

Policy 2.40 – Managing Youth Case Files

Summary

- Establishes expectations for the legally mandated youth case files

Background:

The policy was updated as a sunset review to clarify procedures and address organization and technical edits.

Policy Summary

The policy addresses the organizational requirements for the case file, including updates, standard organization, difference between youth committed as a YOP and as a JR commitment, location of the case file, security and maintenance of the case file and medical file, requirements for transferring case files to community facilities, timelines for transferring cases, reference to Policy 1.40 for public disclosure requests, and requirements for archiving the case file, including sealing the record, retention of the record, and requirement that each appointing authority designate a Records Coordinator to manage the work.

Changes from Current Practice

- There are no changes to current practice.

Training Required: No

Policy Effective Date: July 23, 2018

POLICY 2.40 MANAGING YOUTH CASE FILES

Policy Committee Chair

Lori Kesl
Regional Administrator, Regions 1 & 2
Juvenile Rehabilitation

Approved



Marybeth Queral, Assistant Secretary
Juvenile Rehabilitation
12/14/2018

Authorizing Sources

RCW 13.40.010
RCW 13.40.460
RCW 13.50

Information Contact

Andrea Ruiz
Policy, Planning & Lean Administrator
Juvenile Rehabilitation

Effective Date (*Technical Edit 12/12/19*)¹
12/31/2018

Sunset Review Date
12/31/2022

I. PURPOSE AND SCOPE

This policy directs the establishment of a Juvenile Rehabilitation (JR) Case File for youth committed to JR by the Washington State juvenile court system, through a Tribal agreement, or under supervision through the Interstate Compact on Juveniles. The policy also identifies a system of case file standardization and accountability. Files for youth receiving JR services through other agreements will be established and maintained as required by those agreements.

All staff, contractors, volunteers, and interns working in or for Juvenile Rehabilitation (JR) are responsible for reviewing and complying with JR policies.

II. POLICY

1. JR will establish a standardized Case File for each committed youth at the time of a youth's original commitment upon admission to the receiving JR facility.

1.1. Case files will be updated if there are subsequent commitments.

1.2. The Case File will be standardized.

1.2.1. Material will be organized and maintained in clearly delineated sections and filed in reverse chronological order.

1.2.2. If necessary, additional volumes may be created in the same format. An additional volume will be clearly labeled to indicate it is part of a Case File containing multiple volumes.

¹ 12/12/19 Technical Edit: Updated DSHS references and forms to DCYF.

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1.3. JR Case Files on youth who are committed to the Department of Corrections (DOC) Youthful Offender Program (YOP) must not have their prior JR Case File combined with their new JR Case File which includes information on their YOP commitment.

1.3.1. DOC must make a formal request for information to the JR Records Administrator in order to access information in the prior JR Case File.

2. The Case File will be located at the JR facility or region with current jurisdiction over the youth.

2.1. Institutions and community facilities will have the Case File for youth in residence at the facility.

2.2. Regional offices will have the Case File for youth:

2.2.1. In residence at a contracted facility

2.2.2. On temporary assignment from the facility

2.2.3. On parole supervision

2.2.4. On temporary assignment during parole

2.2.5. Receiving Interstate Compact parole supervision per Policy 6.60,

Accessing Interstate Compact Services

2.2.6. Directly discharged from a county facility

3. The Case File will be secured and properly maintained.

3.1. Case Files will be located in a secure area and with access limited to authorized persons with a need or right to know.

3.2. The Medical File section of the Case File will accompany the Case File when a youth is transferred to another residential facility, released to parole, or discharged from commitment.

3.2.1. Confidential identity and medical information must be handled in accordance with HIPAA and PHI regulations, including, but not limited to, gender identity, sexual orientation and preferred pronouns.

3.3. When a youth is transferred to a Community Facility the CF Administrator will:

3.3.1. Access ACT for necessary medical information;

3.3.2. Review the Medical File at the time of transfer;

3.3.3. If clarification of medical information is needed the CF administrator will call the sending facility medical personnel for information;

3.3.4. For exceptional or special needs cases, efforts will be made by the sending facility's medical personnel to provide additional information by way of phone call or email;

3.3.5. All medical records of the youth produced while at the CF will be made part of the youth's Case File in standardized medical file format.

Policy 2.40, Managing Youth Case Files 12/31/2018**4. Public disclosure or other release of information from a youth's Case File will comply with confidentiality requirements in Policy 1.40, *Managing JR Juvenile and Operations Records*.****5. Case Files will be transferred in a timely manner.**

5.1. The sending facility or regional office will ensure the Case File is updated and complete prior to transfer.

5.2. Case Files will be transferred no later

than 5.2.1. The date of a youth's move to a facility;

5.2.2. Three working days following release to parole, discharge from a residential facility, or approval of parole supervision transfer.

5.3. If a Case File or Medical File is not available due to exceptional circumstances when a youth is recommitted or transferred, it will be retrieved and forwarded within 7 days. Current commitment and transfer information will be provided at the time of transfer and merged in the Case File upon receipt.

5.4. Case Files may be transported in a secure manner by the JR Transportation Unit (per Policy 5.40, *Transporting JR Youth*), certified mail, state consolidated mail services, or hand-carried by designated staff. A Case File Transfer form (DCYF Form 01-098) will accompany the file.

5.5. Completed Case File Transfer forms are to be maintained at the sending and receiving facility or office in a separate file for tracking purposes. The original should be maintained in the tracking file at the receiving site.

6. Case Files will be transferred to the Washington State Records Center when a youth is discharged and retrieved if the youth is recommitted.

6.1. Case Files of JR youth will be transferred by the region of assignment to the Washington State Records Center in archive boxes within six months using the Secretary of State's form "Archives Records Transmittal and Box Content List."

6.2. A copy of the Case File will be sent to the Tribal Court of commitment for youth committed to JR through a Tribal Court.

6.3. Records Coordinators or designees will maintain a list of Case Files sent to the Records

Center, which includes the youth's name, date of birth, JR number, barcode, box number, and disposition authority.

6.3.1. Copies of the Records Center lists will be sent to the JR Records Administrator or designee on a quarterly basis.

6.3.2. Records Coordinators or designees will enter barcode and box number information for records sent to the Records Center in the STAT Report in ACT.

6.4. The Records Coordinator or designee of the last region of assignment will ensure the retrieval of the Case File of recommitted youth from the Records Center and forward it directly to the appropriate region or facility.

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7. Case Files will be retained as required by the applicable Records Retention Schedule.

- 7.1. Records Coordinators or designees will monitor their division, facility, or region's compliance with the JR Institution, Regional Office, and Community Facility Records Retention Schedules and direct records destruction accordingly.
- 7.2. Records Administrator will coordinate the review and update of the Record Retention Schedule on an annual basis.

8. Court orders directing a Case File to be sealed or destroyed will be forwarded to the Records Administrator in JR Central Office.

- 8.1. The Records Administrator will establish a system for tracking sealed and destroyed files.

9. Division Directors, Superintendents and Regional Administrators will designate a Records Coordinator and ensure the development of local protocol to implement this policy.

- 9.1. Regional Administrators and Superintendents may authorize local working files for use by the case manager and other appropriate personnel in the office or living unit.
- 9.2. Local case files must be secured and maintained consistent with confidentiality of records requirements and retention schedule requirements.

III. DEFINITIONS

Case File: JR's official client record containing commitment, assessment, healthcare, case management, and treatment records. For purposes of this policy, Automated Client Tracking (ACT) is considered part of JR Case Files. ACT records will remain in electronic form whenever possible.

Medical File: Medical files contain separate youth records containing personal health information including but not limited to, professional health care staff assessments, diagnostic reports, immunization records, medical examinations and diagnoses maintained by the responsible physician and medical staff.

Records Retention Schedule: The document outlining legal and departmental requirements regarding retention and destruction of records. The "Institution, Regional Office, and Community Facility Records Retention Schedule" is the Administration specific retention schedule that is a supplement to the Washington State General Schedules.

Region of Assignment: The region where the youth will reside upon parole or the region of commitment if the youth is paroled to another state or directly discharged from the institution.

Records Administrator: Central Office staff designated to coordinate JR's release, retention, sealing, and destruction of records.

Records Coordinators: Staff designated in JR Central Office, institutions, and regions to be responsible for coordinating record requests and monitoring compliance with the facility or office records schedule. This includes retention and timely destruction of records.

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IV. REFERENCES

JR Records Management: <http://jr.dshs.wa.lcl/library/RecordsManagement/SitePages/Home.aspx>

V. RELATED JR POLICIES

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| <p>Policy 1.40 – Managing JR Juvenile and Operations Records</p> <p>Policy 5.40 - Transporting JR Youth</p> | <p>Policy 6.60 – Accessing Interstate Compact Services</p> |
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VI. FORMS AND DOCUMENTS

| Document Title | Available In ACT | Link to Paper form |
|---|---|---------------------------|
| Case File Transfer Form |  | DCYF Form 01-098 |
| Washington State Records Center Archives Records Transmittal and Box Content List |  | SOS Archive Form |
| Case File Organization Guidelines | | |
