- (1) Identifying and authenticating an individual as the source of electronic consent.
  - (2) Indicating individual's approval of the information contained in the electronic consent.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 7 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			


### 3.8 Parental Access to Records

3.8.1. **NOTIFY** parents who will have access to child's record.

1. **INCLUDE** name and professional title.

3.8.2. **ALLOW** parents access to inspect and review early intervention records relating only to their child:

- Without unnecessary delay and within 10 days from request.
1. **DO NOT** include information about children who are not part of the family in an early intervention record.
  2. **ADHERE** to parental rights per FERPA.
    - a. **ADHERE** to court orders or legally binding documents specifically revoking a parent's rights under FERPA. (For example: Divorce, separation, or custody.)
  3. **PROVIDE** copies to parents within the following:
    - Each evaluation
    - Assessment of the child
    - Family assessment
    - Form 3-1, IFSP
  4. **ENSURE** fees charged to parents to obtain copy of their child's early intervention record does not:
    - Prevent parents from exercising their rights.
    - Exceed cost of the copies.
  5. **IDENTIFY** and **AUTHENTICATE** identities of parents requesting information prior to permitting access to records.
    - a. **ENSURE** procedures are in place to authenticate identities regardless of how the data is accessed. (i.e. electronically, mail, fax, telephone, in person).

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 8 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.9 Department of Children and Families Access to Records

3.9.1. **IF** a child is under the guardianship (foster care) of the Department of Children and Families (DCF),

**THEN ALLOW** child's DCF worker access to the child's early intervention record without consent of the child's parent or surrogate parent.

1. **IF** child is **NOT** under DCF guardianship,

**THEN OBTAIN** consent to release information from surrogate parent or parent prior to releasing information from the early intervention record to DCF.

2. **WHEN** necessary **AND** adhering to proper protocols to release information,

**THEN DISCLOSE** information from education records to DCF to effectively implement a child's case plan and ensure the child's education needs are met.

3. **IF** DCF is conducting an active investigation of abuse or neglect **AND** a request is made in writing on DCF letterhead,

**THEN GRANT** DCF access to all information in the early intervention record.

- A consent for subpoena is **NOT** required.

3.9.2. **REFER TO** Attachment 1, Access to Records Without Parental Consent, for list of individuals and groups with access to records without parental consent.


### 3.10 Amendment of Records

3.10.1. **UNDERSTAND** parents maintain the right to request information collected on their child or family they believe inaccurate, misleading or in violation of their child's rights or privacy be amended.

1. **CONSIDER** the request but are not required to make the change.

2. Within thirty days **ADDRESS** requests.



	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 9 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.10.2. **IF** program refuses to amend the information per the request,


**THEN:**

1. **INFORM** parent of the refusal.
2. **ADVISE** parent of their right for a hearing by an independent third party.
3. **NOTIFY** the Birth to Three Family Liaison.
4. **REVISE** document if in agreement with parent's request.
5. **INFORM** parent or eligible student has the right to include a statement in the record stating why they believe the information contained in the education record is:
  - Incorrect
  - Misleading
  - Violates their right of privacy
  - Why they disagree with the hearing decision
  - Or variation of all

3.10.3. **IF** it is determined during the hearing the information is inaccurate, misleading, or otherwise in violation of the privacy or other rights of the infant, toddler or family,

**THEN:**

1. **AMEND** information accordingly.
2. **INFORM** parent in writing.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 10 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.10.4. **IF** it is determined the records do **NOT** need amending resulting from due process,

**THEN INFORM** parents of the following:

1. Parents are allowed to include a statement indicating they disagree with the contested information.
2. Their statement becomes a formal part of the child's record and maintained for the life of the record.
3. Copies of the statement will be released, whenever copies of the contested part of the record are released (always with parental permission).
4. Parents have the right to file a complaint with the U.S. Department of Education concerning alleged failures of compliance with FERPA.
5. No record or part of a record may be altered in any way after anyone requests to inspect, review, or copy a record.

