

<p align="center">COOK COUNTY JUVENILE PROBATION AND COURT SERVICES DEPARTMENT</p> <p>Policies and Procedures</p> <p>Chapter: Two Probation Department</p>	<p>Policy # 2.7</p>	<p>Total Pages: 7</p>
	<p>Replaces:</p>	
	<p>Subject:</p> <p>Client/Family Folder and Caseload Management</p>	<p>References:</p> <p>Chapter 3, Specialized Services</p> <p>Policy Manual Form P6</p> <p>Policy Manual Form P8</p> <p>Policy Manual Form P9</p> <p>Policy Manual Form P11</p> <p>Policy Manual Form P19</p> <p>Policy Manual Form P20</p> <p>Policy Manual Form P21</p> <p>Social/Supplemental Investigation, #2.14</p> <p>Monthly Case Logs, # 2.15</p> <p>Transfer of Delinquency Cases, #2.25</p> <p>Delinquency Field Supervisor's Job Responsibilities, #2.53</p> <p>YASI protocols, #2.18</p> <p>Unusual Incident Report, #4.3</p>
<p>Effective Date: October 15, 2008</p>	<p>Authorized By: Michael J. Rohan</p>	<p>Annual Review:</p>

POLICY

It is the policy of the Juvenile Probation and Court Services Department to accurately maintain all delinquent field records in a client/family folder with delinquent field Probation Officers having the primary case management responsibilities. For each specialized division's protocol for case management of records, refer to Chapter 3.

DEFINITIONS

DCFS refers to the Illinois Department of Children and Family Services.

Department refers to the Juvenile Probation and Court Services Department.

IPS refers to Intensive Probation Services.

The **Youth Assessment Screening Instrument (YASI)** is an assessment that profiles the factors (static and dynamic risk factors and protective factors) that are critical to promoting positive outcomes for juvenile probation clients.

PROCEDURES

The Client/Family Folder

The client/family folder is the Department's method of managing the records for minors/families involved with Juvenile Court. The client/family folder includes, but is not limited to:

- Docket sheets for recording court hearings and orders;
- Copies of all petitions;
- Copies of all court orders;
- Adjudication materials;
- Correspondence;
- School, agency and health records;
- Copies of all referrals;
- Monthly case logs;
- Risk assessments;
- Case plans and Addendums to Case Plans; and
- Social/supplemental/addendum investigations.

Prior to December 1, 2007 children of the same mother are in one folder (called a family folder) which is identified by the legal surname of the mother and a number. Separate folders were created for minors who are adopted. A family folder was created for the birth mother and the adoptive mother if a petition is filed on and before the adoption is completed. Information on the birth mother will not be made available to an adoptee.

Effective December 1, 2007 a client folder system shall be utilized by the Department for all new cases where no family folder currently exists. The last family folder created was PP5166. All subsequent folders will be client folders. Effective December 1, 2007 a diligent search for all new referrals will be conducted to determine whether an existing family folder or family identification number (FIN) exists.

If a family folder already exists, this information will be written on all paperwork and forwarded to the Central Intake Services Division. If a FIN already exists, this information will be written on all paperwork and forwarded to the Central Intake Services Division. A folder jacket, however, will not be issued. A client folder will only be created when a Social Investigation is ordered.

If during the diligent search there is no record of a minor's family being active previously with the Juvenile Court, Record Library will issue a new FIN. Again, for these cases a folder jacket will not be issued. A client folder will not be assigned until a minor is

adjudicated delinquent and a social investigation is ordered. The client folder number will be the alphanumeric FIN (i.e., PP5166-A).

Destroying Client/Family Folders

- No folder can be destroyed while a minor in the family is still active with the court.
- No folder can be destroyed until the last active minor is at least 21 years old and youngest non-active sibling, if any, is at least 18 years old.
- If a folder contains a minor who has been a ward of DCFS, the folder can be destroyed when that minor reaches the age of 18 if the folder contains no other active minors.
- The folder of an adopted minor cannot be destroyed for 100 years.

For purposes of Title IV-E, all client/family folders must be preserved for the federal auditing period of five (5) years after a claim is paid for any case open during the claiming period (see Federal Title IV-E Foster Care Reimbursement Assistance Program policy, # 2.30). Supervisors and Deputies must ensure that the date the active minor's last petition closes is written on the outside of the client/family folder.

