



South Carolina
DEPARTMENT OF
JUVENILE JUSTICE

Office of Staff Development & Training
TRAINING LESSON PLAN

Title: Case Documentation		Credit Hours:	
Type of Training: Basic <input checked="" type="checkbox"/> In-Service <input type="checkbox"/> Orientation <input type="checkbox"/> Other <input type="checkbox"/>			
Prepared by: Kristin Collins		Date Prepared: Click here to enter a date.	
Approved By: (Office of Staff Development & Training)			
Printed Name		Signature	Date

Training Goal/Purpose:

Performance Objectives:

1. Describe the purpose and essential components of case documentation
2. Describe the standard for creation, maintenance and closure of a case file
3. Describe issues of confidentiality
4. To explain the quality assurance perspective of reviewing case files
5. To demonstrate an ability to write concise and accurate case notes

Evaluation Procedure:	Research Resources:
<input checked="" type="checkbox"/> Participant Reaction <input type="checkbox"/> Performance Test <input type="checkbox"/> Written Test	

Aids, Supplies, and Equipment Needed:

- | | |
|--|---|
| <input checked="" type="checkbox"/> Overhead Projector | <input type="checkbox"/> Attendance Rosters |
| <input type="checkbox"/> Flip Chart Stand/Paper | <input type="checkbox"/> Name Tents |
| <input type="checkbox"/> LCD Projector | <input type="checkbox"/> Evaluation Forms |
| <input type="checkbox"/> Markers/Tape | <input type="checkbox"/> Handouts |
| | <input type="checkbox"/> Other: |

LESSON TITLE: Case Documentation

KEY POINTS/ TRAINING AIDS	LESSON FORMAT
	<p>A File is created (policy F7.1 referenced)</p> <p>County Offices receive referrals from Law Enforcement, local school districts, other governmental agencies/departments, private citizens, victims and a juvenile's parent or guardian. The referral must contain identifying information including the juvenile's name, address, date of birth, sex, race, telephone number, alleged offense, victim information as well as other information. An actual file must be made using the Filing Instructions and utilizing appropriate labeling (need policy #).</p> <p>This case must then be assigned to a staff member. It is at this point that you are responsible for everything that is in this file. But – you must remember that this is not “your” file. This file and the information contained in it belong to the State of South Carolina. You are a case manager and your responsibility is to manage that case.</p> <p>All information received must be entered into JJMS with in two work days of receipt. A ten day waiting period will be observed prior to making a recommendation to the Solicitor allowing for victim input but the recommendation will be submitted to the Solicitor within 15 days of receipt of the referral. The referral process may vary county to county however the time frame for each action remains the same.</p> <p>Each step - obtaining the referral, reviewing the information, deciding there is enough information to continue, creating an actual file, making a recommendation to the Solicitor, contacting victims, obtaining records – needs an Activity Note. This is about giving yourself credit for the work you've done.</p>

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	<p>The Purpose of Record Keeping and Case Documentation</p> <p>The file itself is a legal document. There will be times when you as the case manager are not present to explain or defend what is or is not in the file. This file should read as a book reads but we must remember it is not a fictional novel and it is not a mystery. The reader of the notes should not be left in suspense or scratching their head with questions. We must expect the unexpected as happened in one county where the case manager went into premature labor and then was on extended leave.</p> <p>We all know that CYA stands for Cover Your Agency. No note means nothing happened.</p> <p>Activity Notes are your protection. Activity Notes give you credit for every single thing you do. And there is a lot you do that should be noted. But we aren't just talking about the absence of notes we are also talking about incomplete notes.</p> <p>Activity Notes are the windows into why decisions were made – what did the kid do? What was the case manager's response? This is where you give evidence of why decisions were made. And it is equally important to note that the decision made was carried out. Ex: an AN can state that records were requested, records can be in the file, but make sure there is a note that states the records were received and reviewed – and again, what the response from the reviewing the records will be.</p> <p>Ex: obtaining school records, reviewing the records, noting that the client has been suspended. What is in the court order regarding suspensions from school? What's on the CMP? There should be a staffing with a supervisor documenting that a decision is made to use graduated responses or file a violation. Should the decision be made not to violate but make use of graduated responses an AN will be justification in the future as to why a violation wasn't filed. Assume that at some point you will have to explain all your actions as a case manager to a Judge, and act accordingly. Be cautious how you word ANs, as the file can potentially be subpoenaed.</p>

