

YOUTH SERVICES POLICY

Title: Community Based Services Youth Records: Composition and Maintenance Next Annual Review Date: 09/07/2018	Type: D. Community Based Services Sub Type: 5. Youth Records Number: D.5.1
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References: La. Revised Statute 15:574.12, La. Children's Code Articles 411 - 417; ACA Standards 2-7070, 2-7071, 2-7072 (Juvenile Probation and Aftercare Services), 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03, 2-CO-1E-06, 2-CO-1E-08, 2-CO-1F-06 (Administration of Correctional Agencies); YS Policy No. A.1.9 "Records Management and Retention"	
STATUS: Approved	
Approved By: <i>James Bueche, Ph.D., Deputy Secretary</i>	Date of Approval: 09/07/2017

I. AUTHORITY:

Deputy Secretary of Youth Services (YS) as contained in La. R.S. 36:405. Deviation from this policy must be approved by the Deputy Secretary.

II. PURPOSE:

To establish uniform policy regarding the contents and maintenance of case records and the Juvenile Electronic Tracking System (JETS) records of youth served by YS/OJJ.

III. APPLICABILITY:

Deputy Secretary, Assistant Secretary, Chief of Operations, Deputy Assistant Secretary General Counsel, Regional Directors, Regional Managers, and all Community Based Services (CBS) employees.

Regional Managers are responsible for establishing procedures to ensure case records are returned and secured at the end of each day.

IV. DEFINITIONS:

Case Record – A four-part letter size folder containing hard copies of legal documents, required signature pages, and other case record materials outlined throughout this policy.

Community Based Services (CBS) - Formerly known as the Division of Youth Services, including the regional probation and parole field offices located throughout the state.

Court Documents - All official documents from the court including petitions, court minutes, judgments, commitment orders and any other documents authorizing YS to accept custody, to allow reassignment, release or discharge of youth.

Juvenile Electronic Tracking System (JETS) - The centralized database utilized to track all youth in OJJ custody or under OJJ supervision.

PPO/J -Includes CBS probation officers (Probation and Parole Officer 1, 2 and 3/Juvenile).

Public Records Custodian – The staff member designated by a Unit Head to serve as Public Records Custodian to perform the duties of records management as required by law. (Refer to YS Policy No. A.1.9)

Regional Managers - Managers of the CBS offices located throughout the state.

Unit Head – Deputy Secretary, Facility Directors and Regional Managers.

V. POLICY:

In order to provide effective and efficient delivery of services to youth under the supervision or in custody of YS, a single case record shall be established for each youth. The record shall contain certified copies of all legal documents concerning the youth, required signature forms, correspondence, and other forms as deemed appropriate. All other required information shall be created and entered in JETS.

Youth case records are confidential. Release of information shall only be made in accordance with provisions of the La. Children's Code, Articles 411 through 417 or La. Revised Statute 15:574.12.

VI. PROCEDURES:

- A. Unless otherwise noted, documents shall be filed in chronological order.
- B. All entries in both the case record and the JETS record shall be dated and signed at the time of entry.
- C. Case Records and JETS records shall be initiated by the assigned PPO/J or designated CBS personnel within the regional office.
- D. Unsigned and uncertified copies of documents shall be removed from the case record once signed/filed copies are received.
- E. Records shall not contain multiple copies of the same document.
- F. The youth's assigned PPO/J shall be responsible for the accuracy of information contained therein, as well as the information entered into JETS.

Any previously archived case record shall be merged into the youth's new case record.

- G. Upon a youth's transfer from one regional office to another regional office, the case record shall be copied and mailed to the receiving regional office.

The JETS record shall be updated by the PPO/J with all relevant information prior to a youth's transfer to another region.

- H. Case Narrative entries shall detail all contacts with the youth and family, as well as contacts with the courts, schools, community programs, service agencies, and others involved with the youth. Headings provided in the body of the case narratives shall be utilized. The following shall also be documented for each entry:

1. Date of activity or contact;
2. Who was contacted;
3. Where the contact was made; and
4. Summary of what transpired during the contact/activity.

Case Narrative entries shall be documented in JETS within seven (7) working days of the activity/contact.

- I. Case staffings shall be documented in a Case Narrative, along with any significant events or decisions made in the case. Case Staffing Reports shall be completed in JETS with the names of each participant included in the "Those Present at the Placement Staffing:" section of the form.

- J. When a case is closed, the supervising PPO/J shall create and complete the following forms: Closing Summary Narrative and the Probation/Parole Notification of Discharge (Change of Status) form.

The Closing Summary Narrative should include the following:

1. Briefly describe the youth's behavior while under OJJ supervision or in custody;
2. Any unusual occurrences or significant events;
3. Use of community programs or resources; and
4. If the supervision or residential placement was successful.

