



Department of Juvenile Justice

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division
Approved by the State Archives and Records Commission



This records retention schedule governs retention and disposal of records created, used and maintained by the Department of Juvenile Justice. **Government records in Kentucky can only be disposed of with the approval of the State Archives and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by Department of Juvenile Justice personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department of Juvenile Justice to destroy the records listed, after the appropriate retention periods have passed.

Department of Juvenile Justice personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Department of Juvenile Justice.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

This retention schedule covers the content of records created by the Department of Juvenile Justice, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Department of Juvenile Justice

The Kentucky Department of Juvenile Justice (KY DJJ) was established in 1996 with the passage of HB 117 by Kentucky's General Assembly. The Kentucky Department of Juvenile Justice is in the Justice and Public Safety Cabinet and is responsible for prevention programs for at-risk youth, court intake, pre-trial detention, residential placement/treatment services, probation, community aftercare/reintegration programs and youth awaiting adult placement or court.

KY DJJ operates and contracts for the services of a variety of programs to both meet the treatment needs of delinquent youth and to protect the public, including community supervision programs, day treatment programs, group homes, residential treatment programs and private child care programs. The Department seeks to serve youth in the least restrictive, appropriate placement possible.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Juvenile Justice
Agency

December 14, 2017
Schedule Date

Unit

Change Date

December 14, 2017
Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

Carey S. Cocke
Agency Head

11/16/17
Date of Approval

Michelle Neidys
Agency Records Officer

11-20-17
Date of Approval

Beth Slus
State Archivist and Records Administrator
Director, Archives and Records Management Division

12/14/17
Date of Approval

T. J. ...
Chairman, State Archives and Records Commission

12/14/17
Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

[Signature]
Records Analyst/Regional Administrator

11-20-17
Date of Approval

[Signature]
Appraisal Archivist

12/13/17
Date of Approval

[Signature]
State/Local Records Branch Manager

12/13/2017
Date of Approval

The determination as set forth meets with my approval.

Alvin Wilson
Auditor of Public Accounts

12-14-17
Date of Approval

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
Juvenile Justice, Department of

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
06190	Orders for Expungement of Juvenile Records	This series documents copies of Court Orders regarding the expungement of juvenile records pursuant to KRS 610.330. The Department of Juvenile Justice (DJJ) receives copies of the Orders from the court of jurisdiction, but not all Orders received are for juveniles that have been placed with the Department.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.330 - regarding inspection of expunged records. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Juvenile Expungement Order and Certification Form and/or Order for Expungement of Juvenile Record; name, Court of Jurisdiction; date of birth and Social Security number of juvenile; criminal offenses; name of agencies receiving copy of Order; Judge's Signature and date signed; name of Circuit Court Clerk and Deputy Clerk; date entered.
	Retention and Disposition	Retain in Agency two (2) years after youth has attained the age of eighteen (18), then destroy.
06191	Miscellaneous Logs (V)	This series documents all logs created and maintained by the Department of Juvenile Justice (DJJ) facilities pursuant to DJJ Policy 320. This does not include the Juvenile Transportation Form/Log (series 05832), which has a seven (7) year retention, or Juvenile Facility Logs (series 05837).
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date, time, and title of log; name of employee documenting information; Communication and correspondence logs, including mail incoming and outgoing; behavioral evaluations and assessments; recreational and leisure activity attendance; community involvement; visitor contacts, including family; personal items, including clothing, hygiene products, and linens; security checks; room assignments and daily checks; transfers in housing units.
	Retention and Disposition	Retain in Agency five (5) years from date of log, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Administrative Services, Division of
 Fiscal Branch

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
06442	Youth Account File	This series documents transactions on each account of a youth that is in the custody or control of the Department of Juvenile Justice. Youth accounts are custodial financial accounts maintained on the youth's behalf. Activity may include deposits and disbursements by a youth, including purchases of books, magazines, or canteen items. Records are maintained at each juvenile facility.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.340 - confidentiality of juvenile court records. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Youth name and identifying number, account activity and totals, checks written, deposit tickets.
	Retention and Disposition	Retain in Agency five (5) years, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Community Services

