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<b>Revised:</b>	12/02/19

**Notes and  
References**

**CASE FILES & RECORDING**

**I. Introduction**

- A. Records of Juvenile cases are kept in hard copy (paper) files and electronic files (IMPACT).
  - 1. The official record is the Juvenile Court file.
  - 2. The Probation Department case files, both paper and electronic, contain copies of documents in the Juvenile Court file and other information related to the case which is placed in the appropriate file.
  - 3. The department files, both paper and electronic, also contain documentation of chronological information, contacts, and progress while under Probation jurisdiction.
- B. A hard copy case file will be made for every minor referred to the Probation Department and an electronic file will be established in the IMPACT system.

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- 1. The material contained in the file will remain confidential pursuant to Chapter 2101 of the Juvenile Manual. Access to case files and distribution of documents contained in them is controlled by policy and law.
- 2. The destruction and sealing of such records shall only be in accordance with the law and Department policy.

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§826.6 WIC  
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§781 WIC

**II. Organization of the Case File**

The paper case file is divided into two (2) parts; the left and right side of the folder.

- A. **The Right Side:** The material on the right side of the folder shall be filed chronologically with the most recent entry on top.

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**Case Files & Recording (continued)**

**Notes and  
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1. Court Hearing Officer (CHO) Tab
    - a. On top of tab—top to bottom
      - 1) Pictures – only those not found in IMPACT
      - 2) File In-Transit check off form – discarded after file is transferred
      - 3) JCPSS Sheet(s)
      - 4) 654/654.2 Agreements
      - 5) Monthly report forms
    - b. Under tab—descending chronological order (most recent on top)
      - 1) CHO sheets – if not entered as an IMPACT CHO note
  2. Case Plan Tab
    - a. Reasonable Candidacy Form – only those from prior to IMPACT
    - b. Initial Case Plan, including a copy of the Child/Family Assessment
    - c. Subsequent case plans
  3. Court Tab – descending chronological order (most recent on top)
    - a. All court reports, minute orders, petitions and violations. (Any document filed with the Juvenile Court.)
- B. Left Side:
1. Above all tabs
    - a. Transfer checklist – discarded upon review
    - b. Chrono sheets – only those from prior to IMPACT

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**Notes and  
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c.	Child and Family Assessment	Pro-6
d.	Custody Log Sheet	
e.	Birth Certificate - only those from prior to IMPACT	Pro-215
f.	Social Security Card – only those from prior to IMPACT	
2.	Correspondence Tab	
a.	Interstate/Courtesy Supervision requests	
b.	Correspondence received by Deputy Probation Officer (DPO)	
c.	Copies of correspondence sent by DPO (mail/fax)	
d.	FAX confirmations	
3.	Law Enforcement Tab	
a.	Criminal History Release Form – old files only. Now completed in IMPACT	Pro-27
b.	CLETS – old files only. Now completed in IMPACT. Shred older copies upon receipt of updated CLETS	Pro-140 Pro-313
c.	Incident Reports – old files only. Now completed in IMPACT	Pro-306
d.	Evidence Reports – if completed in the field; otherwise they are completed and stored in IMPACT	
e.	Waiver of Minor/Parents Rights	Pro-62
f.	Juvenile Hall Admission Notices – old files only. Now completed in IMPACT	

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- g. Home Detention Agreements – old files only. Now completed in IMPACT
- h. Juvenile Referral(s)
  - 1) White copy (original)
  - 2) Pink copy (if filed by the District Attorney (DA))
- i. Law enforcement report(s)
- 4. Behavioral Reports Tab
  - a. Worker’s Special Reports (WSRs) – old file only. Now accessed via IMPACT.
  - b. Program Referrals and Completion Notices (if not completed in IMPACT)
  - c. Community Service Work (CSW) Referrals (old files only, now completed in IMPACT)/Completion Notices
  - d. Los Prietos Boys Camp and department Interagency Placement Committee (formerly Placement Review Committee) screening forms – old files only. Now completed in IMPACT
  - e. Gang Criteria Form (GAS) – old files only.
  - f. JJCPA referral – old files only. Now completed in IMPACT
  - g. Suspected Child Abuse Report (SCAR) forms - old files only. Now in IMPACT
- 5. School Tab
  - a. Correspondence from teachers
  - b. Grades and attendance

