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Review Responsibility: Director of Information Technology, Director of PID, and Director of Data Management

FCCS PROCEDURE

NO.: 12E.03

**SUBJECT: Procedures and Guidelines for
Restricting Intakes/Cases in SACWIS**

Approved by: Executive Council

Effective Date: 09/19/08

Date(s) of Revision: Jul 12, 2010; Apr 1, 2013; May 24, 2016

Responsible for Implementation: All Staff

For the purpose of this policy, a 'worker' is defined as an employee, temporary worker, contract worker, UPP student, or any other person doing work on behalf of the agency.

Professionalism in SACWIS

The agency expects that dealings between workers, management and clients will be characterized by mutual respect for personal dignity, honesty and integrity. In an effort to promote and contribute to the effective conduct of public business and effective social service delivery, and to promote cooperation and harmony in worker relations, workers are expected to conduct themselves with professionalism commensurate with a public agency. Therefore, workers shall refrain from researching information in the SACWIS system for personal knowledge or to research case information if they are not currently, directly involved in providing services on those intakes/cases.

1) Guidelines: When to Restrict Intakes/Cases in SACWIS

- a) Intakes or cases should be assessed for possible restriction under several different circumstances. The decision making criteria and procedures are covered in section 2) below. Intakes/Cases that meet one of the following criteria are candidates for restriction:

- i) A workers or their family member is/was involved in an intake/ case in SACWIS.
 - ii) NOTE: Per current agency policy, Maltreatment of Children by Staff (Employee Handbook Section 3H), a worker must notify their supervisor of a pending investigation against them for allegations of abuse and/or neglect within 24 hours of becoming aware of the situation.
- b) A worker has any other conflicts of interest, such as when:
 - i) The case involves a relative including spouse, child, legal parent or other person who stands in place of the parent, sibling, all individuals related by marriage (ex. mother-in-law, brother-in-law), grandparent, grandchild, cousin, uncle, aunt, niece or nephew.
 - ii) The case member is currently or previously involved with the worker in a personal relationship that would cause a potential conflict with the worker's job duties.
 - iii) A worker provides placement for an agency client (ex. foster parent, adoptive parent, kinship provider).
 - iv) A worker holds legal custody of an agency client.
 - v) NOTE: A worker must notify their supervisor whenever there is a potential conflict of interest like those listed above.
- c) High Profile/Media Intake Cases
 - i) Agency administration may determine that some intakes/cases should be restricted in SACWIS when highly sensitive situations and/or media coverage situations are identified.

2) Procedures for Restricting an Intake/Case in SACWIS

- a) When an intake/case meets the criteria of Section 1) above, the following rules and procedure should be followed to put it into a restricted status. Once restricted, only workers assigned to the case or those with special SACWIS defined security privileges will be able to view/edit it in SACWIS.
 - i) Rules

- For intakes/cases managed by FCCS or one of its managed care partners, only an FCCS Associate Director (AD) or Director can authorize restricting the intake/case in SACWIS, although if they are the one with the potential conflict of interest they should defer the decision to another Director.
- For intakes/cases managed by another PCSA or IV-E court, only their staff may restrict the intake/case in SACWIS.

ii) **Procedure**

- When a worker discovers that an intake/case satisfies the criteria described in Section 1) above:
 1. They shall notify their supervisor that the intake/case may need to be restricted and explain why.
 2. All intake investigations or open cases directly identifying a worker as a parent, primary caregiver, grandparent or perpetrators shall be restricted immediately as a precaution.
 3. However, the agency shall not automatically restrict closed cases in SACWIS that involve agency workers, nor shall it automatically restrict screened-out intakes that are linked to closed, restricted cases. Both of these situations shall be subject to the other guidelines within this policy.
 4. The supervisor and/or the worker who made the discovery shall notify the person specified below about the possible need to restrict an intake/case. The notification procedure varies as follows:
 - a. If the issue pertains to a new referral, the Screening Decision Maker shall inform their AD or Director and shall

document this consultation in the screening decision comments section in SACWIS.

- b. Otherwise, the worker/supervisor shall notify the supervisor managing the case immediately in order to explain the potential conflict of interest, and that supervisor shall notify their AD or Director within 24 hours. If the case is closed, they should notify the service team most recently responsible for managing the case.**
- 5. The AD or Director may restrict the case themselves, or they may authorize the Screening Decision Maker, the case supervisor, or the SACWIS Administration team to do so.**
- 6. NOTE: A restricted intake will restrict the case to which it is linked.**
- 7. The person who restricts the case shall document their work by creating an activity log (AL) on the case explaining who authorized the restriction and the reason for restricting it, including the person for whom it was restricted. The AL should be coded as follows: Contact Type = Other, Category = General, Sub-category = Other, and Other Sub-category = Restrict.**
- 8. Alternatively, an agency worker may contact a representative in Human Resources (HR) to request that a case where they were a member be restricted in SACWIS.**
- 9. If HR authorizes restriction, they shall direct the SACWIS Administration team to complete the restriction in SACWIS.**

10. The SACWIS Administration team shall document their work by creating and AL on the case as described in section 7) directly above.