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05826	Juvenile Community File (Youthful Offender) (V)	This series documents information obtained in order to achieve the most appropriate placement for the youthful offender. Pursuant to KRS Chapter 640, custody is transferred to the Department of Juvenile Justice (DJJ) when a youth has been transferred to Circuit Court from Juvenile Court to be tried as an adult for alleged criminal offenses and the Court has determined the youth guilty. This information is obtained from many sources, including but not limited to family, court records, and medical professionals. Each youth is assigned a Juvenile Service Worker according to their location. The Juvenile Services Worker creates the file at the community office. Per DJJ Policy and Procedure 601, effective June 2, 2006, this information is updated with current information throughout the youth offender's duration of time with DJJ.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 439.510 - information obtained by probation or parole officer to be privileged. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Running Record, Juvenile Identification form and photo, Supervised Placement Conditions, Social History, Treatment Plan, Aftercare Plan, Referrals to other Agencies, Home Evaluations, Educational Information, Interstate Travel Forms, Home Incarceration, Narrative Reports, Copy of Social Security card, Birth Verification, Consent for Services, Due Process Forms, Notification of Placement Change, Incident Reports, Correspondence, Termination of Commitment, Discharge Recommendation Report, Sex Offender 60 Day Reviews, Court Orders and Reports, Commissioner's Warrants, Revocation Paperwork, Release from Custody Form, Pre-Sentence Investigation Report.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for fifteen (15) years, then destroy.
05827	Juvenile Community File (Public Offender) (V)	This series documents information obtained in order to achieve the most appropriate placement for a public offender. Pursuant to KRS Chapter 635, youth that have appeared in Juvenile District Court in the Commonwealth of Kentucky for alleged criminal offenses and been found guilty may be committed or probated to the Department of Juvenile Justice (DJJ). Information must be obtained to best determine the needs and treatment of the offender. Each youth is assigned a Juvenile Service Worker according to their location. This information is obtained from many sources, including but not limited to family, court records, and medical professionals. This file is created at the community office to which the Juvenile Service Worker is assigned. Per DJJ Policy and Procedure 601, effective June 2, 2006, this information is updated with current information throughout the public offenders duration of time with DJJ, usually upon reaching the age of majority.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Running record, Juvenile identification form and photo, Social Security card and birth certificate, Social history, treatment plan, Aftercare Plan, Phase/Treatment Reviews, Home Evaluations, Educational Information, Juvenile Intensive Supervision Team (JIST) Forms and Reports, Home incarceration, Narrative Reports, Release Information, Consent for Services, Private Child Care Payment, Notification of Placement Change, Incident Reports, Correspondence, Termination of Commitment, Discharge, Sex Offender 60 Day Reviews, Court Orders, Court Reports, Probation and/or Parole Reports, Commissioner's Warrants, Revocation Paperwork, Release from Custody Form, Child Support, Abuse/Neglect/Dependency Information/The Worker's Information SysTem (TWIST), Request to Terminate Treatment, Request to Terminate Probation or Commitment, Pre-Disposition Investigation.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for five (5) years, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Grants Management