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	<p><u>Closing a Case File (referenced policy F9.2)</u></p> <p>A case is closed when a client completes probation/parole successfully or reaches the statutory age limits (18 for probation 21 for parole, the exceptions being interstate compact cases).</p> <p>A juvenile must be notified that they are no longer under supervision. This can be done via mail or face to face but must be documented. This information is statistical information collected in JJMS and is used by the agency for grants as well as official documents like our Report Card. How many clients came in and successfully got off of probation is important information! The Director is responsible for reporting such numbers to the Legislators, the Governor as well as the citizens of SC.</p> <p>Describe the Issues of Confidentiality (Policy B5.3)</p> <p>Review HIPPA issues (policy A4.4)</p> <p>Hand out and review with class the document from Legal addressing when case managers can give out information.</p> <p>When information is shared it's important to document on an AN what was given, why it was given, and to whom it was given.</p> <p>Discuss the importance of maintaining file security while in and out of the office. Lock files up at night if you have that ability. Guard files when you are out in the field.</p> <p>Quality Assurance</p> <p>Standardization of files is an important issue and it's why we have filing instructions as well as audit tools out there approved by the agency for use. These tools allow for consistency across the state with regard to information gathering, filing, storage and sharing. Meeting policy and Medicaid standards is just sound case management practice and allows for a case manager to meet the mission of the agency. In this vein, remember that now notes are in JJMS for all to view. CAE information is</p>

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	<p>also available to those who need to review a file electronically. Please understand that there are people within the agency tasked with quality assurance and it is their job to review files. Supervisors are being tasked with auditing files for compliance and Medicaid is also required to audit. This is not personal – it is the job of Medicaid and managers to routinely review files.</p> <p>Reiterate that the Case Manager is responsible for everything in the file upon acceptance and it is good practice to audit your own files periodically.</p> <p>Key Elements to a Sound Activity Note</p> <p>To ensure comprehensive case management practices, accurate, complete and timely records will be maintained on each juvenile. Within 5 work days of all activities an Activity Note (AN) will be completed in JJMS and filed on side 6 of the case file. It's worth repeating that the AN should be an accurate reflection of all that happened during an activity and serves as the record of what did happen. This is a case managers protection and justification for the work that has happened or not happened.</p> <p>A sound Activity Note will include the following elements:</p> <p><u>New Referral</u></p> <ul style="list-style-type: none"> • Identify the referral source and include Incident Report Number (IR#) if referral received from Law Enforcement. • Indicate the charge and corresponding victim. • Indicate names of co-defendants/co-respondents if applicable. • Conclude with the next step taken with the referral/follow-up. (If indicate will continue to monitor, what will be monitored?)

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	<p><u>Intake Interview</u></p> <ul style="list-style-type: none"> • Identify individual conducting intake interview and identify participants in interview (Can reference Participants listed at top of computer generated AN) • Indicate informing participants of charges. Inform of local procedures to acquire legal representation. • Provide overview of juvenile justice system and explanation of intake interview process to include victim rights. • Ability/inability to verify DOB, SSN, Medicaid, immunization record, health insurance. Request of information if not provided • Reference DJJ intake forms and explanation and receipt of applicable signatures to include Medicaid Freedom of Choice. Refer to side #2 for intake forms completed. • Include GAIN-SS and authorization to conduct; outcome of GAIN-SS and any referrals as result. • Indicate assessment of needs through completion of CAE. Include in documentation any notable information recorded in CAE. • Conclude with next step to be taken/follow-up. . (If indicate will continue to monitor, what will be monitored?) <p><u>Court Staffing</u></p> <ul style="list-style-type: none"> • Identify individuals participating • Indicate charges and JJMS RA presumption • Indicate court date • Indicate information reviewed; i.e. school records, other agency information

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	<ul style="list-style-type: none"> • Indicate if a victim and victim's input • Indicate recommendations, if probation, how long .Special conditions • Conclude with next steps to be taken/follow-up. (If indicate will continue to monitor, what will be monitored?) <p><u>Court</u></p> <ul style="list-style-type: none"> • Identify Judge, Defense Counsel, and Prosecutor • Include all participant options present in court • Indicate type of hearing and charges and juvenile's plea • Include any amendments to charges and/or Solicitor dismissal (nol process) • Include whether victim in court and/or statements made or provided by victim to include Victim Impact Statement. • Include any notable information regarding circumstances of offense and <u>facts</u> of any testimony. (This is helpful for Initial Board Reports) • Include any unusual/uncommon activities during hearing. • Indicate sentence, length of time, special conditions <p><u>Probation Meeting</u></p> <ul style="list-style-type: none"> • Identify location of meeting • Identify persons present • Include a review of CMP goals and court ordered stipulations. • State what the follow up will be and who is responsible <p><u>Case Staffing</u></p> <p>What is a case staffing?</p>