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<ul style="list-style-type: none"> <li>c. School awards</li> <li>d. Suspension/expulsion notices</li> <li>e. Individualized Education Plans (IEPs)</li> </ul>	
6. Psychological and Medical Tab	
<ul style="list-style-type: none"> <li>a. Psychological evaluation (if not attached to Court report)</li> <li>b. Medical requests and reports</li> <li>c. Urinalysis results – only those prior to IMPACT</li> <li>d. Toxicology lab reports/affidavit – only those prior to IMPACT</li> <li>e. Admission on Substance Use</li> <li>f. Release of Information</li> <li>g. Health History/Medical Consent</li> <li>h. Child Welfare Services (CWS) SCARs</li> <li>i. CWS Abuse Record Checks – old files only. Now completed in IMPACT</li> <li>j. CWS Tracer Form</li> </ul>	<p>Pro-75</p> <p>Pro-147</p> <p>Pro-213</p> <p>Pro-116</p>
7. Financial Tab	
<ul style="list-style-type: none"> <li>a. Financial Obligation Form</li> <li>b. Victim Letter – only those prior to IMPACT</li> <li>c. Victim Restitution claims</li> </ul>	<p>Pro-70</p>

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- d. Victim Notice of Hearing – only those prior to IMPACT
- e. Collections Account Forms – old files only. Now completed in IMPACT
- f. Order for Restitution and Abstract of Judgment
- 8. Placement Tab
  - a. Placement Clothing Inventory
  - b. Placement financial forms
  - c. Placement packet paperwork

**III. Case Management Recording**

**A. Daily Events**

- 1. Case management information is recorded in IMPACT as an Events entry (formerly known as a Chrono entry) and is displayed chronologically. The Events function is used to:
  - a. Establish and keep an accurate and descriptive chronological record of any pertinent case management actions taken on behalf of or in regard to a youth's case.
  - b. Allow authorized department staff with a need to access the file to readily ascertain the status of a youth's case by a file review.
  - c. Assist supervisors in measuring a DPO's case management practices in conjunction with periodic case reviews.
- 2. Events entries are to be used to document a wide array of case management actions, issues, occurrences, and information. These include, but are not limited to the following:

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- a. Any contact with a youth or a youth's parent, guardian, or other family member, whether in person or by phone, or any other means of communication, at any location.
- b. Any collateral contact involving the youth or the youth's case, such as contact with school officials, law enforcement officers, treatment providers, victims, and attorneys.
- c. Description of outcomes in court that are not sufficiently conveyed on a minute order. This includes a summary of discussions occurring on the record or the results of an in-chambers discussion. Any such descriptions should clearly indicate the Court's intent and direction resulting in any order, and any parameters provided in carrying out its direction.
- d. Activities involving the placement of youth into any type of foster care program, such as Resource Family homes, Short-Term Residential Treatment Programs, and independent living arrangements, such as housing programs and Supervised Independent Living Placements. Activities that are to be entered include the names of programs that a youth has been screened with and the results of those screenings (acceptance, denials, and the reasons for denials), steps taken under the Interstate Compact for the Placement of Children, Interagency Placement Committee, Child and Family Team, and Multi-Disciplinary Team meetings, the date a youth was transported to a program or when a youth absconded from a program, the circumstances surrounding a youth's absconding, and efforts made to locate the youth.
- e. Screenings and case management activities associated with the Los Prietos Boys Camp program and the Santa Maria Juvenile Hall. This includes contact with detained youth or meetings attended on behalf of detained youth, case management efforts being undertaken to facilitate a detained youth's release, or services being secured for a youth while detained.

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- f. Any officer safety or other critical factor information specific to the youth.
- 3. Case management activities are documented in the IMPACT file under the Events tab in a chronological manner by indicating the date, Events type, person(s) involved (by name and title, as necessary) and a concise narrative of the contact or action being documented. The automated system will stamp a completed Events entry with the date and time. It is important that the narrative entered indicates when an event actually occurred or an action was taken to avoid confusion by the automatically entered date and time.
- 4. Events should be entered in Impact during the course of the business day in which the action being documented occurred. In all cases, Events are to be entered within 48 business hours. Documentation is to be done in a consistent, organized and clear manner so that any reader can readily understand the nature of the Events entry and its role in the broader context of a case's history and progression.
- 5. Events entries are considered legal documents and can be subpoenaed for criminal or civil proceedings or purposes. As such, they should contain only factual and relevant information that comprehensively and professionally describes any action.
- B. Transfer Checklist
  - 1. The transfer checklist provides an accounting of the file contents and current status of the case and serves as a transfer event when transferring a case between units.
  - 2. All information should be accurate and coincide with the documentation contained within the case file. Any extraneous material within the file should be removed before transfer or closing.
  - 3. The checklist should be fully completed and signed by the DPO and Deputy Probation Officer, supervisor or designee of the outgoing unit.
  - 4. There should be no handwriting on the checklist as that information would not be included on the original form found in IMPACT.

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- C. Closing Events entry:
  - 1. The closing entry, completed in IMPACT, provides a final summary of the case file.
  - 2. A recommendation regarding sealing of records may be noted by the DPO.

Empty box for Notes and References.