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
04187	Compliance Monitoring Report	This series documents the extent to which programs funded by the Cabinet under the Juvenile Justice and Delinquency Prevention Act of 1974 are in compliance with requirements of the Act. It provides information needed to determine the extent to which the state's Juvenile Code complies with federal standards. It is created following an annual on-site visit to the subgrantee facility. The purpose of the report is to determine, among other things, whether juveniles were held in secure facilities, what type of juvenile was present (truant, runaway, adult crime offender), and whether juveniles were housed inappropriately in facilities specifically for adult offenders. Facilities evaluated may include: county jails, detention centers, lockups, and Cabinet for Health and Family Services facilities. The series also specifies when corrective action can be expected and the extent to which noncompliance with program requirements and federal standards is significant or of slight consequence. If noncompliance is significant and corrective action has not been taken within a specified time period, the Cabinet's grant award may be withheld until such time as the program is in compliance. Information from this report aids the Cabinet in its legislative efforts to bring the state's Juvenile Code into compliance with federal standards.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name/Address of Planning Agency, Contact Person, statistical data on number and types of facilities evaluated, statistical data on juveniles such as number of accused status offenders, non-offenders held for more than 24 hours, number of adjudicated offenders, number of offenders held in secure facility, extent of noncompliance, violations of state law, other statistical data by category of juvenile.
	Retention and Disposition	Retain in Agency for five (5) years, then transfer to the State Archives Center for permanent retention.
04188	Formula Grant Application & Three Year Comprehensive Plan	This series initiates the application process for the Cabinet to receive Juvenile Justice and Delinquency Prevention Act grant awards. It identifies the state's program areas, goals and objectives that will be achieved. A Three-Year plan, which replaced the annual submission, was implemented in 1980. The plan is amended annually to cover new or modified state programs or objectives which address specific requirements of the Juvenile Justice and Delinquency Prevention Act of 1974. The Cabinet's authority to administer such funds is found in KRS 15A.150.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application for Federal Assistance (SF-424); Budget Summary; Certified Assurances; State Advisory Group Composition; Technical Assistance Needs; Analysis of Juvenile Crime problems and Juvenile Justice needs; Plan for Removal of Status Offenders and Non-Offenders from Secure Detention and Correctional Facilities, for Separation of Juveniles from Adults, for Removal of Juveniles from Adult Jails, and for Reducing Disproportionate Representation of Minority Youth Confined in Secure Facilities.
	Retention and Disposition	Retain permanently in Agency.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Medical Services

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05833	Juvenile Medical File (V)	This series documents a committed or convicted juvenile offender's medical information, such as any possible illnesses, diseases, and accidents. It is created by the facility health care practitioners. Pursuant to KRS Chapter 610, medical treatment may be provided for a youth that is in the care of the Department of Juvenile Justice (DJJ). DJJ Policy and Procedure 403, effective February 3, 2006, provides that a medical record shall be maintained for each youth and shall be available and used for documentation by all DJJ health care practitioners in each clinical encounter with youth.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Psychological and/or psychiatric evaluation, medical screening, physician's assessment, documents regarding visits to clinics and/or hospitals, dental records, vision test results, lab results, x-rays, other medical testing, medical results, medication prescribed.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for ten (10) years, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Ombudsman Office

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
06441	Investigative Report File (V)	This series documents the investigation of suspected rights violations of youths in the custody and control of the Department of Juvenile Justice (DJJ). The investigation process may begin with the Internal Investigations Branch of the Justice and Public Safety Cabinet. Referrals are sent to the DJJ Ombudsman Office for further investigation. In the event that alleged violations are upheld, the DJJ employee is subject to disciplinary action.
	Access Restrictions	KRS 61.878(1)(h) - identity of informants. KRS 61.878 (1)(i) - preliminary drafts, notes, correspondence with private individuals. KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.340 - confidentiality of juvenile court records. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Investigative report; supporting documentation, such as facility logs, incident reports, Memorandum of Concern; related correspondence.
	Retention and Disposition	Retain in Agency until three (3) years after case closure. Transfer to State Records Center for twenty (20) years, then destroy. Total retention is twenty-three (23) years after case closure.

STATE ARCHIVES AND RECORDS COMMISSION
 Archives and Records Management Division
 Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
 RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Placement Services/Classification Branch

