



**JUSTICE AND PUBLIC
SAFETY CABINET
DEPARTMENT OF
JUVENILE JUSTICE
POLICY AND PROCEDURES**

**AUTHORITY and
REFERENCES:
505 KAR 1:130
KRS 15A.0652
2-JPAS-7070,
7071,7072,7128,
7171**

CHAPTER: Juvenile Services in Community

SUBJECT: Individual Client Record

POLICY NUMBER: DJJ 602

TOTAL PAGES: 6

EFFECTIVE DATE: February 2, 2018

APPROVAL: Carey D. Cockerell

Commissioner

I. POLICY

Community staff shall establish an Individual Client Record (ICR) for all probated, committed, or sentenced youth. Individual client records shall maintain factual and accurate documentation regarding all aspects of each youth's treatment.

II. APPLICABILITY

This policy and procedure shall apply to all community service staff.

III. DEFINITIONS

Refer to Chapter 600.

IV. PROCEDURES

- A. All hard case files of the ICR shall be clearly marked "Confidential", and secured in a locked area at the work site to ensure confidentiality is maintained. File cabinets containing youth records shall be marked "Confidential."
- B. Hard case files in staff offices shall be under the direct control of the assigned staff and placed out of sight of the youth and the public who may be in the office.
- C. Staff shall not take the hard case files off the premises except for the transfer of case management responsibility to another location, audits, subpoenas by the court, or Parole Board hearings.
- D. All requests from persons outside the Department of Juvenile Justice (DJJ) for copies or reviewing of ICRs shall be forwarded to the Office of Ombudsman for review and consultation before any action is taken. Reference DJJPP Chapter 1(Records Requests).
- E. Department staff shall maintain appropriate, accurate documentation regarding all aspects of each youth's case. If another youth must be identified in a youth's ICR for any reason, that youth's initials shall be used.

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F. The ICR shall be maintained in the electronic case file or in the hard case file as required. Each youth's hard case file shall be maintained according to the following outline:

1. Section One (1)
 - a. Photo of youth and completed identification information
 - b. Case Plan and signature pages for the case plan and reviews
 - c. Case Management Documentation – Graduated Responses
 - i. Drug Screening Results
 - ii. Curfew Logs
 - iii. Electronic Monitoring Reports
 - iv. The Electronic Monitoring Agreement
 - v. House restriction documentation
 - vi. Graduated Response Plan, including utilized sanctions and incentives,
 - vii. Incident Reports
 - d. DPP -1294 Rehabilitative Services Monthly Progress Report
 - e. Individual Treatment Plan created by private service provider or treatment program.
 - f. Copies of private service provider treatment plans and reviews.
2. Section Two (2)
 - a. Conditions of Supervised Placement, Probation, or Conditions Awaiting Placement
 - b. Information Letter Related to Placement in Therapeutic Foster Care (FTC), Private Child Care, or Hospital by Classification.
 - c. Predisposition Investigation Report (PDI)
 - d. Presentence Investigation Report
 - e. Criminogenic Needs Questionnaire (Needs-Q), Human Trafficking Screener, and Risk and Criminogenic Needs Assessment interview
 - f. Pre Parole Evaluation Report
 - g. Parole Board Information
 - h. Furlough agreement
3. Section Three (3)
 - a. Referrals to DJJ mental health and external providers
 - b. Relative home, or supervised placement evaluations
 - c. Educational information – grades, discipline or progress reports, attendance records
 - d. Records of the youth from other programs or other service providers
 - e. Interstate forms

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- f. Request for Out of State or Out of Country Travel
- g. Juvenile Intensive Supervision Team (JIST) forms and reports
- 4. Section Four (4)
 - a. Psychological, psychiatric, sexual offender assessment
 - b. Medical information and history, including immunization record
 - c. Medical Assistance Card or Insurance Card
 - d. Children's Benefits Information
 - e. Permanency plan
 - f. Visitation schedule
 - e. Copy of Social Security card
 - f. Birth Verification
 - g. Release of Information forms
 - h. DJJ 1A – Consent for Services
 - i. Youth and parent rights and responsibilities
 - j. HIPAA Notification
 - k. Community phase handbook signature sheet
 - l. PREA acknowledgement
- 5. Section Five (5)
 - a. Classification documentation including ATR notice, ATR request, Classification placement Justification
 - b. Juvenile Sexual Offender Tracking Part I and Part II
 - c. DNA Collection Form and supporting correspondence
 - d. AOC 499.1(Order for Human Immunodeficiency Virus (HIV Testing) and supporting correspondence
 - e. Special Expense Request
 - f. Transportation Form
 - g. Notification of placement change
 - h. Correspondence to or from parent or caregiver
 - i. Correspondence with the court or judge
 - j. Miscellaneous or Professional Correspondence
- 6. Section Six (6)
 - a. Termination of commitment form, if applicable
 - b. Discharge Report
 - c. Sex Offender sixty (60) day reviews
 - d. Probation, Commitment, or Judge's Orders
 - e. Petitions and Court Calendars (chronological order)
 - f. Commissioner's Warrants
 - g. National Crime Information Center (NCIC) information