Obtaining/Creating a Client/Family Folder

When requesting a folder from the Record Library, the Probation Officer/Supervisor/Division designee must complete and forward to Record Library a 3x5 note card with the following information: folder number, name of the minor, date requesting the folder, the Probation Officer and Supervisor's names and extensions to whom the client/family folder is being assigned. Supervisors and Deputies must document in a log book or JEMS the date a folder was assigned and to whom the folder is assigned.

The following protocols must be followed if a client folder is being assigned: Record Library will not create client folders. All client folders will be created by the delinquency field division that is assigned the case. Supervisors (or his/her designee) must complete and forward to Record Library a 3x5 note card (with the above stated information) for all new client folders created until the JEMS functionality of generating and assigning client folder numbers is operational. The 3x5 note card must be completed and forwarded to Record Library to track that a client folder was created and to whom it was assigned. A note card will not have to be completed and forwarded to Record Library for all client folders when JEMS generates and assigns a client folder number. Instead, Supervisors (or his/her designee) must enter in JEMS who was assigned the client folder.

Supervisors must complete the Department's standard Supervisory Memorandum for all cases assigned to field Probation Officers (see Policy Manual Form P11). For specific time frames in assigning cases, see Delinquency Field Supervisor's Job Responsibilities policy #2.53.

When a client/family folder is received that is not organized pursuant to policy (see Policy Manual Form P8 and P9), the following procedures will apply:

- If the folder was closed for less than one (1) year and approved and signed off by the Supervisor/Deputy and forwarded to Record Library, the folder must be returned to the previous Probation Officer/Supervisor/Deputy for the needed folder re-organization.
- If the folder was closed for over one (1) year, the currently assigned Probation Officer (Supervisor, Deputy) is responsible for the proper folder organization.
- If the closed folder has remained in the possession of the previously assigned Probation Officer/Supervisor/Deputy and not formally closed and returned to Record Library, the one year time limit does not apply. In this instance, the Probation Officer/Supervisor/Deputy who is in possession of the folder is responsible for the organization of the client/family folder.
 - ****Note:** the above stated policy does not include folders that were not returned to Record Library pursuant to directives from the Director of Juvenile Probation and Court Services.

Transfer of Client/Family Folders

When a case is transferred from one delinquent field unit to another, a Case Assignment Half-Sheet (see Policy Manual P19) must be attached to the client/family folder and the following protocols must be followed:

- Sending Supervisor must review the client/family folder to ensure: that all appropriate referrals have been made; the docket sheets and face sheet have been updated and completed; the YASI, case plan, and Addendum to Case Plan have been completed per protocols (see YASI protocol, #2.18 and Federal Title IV-E Foster Care Reimbursement Assistance Program policy, #2.30); materials have been filed per Department policy (see Policy Manual Form P8 and P9); and a typed Transfer Summary has been included. The Transfer Summary may be done on the Department's standard Monthly Case Log (see Policy Manual Form P6) and must include: current court status, referrals made and status of, current living situation (e.g., where living, with whom etc.), school status (e.g., attending or not, if attending where, etc.), any service provider information and any other pertinent information.
- Sending Supervisor must complete the Case Assignment Half-Sheet (see Policy Manual Form P19) and attach it to the client/family folder being transferred.
- Sending Supervisor must complete the "Intra-Departmental Case Folder Transfer Card" (3X5 card) (see Policy Manual Form P20) and attach it to the client/family folder being transferred.
- Sending Supervisor must electronically transfer the YASI pursuant to YASI protocols (see YASI protocols, #2.18).

- Sending Supervisor and Deputy must document in the Supervisory Memorandum that the client/family folder has been reviewed and approved for transfer (see Policy Manual Form P11).
- Receiving Supervisor must complete the Case Assignment Half-Sheet (see Policy Manual Form P19) indicating the new assignment and immediately forward the form to the MIS Division.
- Receiving Supervisor must complete the "Intra-Departmental Case Folder Transfer Card," indicating the new assignment, and immediately forward it to Record Library.
- Receiving Supervisor must electronically re-assign the YASI pursuant to YASI protocols policy, #2.18.
- When a minor is committed to IPS, the client/family folder must be transferred within (5) working days of commitment. However, a family folder will remain with the sending officer if a sibling is active.

For further requirements regarding protocols for transferring delinquency cases, see Transfer of Delinquency Cases policy, #2.25.