Record Group
 Number
 1550J

Series	Records Title and Description	Function and Use
05824	Juvenile Classification File (Youthful Offender) (V)	<p>This series documents information obtained from the District and Circuit Court and the Department of Juvenile Justice (DJJ) to best determine the needs, treatment, and the most appropriate placement of the youthful offender. Pursuant to KRS Chapter 640, custody is transferred to DJJ when a youth has been transferred to Circuit Court from Juvenile Court to be tried as an adult for alleged criminal offenses and the Court has determined the youth guilty. After a placement determination has been made, this information is retained at the DJJ Central Office in Frankfort, Kentucky. Copies of information accompany youth to any facility maintained by the Juvenile Justice system and include but are not limited to the conviction orders and judgments. In the event the juvenile is transferred from any one facility to another, the classification file is updated to reflect the placement change.</p> <p>Per KRS 640.030, a youthful offender that has not been released due to minimum expiration of sentence, parole, or shock probation will return to the sentencing court for resentencing. If the Judge determines the youth be placed with the Department of Corrections, either immediately or at a future date as a result of probation revocation, this file is forwarded to the Department of Corrections, Offender Information Branch.</p> <p>Access Restrictions KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. KRS 439.510 - information obtained by probation or parole officer to be privileged. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Face Sheet, Initial Classification and Custody Document, Social History/Needs Assessment, Any out-of-home justification documents, any Administrative Transfer Request (ATR) documents, any agreements with, and/or documents provided by any private child care agencies, Pre-Disposition Investigation, Case Notes, Psychiatric/Psychological Evaluation, Commitment Order and petitions, Circuit Court a sentencing Order/Judgment, Pre-Sentence Investigation, Resident Record Card, Parole Board documents.</p> <p>Retention and Disposition Retain in Agency for fifteen (15) years, then destroy, unless record is transferred to Department of Corrections pursuant to KRS 640.110.</p>
05825	Juvenile Classification File (Public Offender) (V)	<p>This series documents information obtained from the Juvenile District Court regarding commitment by the Department of Juvenile Justice (DJJ) to best determine the most appropriate placement for a public offender. Pursuant to KRS Chapter 635, youth that have appeared in Juvenile District Court in the Commonwealth of Kentucky for alleged criminal offenses and been found guilty may be committed to DJJ. After a placement determination has been made, this information is retained at the DJJ Central Office in Frankfort, Kentucky. A copy of the commitment order will accompany a juvenile. In the event a juvenile is transferred from one placement facility to another, the change is indicated in the classification file. Juveniles are primarily committed until their eighteenth (18th) birthday; however, it could be longer based on the offense. After a juvenile has been released from commitment pursuant to the provisions of KRS 635.070 or KRS 610.120, the classification file will be retained in the Central Office until no longer useful due to the age of the youth.</p> <p>Access Restrictions KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Face Sheet, Initial Classification and Custody Document, Social History/Needs Assessment, Any out-of-home justification documents, any Administrative Transfer Request (ATR) documents, any agreement with and/or documents provided by any private child care agencies, Pre-Disposition Investigation, case notes, Psychiatric/Psychological Evaluation, Commitment Order and Petitions and/or in the event youth is sentenced as a youthful offender in Circuit Court -- a Sentencing Order/Judgment, Pre-Sentence Investigation, Resident Record Card, Parole documents.</p> <p>Retention and Disposition Transfer to State Records Center for five (5) years after case closure, then destroy.</p>

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Placement Services/Classification Branch

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05834	Juvenile Sex Offender Tracking File (V)	This series documents a juvenile's contact with the Department of Juvenile Justice (DJJ) per the provisions as established in KRS 635.545. It is created by the Juvenile Sex Offender Tracking System Administrator at the Central Office. KRS 635.545(1) states that DJJ maintain the names and identities of program participants that have been committed to DJJ for sex-related or other criminal offenses for a period of fifteen (15) years following their participation in the program.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 635.545(1) - names and identities shall not be disclosed. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of offender, race, sex, date of birth, Social Security number; county and date of case closure.
	Retention and Disposition	Retain in Agency until fifteen (15) years after youth's participation in the program, then destroy.
05835	Juvenile Interstate File (V)	This series documents a juvenile offender's contact with the Office of Interstate Compact Administrator at the Central Office in Frankfort, Kentucky. Pursuant to KRS Chapter 615, juveniles may be transferred from/to the Commonwealth of Kentucky or other states participating in the compact for numerous reasons. These reasons include delinquency, runaways, and juveniles who may be a danger to themselves or others. Department of Juvenile Justice Policy and Procedure 210, effective July 7, 2006, acknowledges the Commonwealth's participation in this national compact program and sets forth the guidelines of transferring, receiving, and supervising such youth.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Standardized Interstate Referral Packet, Application for services and waiver, cover letter, Application for Compact Services (Form IA), Memorandum of Understanding of Waiver (Form VI), Petitions, Order of Adjudication and Disposition, Legal and Social History, Parole/Probation Conditions (Agreement) , School transcripts/Records, Quarterly Progress Reports.
	Retention and Disposition	Retain in Agency until one (1) year after case closure, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Placement Services/Transportation Branch