### 3.11 Electronic Record System

3.11.1. **ADHERE** to procedures while using an electronic record system, including parents rights and confidentiality.

1. **REFER TO** Birth to Three website at [www.Birth23.org](http://www.Birth23.org) .

3.11.2. **ENSURE** compliance between provider and electronic record company by using a Business Associate Agreement (BAA) as required for Health Insurance Portability and Accountability Act of 1996 (HIPAA).

3.11.3. **NOTIFY** Connecticut Birth to Three System or Lead Agency if Providers are using an electronic record system via [ctbirth23@ct.gov](mailto:ctbirth23@ct.gov) and **PROVIDE** the following:


- Name of system
- Contact information

### 3.12 Transferring Records Between Programs

3.12.1. **WHEN** a child transfers to **OR** receives a service from another program,

**THEN:**

1. **KEEP** original record.
2. **SEND** copy of file to receiving program.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 11 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			


### 3.13 Retention and Destruction of Records

3.13.1. **MAINTAIN** child's record for six years in either:


- Its original form.
  - A secured electronic format.
1. **MAINTAIN** English copies of translated documents in the record, as necessary.

3.13.2. **PROTECT** the confidentiality of personally identifiable information (PII) at the following stages:

- Collection
  - Storage
  - Disclosure
  - Destruction
1. **ASSIGN** one official for the following responsibilities:
- a. **SAFEGUARD** and **PRESERVE** confidentiality of the records.
  - b. **DENY** or **GRANT** access to records.
  - c. **REVIEW** all records and **DELETE** information that is:
    - (1) Not accurate,
    - (2) No longer valid or pertinent, or
    - (3) May be an infringement of the rights of the child or family.
  - d. **MAINTAIN** records of persons requesting access to records.
  - e. Annually **NOTIFY** parents of their rights regarding their child's record.
    - (1) **USE** the Parents Rights Under the Individuals with Disabilities Education Act (IDEA) Part C booklet.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 12 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

- 3.13.3. **INFORM** parents when personally identifiable information collected, maintained, or used under this part per IDEA, is no longer needed to provide services to the child under:
- Part C of IDEA
  - General Education Provisions Act (GEPA) provisions in 20 U.S.C. 1232f.
  - Education Department General Administrative Regulations (EDGAR), 34 CFR Parts 76 and 80
1. **PROVIDE** parent notice when a family exits from IDEA, Part C.
- a. **USE** Form 5-1, Notification of Retention and Destruction of Records.
  - b. **REFER TO:**
    - Exiting and Transitioning Procedure
    - Parents Rights Under the Individuals with Disabilities Education Act (IDEA) Part C booklet
  - c. **MAIL** Form 5-1, Notification of Retention and Destruction of Records, to parents who were not provided form upon exit from IDEA Part C.
- 3.13.4. **REMIND** parents the records may be needed by the child or parent for:
- School
  - Medical records
  - Social security benefits
  - Other reasons
1. **NOTE** the following:
- A permanent record of certain information or PII about the student (or child) can be maintained under IDEA without limitation.
  - The information in the Birth to Three data system is maintained indefinitely.
- 3.13.5. **DO NOT** destroy records when there are outstanding requests to inspect or review education records.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 13 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.14 Data Destruction Guidance Best Practices

3.14.1. **WHEN** drafting written agreements with third parties,

**THEN INCLUDE** in third party agreements provisions specifying Personally Identifiable Information (PII) provided to the third party is destroyed when no longer needed for the specific purpose it was provided.

1. **INCLUDE** copies of the PII residing in:

- System backups
- Temporary files
- Other storage media

3.14.2. **USE** certification forms to ensure accountability for destruction of PII.

1. Responsible individual **SIGN** form and **INCLUDE** detailed information about the destruction.

3.14.3. **MANAGE** non-electronic media containing PII in similar fashion to electronic data.