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	<p>A process in which there is an exchange of information regarding the juvenile's individual circumstance(s) to help identify issues, suggest problem resolution strategies, gain consensus and recommend service and /or supervision options. A case staffing will include the juvenile's case file, the County case manager and a supervisor</p> <ul style="list-style-type: none"> • Identify all participants • Identify type/purpose of staffing • Juvenile's current status/Level of Supervision • Significant dates (court, ECC, etc.) • Details regarding purpose for staffing • Documents/info considered in making recommendations • Identify all participants • Identify type/purpose of staffing • Juvenile's current status/Level of Supervision • Significant dates (court, ECC, etc.) • Details regarding purpose for staffing • Documents/info considered in making recommendations



Case Documentation

Objectives

- Describe the purpose and essential components of case documentation.
- Describe the standard for creation, maintenance and closure of case files.
- Describe issues of confidentiality
- Explain the quality assurance perspective of reviewing case files.
- Demonstrate the ability to write concise and accurate case notes.

A photograph of approximately 12 hands of various skin tones, all wearing business attire (suits, shirts, and ties), holding a thick, light-colored rope. The hands are arranged in a circle, with the rope forming a continuous loop. The background is white. The entire image is framed by a light gray border with four silver-colored circular fasteners at the corners.

Activity 1

A file is created (policy F 7.1)

- Referrals come from a variety of places:
 - Law Enforcement;
 - Parents;
 - Schools.
- All files are created using the Filing Instructions and labeling (Policy B 5.1).
- This policy outlines the labeling of the file as well as how the file should be stored.

Referral Contents

Referrals must contain identifying information such as:

- Name
- Address/phone number
- Date of birth
- Alleged offense

JJMS Entry

- All of the information on the referral must be entered in JJMS with in two days of receipt.
- You are responsible for all of the information and JJMS entry once the case is assigned to you – but remember you don't "own" it.
- All of this activity – receiving the referral, data entry, assigning and accepting the case – needs an Activity Note (AN)!

What is the purpose of record keeping and documentation?

- Activity notes are “proof” of the work being done so give yourself credit for all that work.
- Activity notes become part of the legal document that is the case file.
- Activity notes provide documentation of the quality of service to the client;
- Activity notes allow others to pick up where you left off.

Activity Notes are... ...the “window” into the Case



- What did the client do?
- What was your response?
- What happens next?
- Who is responsible for that?

*This is where you give evidence
of why decisions and actions
were made*

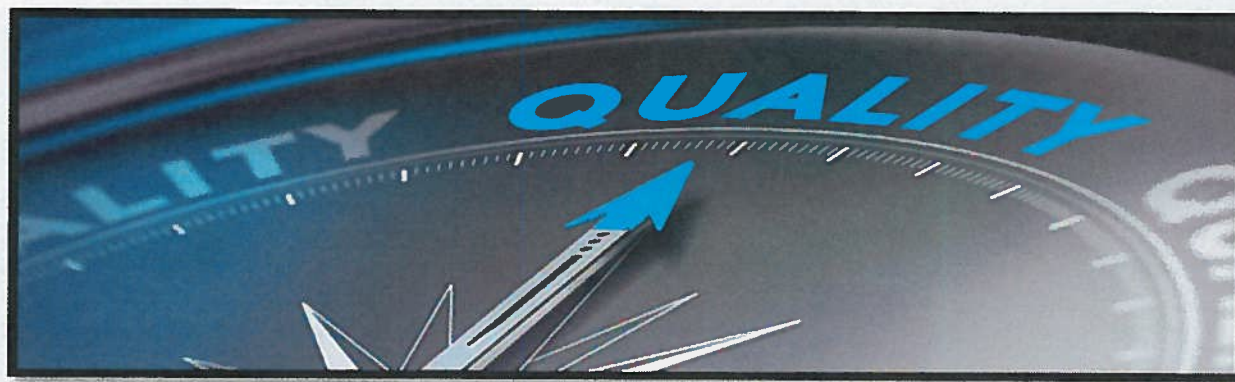
Quality Assurance

- Why is it important to check for quality?
- Why is it important to have filing instructions?
- Why is it important to have audits?