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- h. Revocation and probation violation reports with supporting documentation
 - i. Administrative Office of the Courts or Court Designated Worker Information or forms
 - j. Other legal documents
- G. Each subsection listed in 602 IV. F. 1-6 shall be maintained in chronological order.
- H. Contact Documentation:
 - 1. All contacts made by staff with, or on behalf of, a youth for the provision or attempted provision of services shall be documented in the electronic running record.
 - 2. The format and content of the running records section of the electronic case file shall be directed by the Division Director of Community and Mental Health Services.
 - 3. The printing or release of the running records shall be consistent with DJJPP Chapter 1 (Records Requests).
 - 4. All entries into the running record shall be completed within ten (10) business days of the contact, excluding holidays and weekends, and shall reflect progress towards progression in treatment, and compliance with expectations or conditions of supervision, if applicable.
 - 5. Entries shall be in chronological order by date of service. Delayed entries shall be clearly marked.
 - 6. Entries shall include:
 - a. The name of the recorder, title, and district; and
 - b. Factual information. The personal opinion of the Juvenile Service Worker (JSW) or others involved in the treatment or supervision of the youth shall not be documented in the running records.
- I. Case Transfers
 - 1. Transfers of case responsibility within the region shall be audited by the sending Juvenile Services District Supervisor (JSDS) and routed to the receiving JSDS to include the transfer summary, hard case file, and completed audit. Cases shall be transferred within two (2) business days of the JSW being notified of the needed transfer.
 - 2. Transfers of case responsibility outside the region shall be audited by the sending JSDS and the Juvenile Services Regional Manager (JSRM) and routed to the receiving JSRM. A transfer summary shall be entered into running records as a narrative that summarizes the case management services to date. The transfer shall include the transfer summary, hard case file, and completed audit. Cases shall be transferred within two (2) business days of the JSW being notified of the needed transfer.

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3. The written notification of the transfer and case file shall be sent to the receiving Juvenile Services Regional Manager by the sending Juvenile Services Regional Manager.
- J. Case File Archives: All ICRs shall be archived in accordance with the approved retention policy.
- K. Case file archiving shall be completed by the JSDS and Administrative Specialist. Hard case files may be sent to the Division of Placement Services as often as needed, but at least once per year. The following process shall be followed:
1. Place the folders alphabetically in the archive box(es).
 2. Develop an alphabetical list of contents for each box.
 3. Complete box labels describing the content of each box and place the label on the outside of each respective box.
 4. Complete the transmittal form.
 5. Send a copy of the box list with the original transmittal form to the Division of Placement Services for approval.
 6. Once approved, the notice of transfer for the archived material will be sent from the Division of Placement Services.
- L. Juvenile Services District Supervisors shall conduct case audits as follows:
1. The JSDS shall randomly audit one (1) case from each worker's caseload each month. After reviewing the case, the Supervisor will conference with the JSW regarding each case and make any recommendations or follow-up in writing. A notation shall be made in the individual case file documenting only the date of the audit and the name of the staff person conducting the audit.
 2. In reviewing the case files, the Supervisor shall review the information entered into the ICR, to include both the electronic and hard copy records, for all reporting requirements, as established in Departmental policy.
 3. Results of the audit or any actions taken regarding the individual staff shall not be recorded or documented in the youth's individual file.
 4. The JSW shall correct any non-compliant standards noted as a result of the case audit within ten (10) business days.
 5. The JSDS shall electronically deposit the completed audits for each month and provide a report to the Juvenile Services Regional Manager each month summarizing the conferences regarding any written follow-up plans for each worker.

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V. STAFF TRAINING

- A. The Juvenile Services District Supervisor, in conjunction with the Division of Program Services, shall ensure that all community staff are trained annually on the standards of case documentation for both electronic and hard copy files and maintenance of Individual Client Records.
- B. The Division of Placement Services shall provide training, as needed, with the Juvenile Services District Supervisor and the Administrative Specialist on archiving procedures.

VI. MONITORING MECHANISM

- A. The Division Director of Community and Mental Health Services or designee and the Quality Assurance Branch shall develop monitoring protocols to be used by the Juvenile Services District Supervisor in the review of Individual Client Records.
- B. Each Juvenile Services District Supervisor shall annually review paperwork functions for efficiency.