



Administrative Policies and Procedures: 9.10

Subject:	Closed Youth Case File Disposition in Youth Development Centers
Authority:	TCA 37-5-105 (3), 37-5-106
Standards:	ACA: 4-JCF-3D-09; DCS Practice Standard: 8-306
Application:	To All Department of Children's Services Employees in Youth Development Centers
Policy Statement:	
The Department of Children's Services (YDC) Youth Development Centers shall maintain paper records contained in inactive/ closed youth case files for a specified period based on the record series type. The disposition of these files shall be in accordance with established policies and procedures that pertain to confidential youth records.	
Purpose:	
To provide guidelines for an orderly and timely system for the disposition of closed/inactive DCS Residential Treatment Facilities Child case files.	
Procedures:	
A. Identification of Inactive/Closed Files	<ol style="list-style-type: none"> 1. In accordance with DCS policy 7.13, Records Disposition Authorization Development and Review Process, Superintendents and Directors will ensure that each departmental treatment facility has a uniform record disposition procedure and closed file tracking system of paper files as described in Sections D and E. 2. One year (1) from the date of implementation of this policy, Superintendents and Directors will ensure that all inactive/closed youth files in the facility have been labeled for disposition according to this policy. 3. When a file is designated as inactive/closed the Records Clerk/Coordinator or designee will label the file with the appropriate <i>Records Disposition Authorization (RDA)</i> number. <ol style="list-style-type: none"> a) <u>RDA 2875-Closed DCS-Residential Treatment Facilities (YDC, GH, TPS) Case Files</u> are to be cut off at the child's 22nd birthday, and then destroyed. These are purged files, except for specific medical and educational information and case recordings/notes, that closed after June 30,1996. b) <u>RDA 2876-Closed DCS-Residential Treatment Facilities (YDC, GH, TPS) Medical Records</u> are to be cut off at the child's 22nd birthday, then maintained in the agency for seven (7) years, then destroyed. These are

	<p>health records that closed after June 30, 1996, such as dental and immunization files, psychological, psychiatric, psychosexual reports, and case recordings/notes generated by DCS.</p> <p>c) <u>RDA 10223 - Closed DCS Education Records</u> are to be cut off at the child's 24th Birthday and then scanned into the <i>Enterprise Content Management System (ECM)</i>. These records are a collection of documented education information on a child no longer in DCS Custody. These records may include transcripts, GED Certificate, Diploma, Report Cards, Vocational Certificates, Special Education Census, Federally required testing data (TCAP, Terra Nova Achievement Test, Gateway Exams etc.), ACT or SAT Assessment. After verification of scanned documents, paper records will be destroyed. The DCS Records Management division will permanently retain electronic education records.</p>
<p>B. Re-opened files</p>	<p>If a child returns to DCS custody, facility staff will research <i>TFACTS</i> for prior placement(s) and request the transfer of original inactive/closed files as described in DCS policy <u>9.8, Transfer of Youth Case Files Between DCS Facilities.</u></p>
<p>C. Identification of protected health information (PHI) files under HIPAA Federal guidelines</p>	<p>Protected Health Information (PHI) records and databases will be destroyed in accordance with federal and state laws, rules and regulations and applicable <i>Health Insurance Portability and Accountability Act of 1996 (HIPAA)</i> policies and procedures.</p>
<p>D. Methods of records disposal</p>	<p>The approved method for destroying confidential paper record information is shredding. Electronic records will be irreversibly destroyed in accordance with state approved methods.</p>
<p>E. Disposal documentation</p>	<ol style="list-style-type: none"> 1. Records designated for destruction, regardless of media, will be destroyed in accordance with RDA retention guidelines. 2. Records destroyed prior to the effective date of this policy will be documented according to DCS Policy <u>9.4, Confidential Child-Specific Records Information.</u> 4. Prepare form <i>GS-0989, Certificate of Records Destruction</i> and forward to DCS Records Management Officer. 5. Records destruction information will be included in the facility's annual records holding report.
<p>F. Scanning</p>	<ol style="list-style-type: none"> 1. All closed Education Records must be sent to DCS Records Management.

<p>preparation</p>	<p>2. DCS Records Management will maintain a system to scan and electronically store Education Records</p> <p>3. Education records designated for scanning will be prepared and tracked by the facility in the following manner:</p> <ul style="list-style-type: none">a) Remove duplicate documents;b) Examine records for obvious misfiling;c) Remove staples, paperclips, rubber bands, and fasteners from documents;d) Unfold and flatten documents;e) Repair frayed edges by cutting a fresh edge being careful to ensure no loss of information results;f) Enlarge small documents (3 x 5 or smaller) to 8 ½ x 11-size paper; andg) Identify and copy backside of a two-sided document.h) DCS Records Management will provide all Records Clerks/Coordinators with a properly formatted spreadsheet containing the following fields:<ul style="list-style-type: none">◆ Child's Last Name;◆ Child's First Name;◆ Child's Middle Name;◆ DOB;◆ SSN; and◆ System ID# (if available).i) The Transfer Spreadsheet will be complete and must be sent via email in electronic format to DCS Records Management.j) A printed copy of the Transfer Spreadsheet will accompany the records being sent to DCS Records Management. <p>4. Education documents will be sent to the following location:</p> <p style="text-align: center;">Department of Children's Services Records Management Office Attn/ Records Management Officer TPS-Sills 3 1286 Foster Avenue Nashville, TN 37243-4404</p> <p>5. Upon receipt of prepared education documents from the facilities, DCS Records Management will perform the following:</p> <ul style="list-style-type: none">a) Acknowledge delivery of records and transfer spreadsheet;b) Scan Education Records into ECM System;c) Verify documents for accurate scanning; andd) Schedule destruction of paper documents.
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Forms:	<u>GS-0989, Department of General Services Certificate of Records Destruction</u>
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Collateral documents:	<u>RDA2875, Closed DCS-Residential Treatment Facilities (YDC, GH, TPS) Case Files</u> <u>RDA2876, Closed DCS-Residential Treatment Facilities (YDC, GH, TPS) Medical Record</u> <u>RDA10223, Closed DCS-Residential Treatment Facilities (YDC, GH, TPS) Education Record</u>
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Glossary:	
Term	Definition
Case recordings:	The ongoing chronological narrative written by a case manager in a case file that serves to document each contact or to document any activity related to the case.
Closed case file:	Records that were maintained according to legal and/or organizational requirements that are eligible for disposition due to the termination of the physical custody, control, supervision and/or support services of a child by the Department of Children’s Services.
Disposition:	An action taken, such as transferring, purging, destroying, archiving, etc., regarding records that have reached the end of their retention period.
Inactive case file:	Records that may have been closed but are not yet ready for disposition.
Enterprise Content Management System (ECM):	An electronic system used to capture, store, preserve and deliver documents.
Permanent Records:	Those records which have permanent administrative, fiscal historical or legal value.

Glossary:	
Term	Definition
Records Disposition Authorization (RDA):	The official document used to determine the proper disposition, preservation, retention and/or destruction of state records. The Public Records Commission will determine and order the proper disposition of State records through the approval of Records Disposition Authorizations.
Records:	All documents, papers, letters, maps, books, photographs, microfilms, electronic data processing files and output, sound recordings, or other material regardless of physical form or characteristics made or received pursuant to law or ordinance or in connection with the transaction of official business by an governmental agency.