The Probation/Parole Notification of Discharge (Change of Status) form should include the following:

1. Documented reason for closure; and
2. Successful or unsuccessful completion of supervision.

- K. The Regional Manager is responsible for ensuring that closed cases are handled in accordance with YS Policy No. A.1.9. The youth's record shall be retained at the regional office for a period of three (3) fiscal years, after the end of the fiscal year of the youth's supervision or custody.

At the expiration of the three-year period, the files shall be sent to the contracted archive facility noted in YS Policy No. A.1.9, where they will be retained for three additional fiscal years [refer to the instructions contained on Attachment A.1.9 (a)]. (Refer to Section VII of this policy)

- L. In the event an Expungement Order is received by the regional office, the order shall be promptly forwarded to Legal Services. The record shall be destroyed at the direction of the agency attorney.
- M. Case records are to be stored in either a locked file cabinet, locked desk or secure file room at the close of business of each day.
- N. When youth, parents, or others who are not authorized to have access to case records are present in the office, they are not to be left unattended in any area where access to a case record(s) is possible.
- O. Case records may be removed from the office for Probation and Parole Officer/Juvenile (PPO/J) or Probation and Parole Supervisor (PPS) court appearances at the discretion of the Regional Manager.
- P. In addition to the procedures contained in this policy, Regional Managers may develop and implement any other procedure for the maintenance and security of the youth case records in accordance with appropriate laws and YS policies.
- Q. The two (2) acceptable methods for destroying youth case records are shredding and incineration.

VII. CASE RECORD FORMAT:

Section 1 – Upper Left: This section contains identifying information and court documents in the following order:

DOCUMENT	HARD COPY in FILE	CREATED/FILED IN JETS
Master Form / Face Sheet	Yes	Yes
Offense Report	Yes	N/A
Intake Screening Report	Yes	Yes
Petitions	Yes	Yes
Probation Order(s)	Yes	Yes
Custody Order, Commitment Order, Motion to Modify, etc.	Certified Copy Yes	Yes

All documents concerning a single petition shall be kept together in the order described above. Detailed Offense Reports may be removed after disposition. Multiple petitions / dispositions shall be filed in chronological order with the most recent order at the bottom.

Section 2 – Lower Left: This section contains the forms used for placement in contract programs and for determining financial eligibility (some examples are):

DOCUMENT	HARD COPY or SIGNATURE PAGE in FILE	CREATED/FILED IN JETS
EP-04 & EP-06 (filed together)	Yes	Yes
156-A	Yes	N/A
FAST I, II & III	Yes	Yes
Medical Records	Yes	N/A
Birth Certificate	Yes	N/A
Social Security Card	Yes	N/A
Consent for Release of Information	Yes	Yes
Staffing Forms	Yes	Yes
AFCARS Juvenile Source Document (always on bottom)	Yes	Yes
Photos of Youth (always on top)	Yes	No

Section 3 – Upper Right: This section contains evaluative information, the Individualized Service Plan (ISP), the Supervision Fee Agreement Form, and the Case Narratives (for example):

DOCUMENT	HARD COPY with SIGNATURE PAGE in FILE	CREATED/FILED IN JETS
Supervision Fee Agreement	Yes	Yes
Administrative / Case Review Report	Signature Page only	Yes
ISP	Signature Page only	Yes
IAA / DDA Agreement Forms	Yes	Yes
SAVRY Initial, Reassessment, Quarterly Review	No	Yes
PDI / Social History / Supplemental Social	Signature Page only	Yes
Psychological / Psychiatric Evaluation	Yes	N/A
Case Narratives	No	Yes

Only current information is kept in this Section. All other information shall be filed in Section 4 of the case record.

Section 4 – Lower Right: This section contains correspondence, progress reports, and miscellaneous information (for example):

DOCUMENT	HARD COPY or SIGNATURE PAGE in FILE	CREATED/FILED IN JETS
Correspondence	Yes	Yes
Progress Reports	Yes	Yes
School Records	Yes	N/A
Unusual Occurrence Reports (UOR)	Yes	Yes
Electronic Monitoring Forms (EMP)	Yes	Yes
ICJ Forms / Reports	Yes	Yes
PREA Confirmation of Receipt	Yes	N/A
Verification of Personal Service	Yes	Yes
Grievance Procedure (always on bottom)	Yes	Yes
Crime Victim Notification Request	Yes	Yes
IV-E Candidacy Pre-screen Form	Yes	No
Supervisory Case Review Form	No	Yes
Drug Screen Result Form	Yes	No
Closing Summary Narrative	Yes	Yes
Notification of Discharge	No	Yes

Any documentation not identified in other Sections shall be filed in Section 4.

VII. STATE ARCHIVES:

Pursuant to YS Policy No. A.1.9, all units within YS are required to comply with the Public Records Management Program as provided by law.

The unit’s Public Records Custodian shall ensure that all the requirements of the program are met.

Previous Regulation/Policy Number: D.5.1

Previous Effective Date: 08/26/2015

Attachments/References: