

Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Juvenile Case Record Management
Policy: 1E-01
Page: 1 of 2
Standards: ACA 3-JCRF-1E-01
Issue Date: January 2001
Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

I. **Policy:** Written policy, procedure, and practice of the Center for Adolescent Services to govern case record management. An accurate record shall be developed for each Resident, maintained in a secure location and available only to authorized persons. Record management shall include, but not limited to, the following areas:

- A. Establishment of the case record;
- B. Use of the case record;
- C. Content of the case record;
- D. Right to privacy;
- E. Secure placement and preservation of record;
- F. Schedule for retiring or destruction of inactive records;
- G. Juvenile's access to their file.

These policies and procedures are reviewed annually.

II. Procedure

A. Establishment of the case record

- 1. The record is established at the time of acceptance into the program by the assigned Family Specialist.
- 2. The Family Specialist or designated staff member will be responsible for the coordination and completion of the juvenile's admission/intake forms and will submit all forms to administration for the establishment of the case record.
- 3. Administration will maintain the active case record.

B. Use of the case record

- 1. Only authorized employees of CAS and of the Juvenile Court may use the case record.
- 2. All use of case records will be on a "need to know" basis.
- 3. Case records that are removed from the administrative area must be signed out when removed and signed in when returned.

C. Content of the case record

- 1. The record shall include any of the following information which may be applicable to the individual resident:
 - a. Referral and Acceptance Documentation;
 - b. Admission and Legal Documentation;
 - c. Employment, Restitution, Educational and Medical Documentation

- d. Policy Documentation
- e. Treatment and Program Documentation
- f. Leave Pass, Transition and Termination Documentation

D. Privacy, Security and Preservation of Case Record

1. Juvenile records shall be stored in a secure area so they are protected from theft, loss, tampering, and destruction.
 - a. CAS case records will be stored and maintained in the administration area in a secure file cabinet.
 - b. Case records will be under the supervision of administrative staff.
2. Administrative staff shall ensure that all case records are kept accurate and current.

E. Retirement and Destruction of Case Records

1. The facility adheres to procedures and schedule for record retirement and destruction as established by the State Archives of Ohio Local Government Record Program and collaboration with the Records Commission of Montgomery County.
 - a. All record retention is conducted in accordance with Section 149.38 of the Ohio Revised Code, a schedule of retention and destruction for juvenile case records has been established.
2. No record(s) shall be retained, transferred, destroyed, or otherwise disposed of in violation of the schedule established by the Montgomery County Records Commission.
3. Any inactive case files covered by this schedule, upon expiration of the established retention period, shall be deemed of no continuing value to Montgomery County and shall be destroyed within sixty (60) days after the period of retention set forth.
 - a. Case files: individual case folder on each resident includes copies of court records, facility forms and records, and educational records. The retention period is until the youth turns 21 years of age.
 - b. Referrals: cases on all rejected or withdrawn juveniles. The retention period is 3 years in office, then 2 years in County Records Center.
 - c. Statistical Records: a variety of research and statistical reports and records. The retention period is based upon departmental discretion on source and working documents. Final statistical reports and summaries are permanent.

F. Juvenile Access to Case Record

1. Juvenile may have access only to their charts plotting their progress and Treatment Plan(s), which contains information related to treatment planning and progress.
2. An attorney may subpoena for the records on behalf of a juvenile.
3. There is no other juvenile access to the records.

Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Juvenile Case Record
Policy: 1E-02
Page: 1 of 2
Standards: ACA 3-JCRF-1E-02
Issue Date: January 2001
Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

I. **Policy:** Written policy, procedure, and practice provide that a record is maintained for each juvenile and includes, at a minimum, the following information:

- A. Initial intake information form
- B. Case information from referral source, if available
- C. Case history/social history
- D. Medical record, when available
- E. Individual plan/program
- F. Signed release of information forms
- G. Evaluation and progress reports
- H. Current employment data
- I. Program rules and disciplinary policy, signed by juvenile
- J. Documented legal authority to accept the Juvenile Court grievance and disciplinary record
- K. Referrals to other agencies
- L. Final discharge report

II. Procedure

A. Establishment of the case record

1. The record is established at the time of acceptance into the program by assigned Family Specialist.
2. The Family Specialist or designated staff member will be responsible for the coordination and completion of the juvenile's admission/intake forms and will submit all forms to administration for the establishment of the case record.
3. Administration will maintain the active case record.

B. Use of the case record

1. Only authorized employees of CAS and of the Juvenile Court may use the case record.
2. All use of case records will be on a "need to know" basis.
3. Case records that are removed from the administrative area must be signed out when removed and signed in when returned.

C. Content of the case record

1. The record shall include any of the following information which may be applicable to the individual resident:
 - a. Referral and Acceptance Documentation;
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 - c. Employment, Restitution, Educational and Medical Documentation

- d. Policy Documentation
- e. Treatment and Program Documentation
- f. Leave Pass, Transition and Termination Documentation

D. Privacy, Security and Preservation of Case Record

1. Juvenile records shall be stored in a secure area so they are protected from theft, loss, tampering, and destruction.
 - a. CAS case records are supervised by administration and stored in a secure file cabinet in the administration area.
2. Administrative staff shall ensure that all case records are kept accurate and current.

E. Retirement and Destruction of Case Records

1. CAS adheres to the rules and procedures for case record retirement and destruction as established by the Records Commission of Montgomery County. In accordance with Section 149.38 of the Ohio Revised Code, a schedule of retention and destruction for juvenile case records has been established.
 - a. No record(s) shall be retained, transferred, destroyed, or otherwise disposed of in violation of the schedule established by the Montgomery County Records Commission.
 - b. Any inactive case files covered by this schedule, upon expiration of the established retention period, shall be deemed of no continuing value to Montgomery County and shall be destroyed within sixty (60) days after the period of retention set forth.
 - i. Case files: individual case folder on each resident includes copies of court records, facility forms and records, and educational records. The retention period is until the youth turns 21 years of age.
 - ii. Referrals: cases on all rejected or withdrawn juveniles. The retention period is 3 years in office, then 2 years in County Records Center.
 - iii. Statistical Records: a variety of research and statistical reports and records. The retention period is based upon departmental discretion on source and working documents. Final statistical reports and summaries are permanent.

F. Juvenile Access to Case Record

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2. An attorney may subpoena for the records on behalf of a juvenile.
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Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Juvenile Case Entry and Review: Auditing Files
Policy: 1E-03
Page: 1 of 2
Standards: ACA 3-JCRF-1E-03
Issue Date: January 2001
Reviewed: September 2020, April 2021
Authorized by: William Shaffer, Director

I. Policy: Written policy, procedure and practice provide that juvenile records are audited at least monthly.

II. Procedure

A. Case Record Documentation and Entry

1. The following procedures concerning documentation and entry into the juvenile records are to be followed by all CAS staff:
 - a. Any written entry into the juvenile record must be dated and signed by the staff member making the entry.
 - b. All entries to a juvenile's case file are to be processed through Administrative Staff in the Administration Office. It is the responsibility of administrative staff to enter juvenile records into the juvenile case records.

B. Case Record Review

1. The center has established and will operate an on-going case/peer review process. This component focuses on the auditing of all juvenile case records, emphasizing the utilization of all policies and procedures established concerning case record management. This component is under the direction of the Program Coordinator and/or designated staff and will utilize selected staff to periodically review case records. The objectives of the review process is as follows:
 - a. Ensure that appropriate and accurate material is being entered in the current case record.
 - b. Ensure that the record is a composite recording, including background information, ongoing progress reports and current information providing the staff with clear and concise knowledge about a juvenile and his progress through the agency record.
 - c. Evaluate case utilization as related to staff responsibility and accountability.
 - d. Ensure staff adherence to agency guidelines and procedures governing record management.

2. Auditing of juvenile files will take place at least monthly.

C. Case / Peer Review

1. Case/peer review provides feedback to staff concerning their responsibility in the documentation and timely entry of vital treatment data.
 - a. The case/peer review procedure is under the supervision of the Program Coordinator and/or designated staff. It is the responsibility of the Program Coordinator to assign cases for review and ensure that all active case records are reviewed on a scheduled basis.

- b. Each active juvenile record is to be reviewed at admission and on a monthly basis; a minimum of one (1) review each month. This may occur in the following manners:
 - i. Initial establishment of a case file;
 - ii. Periodic updating (monthly);
 - iii. Quarterly audits conducted by administrative and/or selected staff.
- c. The review process will involve the auditing of each case record, utilizing the Case Record Audit Checklist. The selected staff member will review each case record to determine if the following is present:
 - i. Required information is present in the case record;
 - ii. On-going treatment entries are present, dated and signed by responsible staff.
- d. The Program Coordinator and/or designated staff will then review the case record checklists, determining if each case record is complete and current according to established agency standards.
- e. Current standards, as defined by the CAS Management Team, requires that program and treatment data is entered into the case record under the following guidelines:
 - i. Intake / Admission – complete at audit;
 - ii. Juvenile Court / Referral Information – complete at audit;
 - iii. Treatment Reports – 30 days from date of audit;
 - iv. Family Counseling Reports – 30 days from date of audit;
 - v. Leave Pass Agreements – 14 days from date of audit;
 - vi. Release/Aftercare Contract – complete at audit.
- f. Upon completion of the review, the Program Coordinator and/or designated staff member will communicate, by written memo, to each responsible staff member, indicating the level of deficiency and what is required to bring the case record to current status.
- g. The Program Coordinator and/or designated staff will review this component with the Agency Director on a monthly basis, as needed.

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Policy: 1E-02
Page: 1 of 2
Standards: ACA 3-JCRF-1E-02
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Authorized by: William Shaffer, Director

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Center for Adolescent Services

Chapter: Juvenile Records
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Policy: 1E-03
Page: 1 of 2
Standards: ACA 3-JCRF-1E-03
Issue Date: January 2001
Reviewed: September 2020, April 2021
Authorized by: William Shaffer, Director

I. Policy: Written policy, procedure and practice provide that juvenile records are audited at least monthly.

II. Procedure

A. Case Record Documentation and Entry

1. The following procedures concerning documentation and entry into the juvenile records are to be followed by all CAS staff:
 - a. Any written entry into the juvenile record must be dated and signed by the staff member making the entry.
 - b. All entries to a juvenile's case file are to be processed through Administrative Staff in the Administration Office. It is the responsibility of administrative staff to enter juvenile records into the juvenile case records.

B. Case Record Review

1. The center has established and will operate an on-going case/peer review process. This component focuses on the auditing of all juvenile case records, emphasizing the utilization of all policies and procedures established concerning case record management. This component is under the direction of the Program Coordinator and/or designated staff and will utilize selected staff to periodically review case records. The objectives of the review process is as follows:
 - a. Ensure that appropriate and accurate material is being entered in the current case record.
 - b. Ensure that the record is a composite recording, including background information, ongoing progress reports and current information providing the staff with clear and concise knowledge about a juvenile and his progress through the agency record.
 - c. Evaluate case utilization as related to staff responsibility and accountability.
 - d. Ensure staff adherence to agency guidelines and procedures governing record management.

2. Auditing of juvenile files will take place at least monthly.

C. Case / Peer Review

1. Case/peer review provides feedback to staff concerning their responsibility in the documentation and timely entry of vital treatment data.
 - a. The case/peer review procedure is under the supervision of the Program Coordinator and/or designated staff. It is the responsibility of the Program Coordinator to assign cases for review and ensure that all active case records are reviewed on a scheduled basis.

- b. Each active juvenile record is to be reviewed at admission and on a monthly basis; a minimum of one (1) review each month. This may occur in the following manners:
 - i. Initial establishment of a case file;
 - ii. Periodic updating (monthly);
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- d. The Program Coordinator and/or designated staff will then review the case record checklists, determining if each case record is complete and current according to established agency standards.
- e. Current standards, as defined by the CAS Management Team, requires that program and treatment data is entered into the case record under the following guidelines:
 - i. Intake / Admission – complete at audit;
 - ii. Juvenile Court / Referral Information – complete at audit;
 - iii. Treatment Reports – 30 days from date of audit;
 - iv. Family Counseling Reports – 30 days from date of audit;
 - v. Leave Pass Agreements – 14 days from date of audit;
 - vi. Release/Aftercare Contract – complete at audit.
- f. Upon completion of the review, the Program Coordinator and/or designated staff member will communicate, by written memo, to each responsible staff member, indicating the level of deficiency and what is required to bring the case record to current status.
- g. The Program Coordinator and/or designated staff will review this component with the Agency Director on a monthly basis, as needed.

Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Signed Case Entries
Policy: 1E-04
Page: 1 of 2
Standards: ACA 3-JCRF-1E-04
Issue Date: January 2001
Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

I. Policy: Written policy, procedure and practice provide that all entries in the master file are dated and the author of the entry identified.

II. Procedure

A. Case Record Documentation and Entry

1. The following procedures concerning documentation and entry into the juvenile records are to be followed by all CAS staff:
 - a. Any written entry into the juvenile record must be dated and signed by the staff member making the entry.
 - b. All entries to a juvenile's case file are to be processed through Administrative Staff in the Administration Office. It is the responsibility of administrative staff to enter juvenile records into the juvenile case records.

B. Case Record Review

1. The center has established and shall operate an on-going case/peer review process. This component focuses on the auditing of all juvenile case records, emphasizing the utilization of all policies and procedures established concerning case record management. This component is under the direction of the Program Coordinator and/or designated staff and will utilize selected staff to periodically review case records. The objectives of the review process is as follows:
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 - c. Evaluate case utilization as related to staff responsibility and accountability.
 - d. Ensure staff adherence to agency guidelines and procedures governing record management.

2. Auditing of juvenile files will take place at least monthly.

C. Case / Peer Review

1. Case/peer review provides feedback to staff concerning their responsibility in the documentation and timely entry of vital treatment data.
 - a. The case/peer review procedure is under the supervision of the CAS Program Coordinator and/or designated staff. It is the responsibility of the Program Coordinator

to assign cases for review and ensure that all active case records are reviewed on a scheduled basis.

- b. Each active juvenile record is to be reviewed at admission and on a monthly basis; a minimum of one (1) review each month. This may occur in the following manners:
 - i. Initial establishment of a case file;
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- e. Current standards, as defined by the CAS Management Team, requires that program and treatment data is entered into the case record under the following guidelines:
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 - ii. Juvenile Court / Referral Information – complete at audit;
 - iii. Treatment Reports – 30 days from date of audit;
 - iv. Family Counseling Reports – 30 days from date of audit;
 - v. Home Visit Contracts – 14 days from date of audit;
 - vi. Release/Aftercare Contract – complete at audit.
- f. Upon completion of the review, the Program Coordinator and/or designated staff member will communicate, by written memo, to each responsible staff member, indicating the level of deficiency and what is required to bring the case record to current status.
- g. The Program Coordinator and/or designated staff will review this component with the Agency Director on a monthly basis, as needed.

Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Security of Records
Policy: 1E-05
Page: 1 of 2
Standards: ACA 3-JCRF-1E-05
Issue Date: January 2001
Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

- I. **Policy:** Written policy, procedure, and practice provide that appropriate safeguards exist to minimize the possibility of theft, loss or destruction of records.
- II. **Procedure**
 - A. Establishment of the case record
 1. The record is established at the time of acceptance into the program by the administrative staff.
 2. The Family Specialist or designated staff member will be responsible for the coordination and completion of the juvenile's admission/intake forms and will submit all forms to administration for the establishment of the case record.
 3. The case record will be maintained and secured in the administration wing of the facility, and the organization and daily maintenance of the record will be the responsibility of the Administrative Assistant.
 - B. **Use of the case record**
 1. Only authorized employees of CAS and of the Juvenile Court may use the case record.
 2. All use of case records will be on a "need to know" basis.
 3. Case records that are removed from the administrative area must be signed out when removed and signed in when returned.
 - a. Employees are forbidden from removing case records from the building for any purpose other than official, court-related purposes.
 - b. When a case record is removed from the Administrative area, the staff removing the record must complete the Case Record Usage log.
 - c. The following fields must be completed within the Case Record Usage:
 - i. Date, Staff Name, Name of Case Record and Process Type.
 - C. **Privacy, Security and Preservation of Case Record**
 1. Juvenile records shall be stored in a secure area so they are protected from theft, loss, tampering, and destruction.
 - a. CAS case records will be stored in the administration area in a secure file cabinet.
 - b. Case records will be under the supervision of administrative staff and/or under the security and observation of the CAS Control Center.

2. Administrative staff shall ensure that all case records are kept accurate and current.

D. Retirement and Destruction of Case Records

1. CAS adheres to the rules and procedures for case record retirement and destruction as established by the Records Commission of Montgomery County. In accordance with Section 149.38 of the Ohio Revised Code, a schedule of retention and destruction for juvenile case records has been established.
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**Montgomery County Juvenile Court
Center for Adolescent Services**

Chapter: Juvenile Records
Subject: Case Record Confidentiality
Policy: 1E-06
Page: 1 of 1
Standard(s): 3-JCRF-1E-06
Issue Date: January 2001
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Authorized by: William Shaffer, Director

- I. **Policy:** Written policy, procedure, and practice provide that an updated case file for juvenile transferred from one facility to another is transferred simultaneously or at the latest within seventy-two (72) hours.

- II. **Procedure:**
 - A. **Transfer Location(s):**
 1. CAS only transfers resident(s) to Montgomery County Juvenile Detention Center.

 - B. **Resident Transfer Reason(s):**
 1. New Charge(s)
 2. Warrants
 3. Violation(s) of Court Order, VCO
 4. Violation(s) of Probation
 5. Violation(s) of Suspended Commitment

 - C. **Electronic Juvenile Records:**
 1. Resident records, involving progress within the treatment program, are created, updated and stored within the Montgomery County Juvenile Court JCS System:
 - a. All Montgomery Juvenile Court employees are issued a username and password to access the agency computer network and JCS.

 - b. Only those staff pertinent to the entry of key information will be authorized to input resident treatment information on JCS.

 - D. **Automated, Electronic Record Transfer Process:**
 1. Montgomery County Juvenile Court Personnel are assigned JCS user information upon hire.

 2. JCS is available for access at all times. This allows for the continuity before, during and after resident facility transfers.

 3. Montgomery County Juvenile Court employees (i.e., CAS and Detention staff) are able to access the transferring resident's records (i.e., program progress, counseling session(s), etc.) via. the JCS system.
 - a. Access to resident record(s) provides staff with the benefit of learning a resident's treatment history.

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Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

I. Policy: Written policy, procedure, and practice provide that records are safeguarded from unauthorized and improper disclosure. All manual records are marked “Confidential” and kept in locked files, which are also marked “Confidential”. Confidentiality of individual records shall include juvenile access and staff access. Proper consent and release of information forms must be used in accordance with federal and/or state guidelines. Computerized records will be maintained in a secure fashion that ensures confidentiality.

II. Procedure

A. Confidentiality of Records

1. The Center for Adolescent Services adheres to Section 408 of Public Law 92-255 which provides absolute confidentiality of all records that contain confidential information about juveniles. The following guidelines and procedures are to be adhered to and followed by staff:
 - a. All active and inactive case records are to be stamped “Confidential” on the outside folder.
 - b. The file cabinet(s) in which they are stored is to be marked “Confidential” and be in full view of the staff member using the file cabinet.
 - c. In keeping with juvenile confidentiality, no staff member is permitted at any time to remove a juvenile’s case record from the facility or remove case information from a case file for personal use.
 - d. Case records that are removed from the administrative area must be signed out utilizing the record sign-out card.
 - e. Access to files is limited to authorized CAS Staff, and Juvenile Court personnel on a need-to-know basis for case management.

B. Release of Information

1. Requests for the release of information from agencies or organizations independent of the Montgomery County Juvenile Court must be accompanied by a “Authorization for Release of Information Consent Form”, signed by the juvenile and parent/legal guardian, as required by law.
2. Requests for information by CAS from agencies independent of the Montgomery County Juvenile Court requires the completion of our agency’s “Authorization for Release of Information Consent Form”.

3. Requests for the release of information on present or former clients are to be processed by the agency's Administrative Secretary.
4. A copy of the request form is to be maintained in the juvenile's case file.
5. All released juvenile case records are to be stamped "Confidential".

C. Release of Information Consent Form

1. The *Authorization for Release of Information Consent Form* contains the following information:
 - a. Name of agency or organization requesting information;
 - b. Name of institution releasing information;
 - c. Name and date of birth of person;
 - d. Name and title of person requesting information;
 - e. Purpose of the information;
 - f. Specific information to be released;
 - g. Signature and address of Parent/Legal Guardian;
 - h. Signature of juvenile;
 - i. Date consent form signed.

D. Automated Juvenile Records

1. Selected juvenile records, involving a resident's progress in the treatment program are created, updated and stored on the agency computer network and on the Montgomery County Juvenile Court System (JCS). To insure confidentiality of these records, the following guidelines and procedures pertaining to access to network and Juvenile Court System (JCS):
 - a. the agency computer All CAS are issued a username and password to access the agency computer network.
 - b. Selected CAS staff will be issued a username and password to access the Juvenile Court System. Only those staff pertinent to the entry of key information will be authorized to access the Juvenile Court System.
 - c. All CAS staff, upon hire, will review and sign the CAS and Juvenile Court's Juvenile Confidentiality Policy. The Policy states the following:

Ohio Revised Code, Chapter 2151.41 mandates that any information obtained regarding with whom I deal with must be kept confidential. Such information will be divulged only to those officials or agencies directly connected with the juvenile, and then only in the furtherance of the best concerns of the juvenile.
 - d. Access to automated juvenile records from unauthorized staff shall be requested through the Administrative Secretary. Juvenile case records removed from the agency network and/or JCS are to be marked "Confidential".

Montgomery County Juvenile Court

Center for Adolescent Services

Chapter: Juvenile Records
Subject: Use of Consent Form
Policy: 1E-08
Page: 1 of 2
Standard(s): 3-JCRF-1E-08
Issue Date: January 2001
Reviewed: September 2020, April 2021, August 2022
Authorized by: William Shaffer, Director

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