1. **DESTROY** non-electronic media data no longer required.
2. **USE** secure means and **RENDER** it safe for disposal or recycling.
  - Commonly used methods include cross-cut shredders, pulverizes, and incinerators.

3.14.4. **CONSIDER** sensitivity of data when choosing method of destruction.

1. **SPECIFY** in written agreement the type of destruction to be carried out.

3.14.5. **USE** appropriate data deletion for destroying electronic data and **ENSURE** data is unable to be recovered.

1. **NOTE** that simple deletion of data is not effective.
2. **DISCUSS** with Birth to Three Information Technology professional to ensure proper deletion of records consistent with technology best practice standards.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 14 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.14.6. **AVOID** the following methods to dispose of sensitive data as these methods are not effective and leave majority of data intact and vulnerable to being retrieved:

- File deletion
- Disk formatting
- One way encryption

3.14.7. **DESTROY** CDs, DVDs, and any magneto-optical disks by:

- Pulverizing,
- Cross-cut shredding, or
- Burning.

3.14.8. **ADDRESS** in a timely manner sanitization of storage media which might have failed and need to be replaced under warranty or service contract.

1. **NOTE** that many data breaches result from storage media containing sensitive information being returned to the manufacturer for service or replacement.


3.14.9. **CREATE** and **DOCUMENT** formal data destruction processes.

1. **ADHERE** to the formal data destruction processes.
2. **REQUIRE** partner organizations to adhere to data destruction processes.

### **3.15 Data Breach**

3.15.1. **ADHERE** to required steps of data breach of physical or electronic records as outlined in the program's current Birth to Three purchase of services contract.

3.15.2. **REFER TO** the Privacy Technical Assistance Center's Data Security Checklist for assistance in developing and maintaining a successful data security program at: [www.studentprivacy.ed.gov](http://www.studentprivacy.ed.gov), Data Security Checklist.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 15 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.16 Highly Confidential Records

3.16.1. **PERFORM** the following to obtain highly confidential information:


1. **OBTAIN** required written consent by the parent or guardian specific to the information.
2. **USE** Form 3-15, Authorization for Programs to Obtain Confidential Information.
3. **DO NOT** use Form 3-15, Authorization for Programs to Obtain Confidential Information for general release of information for individual records. It is **NOT** sufficient.

3.16.2. **MAINTAIN** authorized records containing highly confidential information separately from early intervention records.

1. **IF** the parent specifies individuals with access to early intervention record also has access to highly confidential information,  
  
**THEN STORE** early intervention record and confidential information together, if necessary.

3.16.3. **PERFORM** the following to release highly confidential information:

1. **OBTAIN** required written consent by the parent or guardian specific to the information.
2. **INDICATE** in consent that:
  - Highly confidential information will be shared.
  - Name of individual the information will be shared.
3. Only **RELEASE** highly confidential information to providers with required need to know.
  - a. **IF** a child with a condition is to participate in a community group setting,  
  
**THEN ADVISE** the family to consult with the child's physician aware of child's status to determine the child's risk.
  - b. **OBTAIN** written permission by the parent or guardian prior to sharing the highly confidential information with the director of a community agency.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 16 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.16.4. **PREVENT** the release of unauthorized information as follows:


1. **IF** verbal **OR** written information regarding highly confidential information is received by any provider without the proper releases on file,  
  
**THEN ENSURE** information remains confidential.
2. Providers **DO NOT** disclose or feel compelled to disclose highly confidential information regardless of its source.
3. **RETURN** unauthorized written information to the source.
4. **IF** a party, other than parent or legal guardian, discloses highly confidential information without written permission,  
  
**THEN** Provider **INTERRUPT** the disclosure.
5. **REMIND** the party of the following:
  - Related Statutes
  - Willful violation of the statute protecting highly confidential information subjects a person to damages to compensate the injured party.