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05832	Juvenile Transportation Form/Log (V)	This series documents a juvenile offender's contact with the Department of Juvenile Justice's (DJJ) Transportation Branch. The form/log is created by the Transportation Office and may provide significant information in the event the juvenile claims abuse during transport. Per KRS 605.080, following a court proceeding and pursuant to an Order from the Court, the sheriff, jailer, appointed designee, or other contracted agency shall provide transportation between court, detention, and/or treatment facilities. In other circumstances, per DJJ Policy 320, effective March 2, 2006, DJJ is responsible for transporting youth committed or sentenced to its custody.
	Access Restrictions	KRS 61.878(1)(a) - personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Transportation of Youth Form, Transportation Log.
	Retention and Disposition	Retain in Agency until two (2) years after day of transport. Transfer to State Records Center for five (5) years, then destroy. Total retention is seven (7) years.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Program Operations

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05828	Juvenile Facility File (Youthful Offender) (V)	This series documents a juvenile youthful offender's out-of-home placement within a juvenile residential facility. This occurs when a juvenile offender appears in juvenile court, is transferred to Circuit Court, and then convicted and sentenced to a term of years. Due to the age of the youthful offender, they are in the custody of the Department of Juvenile Justice pursuant to provisions of KRS 610.340.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. KRS 439.510 - information obtained by probation or parole officer to be privileged. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Photo; Initial Intake Information; Drug testing/consent; Program rule and policy signed by juvenile; approved visitor list; birth certificate; Social Security card; all Pre-Sentence Investigation Report; Correspondence; Records Checklist; Intake Checklist; Admission checklist; Religion Declaration form; HIPPA signature sheet; Possession inventory; Record review and checklist; weekly team and counseling summary checklist; medical consent; Consent to photograph; data sheet; Social history; needs-risk assessment; Travel forms; Mental health; Aftercare Plans; Orientation treatment and individual treatment plans; 60 day reviews; behavior sheets; weekly team summaries; Progress, Incident, and Isolation reports; Grievances; Intensive supervision reports/observation logs; Goals completed; trust forms; Penalty/disciplinary slips; DPA requests; Phase/Trust Recommendation forms; Court Orders; Career Scope learning styles/career clusters; Resident Record Card; Educational or Meritorious Good Time Awards; Correspondence.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for fifteen (15) years, then destroy.
05829	Juvenile Facility File (Public Offender) (V)	This series documents a public offender's activities for duration of placement while at a residential facility and is generated by the staff at the facility. Pursuant to KRS Chapter 635, youth having been guilty of alleged criminal offenses in the Juvenile District Court of the Commonwealth of Kentucky may be committed to the Department of Juvenile Justice (DJJ). Per DJJ Policy and Procedure 200, effective July 7, 2006, it may be determined that the juvenile's needs are better met in an out-of-home residential facility. It may include information regarding behavior and treatment. The file remains with the youth in the event the public offender is transferred to another juvenile facility. Upon completion of any treatment program at any facility, the information in the series is combined with the information in Juvenile Community File (Youthful Offender), Series 05826, to be disposed of according to that series.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Photo, Initial Intake Information and Checklist, Drug testing/consent, Program rules and policies, Approved visitor list, Birth Certificate, Social Security Card, Pre-Disposition Reports, Correspondence, Admission documentation, Medical Consent and History, Social history, Travel forms, Treatment plans, Behavior sheets, Reports, Grievances, Court Orders, Education and career scope-learning documentation, Awards.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for five (5) years, then destroy.