QA...continued

- Meeting Policy and Medicaid standards is just good case management
- Utilizing JJMS is a handy tool to help “filter” information



QA...continued

The information contained in the file is used for a number of purposes:

- Admissible in court (backs up prob. vios., used in Waiver cases, etc)
- Statistics used for grants
- Annual report card to the Governor, Legislators, Citizens

You are case managers, so manage your cases!

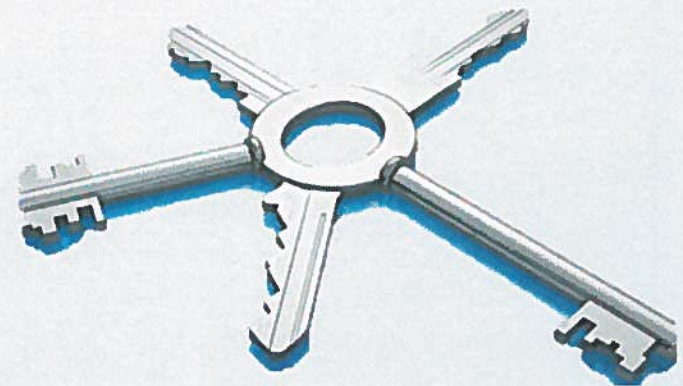
Remember

- JJMS is accessible to many people who are looking at notes for a variety of reasons
- QA staff are tasked with auditing files via JJMS as are supervisors and Medicaid personnel
- This is not personal! This is to ensure our standards are met in order to best serve our clients.

Key Elements to a Sound Activity Note

New Referral

- Identify the referral source
- Identify the offense and victim
- Identify names of co-defendants
- Identify next steps



Key Elements to a Sound Activity Note

Intake Interview

- Identify all participants
- Document discussion on what the charge(s) are and how to get legal counsel
- Overview of juvenile justice system and expungement of record
- Was the DOB, Medicaid, immunization, health ins obtained
 - Document why/why not

Intake Interview continued

- Reference DJJ intake forms to include CAE
- GAINss and the outcome
- Note anything unusual during intake ex:
physical aggression, thoughts of harming
oneself or others
- Be sure to make referrals if necessary and
document on that AN!

Intake Interview continued

- Indicate what information was reviewed - school or other records.
- Indicate recommendations.
- Remember to redact social security numbers
- Conclude with what the next steps are to be taken.

Key Elements to a Sound Activity Note

Court

- Identify those present in court – judge, prosecutor, DJJ personnel, etc.
- Indicate what type of hearing, charges and juvenile plea.
- Include amendments or other Solicitor decisions.



Court Continued

- Include victim participation.
- Include any notable information regarding circumstances of offense and testimony (help for future reports).
- Indicate Court decision.



Key Elements to a Sound Activity Note

Probation Meeting

- Identify location of the meeting.
- Identify the persons present.
- Include a review of CMP goals.



Probation Meeting continued

- Include a review of other paperwork.
- Include follow up and person who is responsible.
- Discuss ECC
- Do FOC



What is a case staffing?

A process in which there is an exchange of information regarding the juvenile's individual circumstance(s) to help identify issues, suggest problem resolution strategies, gain consensus and recommend service and /or supervision options. A case staffing will include the juvenile's case file, the County case manager and a supervisor.

Key Elements to a Sound Activity Note

Case Staffing

- Identify all participants
- Identify type/purpose of staffing
- Juvenile's current status/Level of Supervision
- Significant dates (court, ECC, etc.)
- Details regarding purpose for staffing
- Documents/info considered in making recommendations

Key Elements to a Sound Activity Note

Case Staffing

- Risk score/presumption
- Recommendations
- Next steps to be taken/follow-up

Closing a case file (policy F9.2)

A case is closed when a client completes probation/parole successfully or reaches the statutory age limits (18 for probation and 21 for parole – the exception to the rule are ICJ cases)



Closing a case file (policy F9.2) continued

- A juvenile must be notified they are no longer under supervision
- All activities to close a case (mailed letter, Case Management Plan, etc.) must have that AN to document the closure.



Activity 2





Conclusion

- You should now be able to describe the purpose and components of case documentation
- Describe the standard for creation, maintenance and closure of a case
- Explain the QA perspective of reviewing files
- Demonstrate the ability to write concise and accurate case notes



ANY
QUESTIONS
?

***For questions or additional information
please contact:***

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