3.16.5. **WHEN** a child exits the Connecticut Birth to Three System,

**THEN PERFORM** the following with the confidential records kept separate from the child's early intervention record:

1. **NOTIFY** the parent about destroying the confidential records  
  
**AND**
2. **DESTROY** confidential records **OR RETURN** confidential records to parents.



	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 17 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.17 Sharing Information from a Record

3.17.1. **INCLUDE** information received by a provider using Form 3-3, Authorization to Release Information, in child's early intervention record.

1. **MAINTAIN** information confidentiality per Individuals with Disabilities Education Act (IDEA) and Family Education Rights and Privacy Act (FERPA).
2. **OBTAIN** signature of parent on Form 3-3, Authorization to Release Information Form, prior to releasing information contained in the early intervention record.
  - a. Form 3-3, Authorization to Release Information, provides a one-time release of information listed.
  - b. The date listed on Form 3-3, Authorization to Release Information:
    - Covers the duration of time between when the form is signed and expected date for release of information.
    - Provides a timeline for the parent to reconsider the release of the information.
3. **ENSURE** parents are aware of their right to revoke their consent by filling out the bottom of Form 3-3, Authorization to Release Information.


3.17.2. **WHEN** a child exits the Birth to Three System to attend a program under the jurisdiction of their Local Education Authority (LEA),

**THEN ENSURE** the appropriate amount of information permitted to be shared with parental permission is provided, it may include:

- Current Form 3-1, Individualized Family Service Plan (IFSP).
- Most recent evaluation.

3.17.3. **SHARE** specified information with other community agencies or service providers at the request of the parent.

1. **OBTAIN** a signed, Form 3-3, Authorization to Release Information Form prior to release of information.
2. **ENSURE** parents have opportunity to review the document(s) being released prior to signing.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 18 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### 3.18 Email and Text Message Guidance

3.18.1. **USE** professional email addresses during correspondence with families, Birth to Three programs, providers, and contractors.

1. **DO NOT** use personal email addresses.

3.18.2. **VERIFY** correct recipient email address is used.

3.18.3. **REVIEW** the message prior to sending and **ENSURE** both:

1. Personal information about the family is de-identified.
2. Intent of the message is clear.

3.18.4. **COMMUNICATE** with short, concise email messages.

1. **ENCOURAGE** families to communicate with short, concise email messages.


3.18.5. **INCLUDE** in the signature at the end of email:

- Your full name
- Email address
- Work address
- Work phone number
- Job title

3.18.6. **INCLUDE** a confidentiality disclaimer at the bottom of emails sent to or about families.


- Example: Confidentiality Warning: This e-mail contains information intended only for the use of the individual or entity named above. If the reader of this e-mail is not the intended recipient or the employee or agent responsible for delivering it to the intended recipient, any dissemination, publication or copying of this e-mail is strictly prohibited. The sender does not accept any responsibility for any loss, disruption or damage to your data or computer system that may occur while using data contained in, or transmitted with, this e-mail. If you have received this e-mail in error, please immediately notify us by return e-mail. Thank you.

3.18.7. **INCLUDE** email correspondence in the child's early intervention file.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 19 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.18.8. **ADHERE** to Text Message Guidance processes as follows:

1. **ASK** and **OBTAIN** permission from family prior to using text messages as a communication tool.
2. **USE** text messages sparingly.
3. **INCLUDE** your first and last name at end of text message.
4. **REVIEW** the text message prior to sending and **ENSURE** both:
  - a. Personal information about the family is de-identified.
  - b. Intent of the message is clear.
5. **COMMUNICATE** in professional manner.
  - a. **DO NOT** use texting:
    - Shorthand
    - Slang
    - Acronyms
    - All capital letters
6. **AVOID** the following when communicating with families via text:
  - a. Responding to a telephone call with a text message.
  - b. Sending text messages late in the evening or early in the morning.
  - c. Checking your text messages or answering text messages while with a family.
  - d. Relying on text messaging as your sole form of communication with families.
7. **VERIFY** recipients telephone number prior to sending.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 20 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