Client/Family Folder Audits

All delinquent field Deputies must minimally audit/review five (5) client/family folders one (1) time annually for every Probation Officer in his/her division. The folders shall be a random sample with the review of audit findings being conducted with the Supervisor and Probation Officer present. The Department's standard Case Management Review Summary must be completed by the Deputy for each client/family folder they audit/review (see Policy Manual Form P21). Deputies and Supervisors must utilize the folder audits/reviews in preparing the Probation Officer's performance appraisal. While audit/reviews are required a minimum of one (1) time annually, client/family folders are subject to audit/review at any time.

Caseload Management/Maintenance of Client/Family Folder

Once completed and accurate adjudication packet(s) are received, Field Probation Officers assigned a client/family folder shall be responsible for completing, maintaining and organizing the required documents in the client/family folder. Field Probation Officers must ensure that all collateral documents are obtained pursuant to policy and securely placed in the minor's client/family folder (see Social Investigation policy, # 2.14). Effective April 1, 2004, field Probation Officers must place a copy of each completed referral form in the minor's client/family folder. The field Probation Officer must thoroughly and accurately complete and update the social face sheet. The assigned field Probation Officer is responsible for tracking court hearings on all active petitions involving the assigned minor, including updating active court hearings on petitions that may have been missed by a previous Probation Officer/Adjudicator. In documenting information, Probation Officers must use the authorized list of standard abbreviations for Juvenile Justice Division cases. Probation Officers shall be responsible for thoroughly and accurately completing Monthly Case Logs that reflect case contacts, referral and case plan outcomes, case activity, etc. (see Monthly Case

Logs policy, # 2.15). All documents in a client/family folder must be organized pursuant to Department policy (Policy Manual Forms P8 and P9) and securely fastened (not loose).

Documents must be legible and filed in a timely manner within a client/family folder. Probation officers must maintain folders on a regular basis. Overall, the client/family folder must provide a detailed account of case dynamics.

At the conclusion of the Advocacy Division working with a field Probation Officer on a case, the client/family folder will be requested by the Advocate Probation Officer. The Advocate Probation Officer must incorporate their division's paperwork into the client/family folder pursuant to Department standards (see Policy Manual Form P8 and P9). Upon completion of combining Advocacy's folder with the client/family folder, the Advocate Probation Officer will return the client/folder to the field Probation Officer.

For confidentiality and integrity purposes, probation officers cannot remove a client/family folder from the court building, except when attending proceedings in another court building. Folders must be maintained in a secure location in the employee's office that is accessible to the Probation Officer's Supervisor/Deputy.

If a Probation Officer loses a client/family folder, the Probation Officer must immediately notify his/her Supervisor and must accurately re-create the folder. If a client/family folder is stolen the Probation Officer must immediately notify his/her Supervisor and file a police report, complete an Unusual Incident Report (pursuant to Unusual Incident Report policy, #4.3) and accurately re-create the folder.

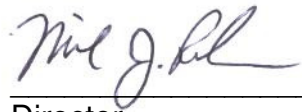
Closing Client/Family Folders

Effective January 1, 2004, field Probation Officers must complete a Case Closing Report Form within twenty-one (21) working days of the closing of any and all petitions assigned to a field Probation Officer (see Policy Manual Form P12). A separate Case Closing Report form must be completed by the field Probation Officer for each assigned petition (see instructions for Case Closing Report form, Policy Manual Form P10). The original Case Closing Report must be filed in the minor's client/family folder under the Supervisory Memorandum (see Policy Manual Form P11). In addition, a copy of the Case Closing Report Form must be forwarded to the MIS Department within twenty-one (21) working days of a petition being terminated. Even if a client/family folder is not returned to the Record Library (e.g., not all petitions were closed in the folder), the Case Closing Report form must be completed by the field Probation Officer and forwarded by the Supervisor to the MIS Department within twenty-one (21) working days.

Once all petitions are terminated, the Probation Officer must forward the client/family folder to his/her Supervisor within twenty-one (21) days after the case is closed. The Supervisor must review the client/family folder and document on the Supervisory Memorandum the date that the folder was reviewed and approved for closing. The Supervisor must next forward the folder to his/her Deputy who must document on the Supervisory Memorandum the date that the folder was reviewed and approved for

closing. It is the Deputy's responsibility to forward the client/family folder to Record Library. Supervisors and Deputies must document in a log book or JEMS the date a folder was closed and where it was forwarded.

Approved:



Director

October 15, 2008

Date