3.17.3. (continued)


8. **PRINT** and **INCLUDE** text messages in child's early intervention record.
  - a. **IF** phone does **NOT** support emailing a text message where it is either:
    - Printed
    - Archived and retrievable

**THEN DO NOT** communicate with families via text.

**END of Instructions**

#### 4.0 REVISION HISTORY


Location	Description of Change
All	New Human Factored Procedure in New Template.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 21 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b>			

### Attachment 1, Access to Records Without Parental Consent

**A.** Programs **RELEASE** personally identifiable information (PII) **WITHOUT** parental consent to the following individuals or groups for the following reasons:

1. Birth to Three Program's employees or contractors with legitimate interests. (i.e. teachers, therapists, supervisors, administrators, secretaries, or paraprofessionals.)
2. Local education authorities (LEAs) or school systems where the child resides enabling the lead agency, LEAs, and state education authorities (SEAs) to identify children potentially eligible for services under Individuals with Disabilities Education Act (IDEA).
3. Participating agencies per IDEA, including lead agency, Early Intervention Services (EIS) providers, individuals or entities providing IDEA Part C services.
4. Authorized representatives of: United States Department of Education, Connecticut Office of Early Childhood and Department of Social Services, or Health Care Financing Administration (HCFA) in connection with audits, evaluations, or enforcement of state and federally supported programs.
5. Accrediting organizations.
6. Appropriate individuals necessary to protect the health or safety of a child in case of neglect or abuse.
  - a. **CONSIDER** the following factors when determining whether personally identifiable information from the early intervention record of a child may be disclosed:
    - Seriousness of threat to the health or safety of the child or other individuals.
    - Need for the information to meet the emergency.
    - Whether the parties to whom the information is disclosed are in a position to deal with the emergency.
    - Extent to which time is essential in dealing with the emergency.

	EFFECTIVE DATE <b>7/1/2024</b>	DOCUMENT NUMBER <b>[Document Number]</b>	
	LEVEL OF USE DESIGNATION <b>Information Use</b>	REVISION <b>[Rev. #]</b>	<b>Page 22 of 22</b>
DOCUMENT TITLE <b>Document Control and Records Procedure</b> <b>Attachment 1, Access to Records Without Parental Consent (continued)</b>			

A.(continued)

7. **WHEN** a program makes a disclosure under the health or safety exception,  
**THEN INCLUDE** in child's education record:
  - Specific details of threat forming the basis for the disclosure.
  - Parties to whom the information was disclosed.
8. **COMPLY** with a judicial order or lawfully issued subpoena.
9. **IF** an educational agency or institution initiates legal action against a parent or student,  
**THEN** the educational agency or institution **DISCLOSE** to the court, without a court order or subpoena, the education records of the student relevant for the educational agency or institution to proceed with the legal action as plaintiff, as necessary.
  - a. A program may disclose to the court the education records of the student that are relevant for the educational agency or institution to proceed with or defend against the legal action.
10. **IF** a parent or eligible student initiates legal action against an educational agency or institution,  
**THEN** Educational agency or institution **DISCLOSE** to the court, without a court order or subpoena, the student's education records relevant for the educational agency or institution to defend itself.
11. **IF** knowledge of the information is necessary to protect the health or safety of the student or other individuals,  
**THEN** Educational agency or institution **DISCLOSE** personally identifiable information from an education record to appropriate parties, including parents of an eligible student, in connection with an emergency.

**B. DO NOT** release PII without consent to: Primary referral sources, public agencies (State Medicaid, Children Health Insurance Program (CHIP), or Bureau of Education Services for the Blind (BESB) or private entities (private insurance companies) acting solely as funding sources for part C services.

**C. ENSURE** representatives from the United States Department of Education, Connecticut Office of Early Childhood and Department of Social Services, or Health Care Financing Administration (HCFA) collecting PII have specific authorization by state or federal law.