STATE ARCHIVES AND RECORDS COMMISSION
Archives and Records Management Division
Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Justice and Public Safety Cabinet
 Juvenile Justice, Department of
 Program Operations

Record Group
Number
1550J

Series	Records Title and Description	Function and Use
05831	Juvenile Day Treatment File (V)	This series documents a youth's contact within a Department of Juvenile Justice (DJJ) Day Treatment Facility and is created by the staff and faculty at said facility. Pursuant to KRS 605.093, DJJ shall provide day treatment programs. Day treatment programs are not only for youth committed to the DJJ; they are available to youth statewide that may need therapeutic services in addition to the usual academic services provided by a typical public school setting. DJJ Policy and Procedure 201.1, effective July 7, 2006, provides admission criteria for a DJJ Day Treatment Facility.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Referral information, Assessment and Intake Information, copies of Social Security card and birth certificate, medical information and history, Emergency Contact information, Education history and information, Social History and Needs Assessment, Psychological Evaluations, Counseling Reports, Treatment Plans, Behavior Information, Permission Forms, Discipline and Incident Reports, Court Records.
	Retention and Disposition	Retain in Agency until case is closed. Transfer to State Records Center for five (5) years, destroy.
05837	Juvenile Facility Log (V)	This series documents a Department of Juvenile Justice (DJJ) Facility daily noteworthy operations. Notations are normally entered in the Facility Log at the end of each shift by the Youth Worker Supervisor as required in DJJ Policy and Procedure Number 330.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Notations from staff regarding standard facility operations and/or extraordinary occurrences such as Absent Without Leave (AWOL) of youth or other incidental behaviors.
	Retention and Disposition	Retain in Agency for five (5) years, then destroy.
06110	Juvenile Detention File (V)	This series documents the detainment of a juvenile in a Department of Juvenile Justice (DJJ) Detention Center. Juveniles suspected of alleged criminal activity or who may be of harm to themselves or others may be held in a juvenile detention center to await proper disposition through a Juvenile District or Circuit Court Hearing. Per DJJ Policy and Procedure 705, effective February 3, 2006, documentation regarding all aspects of the detainment in a juvenile detention center shall be maintained. The Court may determine that the juvenile be committed to DJJ and subsequently placed at a DJJ youth development center, treatment center, or group home. The Court may determine that the juvenile not be committed to the DJJ.
	Access Restrictions	KRS 61.878(l) - disclosure prohibited, restricted, or otherwise made confidential by enactment of General Assembly. KRS 610.320 - disclosure of information in court and police records concerning juvenile prohibited. KRS 610.340 - confidentiality of juvenile court records. KRS 610.345(5) - limited disclosure authorized. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Court documents; Authority to Accept/Release Discharge; initial intake information, birth record; Social Security card; Report of suspected child abuse, neglect or dependency; resident personal property inventory; include case and social histories; alternative to secure detention program data; incident reports; staff alert forms; behavior contracts; special watch forms; resident progress notes; medical information and release summary.
	Retention and Disposition	If committed, retain in Agency until three (3) years after the case is closed, then destroy. DJJ considers a case closed after a juvenile reaches the age of majority (eighteen years of age); however, it could be longer based on the offense. If not committed, retain in Agency until sixty (60) days after the youth reaches the age of eighteen (18) years, then destroy

Electronic System With Included Records Series

Justice and Public Safety Cabinet

Department of Juvenile Justice

System Description: The Electronic Juvenile Record System is a case management system that tracks juvenile offenders through the criminal justice system. It includes information concerning out-of-home placements within a juvenile residential facility, day treatment programs, and custody transfers to the Department of Juvenile Justice.

System Contents: Offenders' demographic information, charges, work history, education, treatment/treatment plans, information about the caseworker, placement information, offense/legal history, case notes, abuse and neglect information, institutional behavior, educational information, and case plans.

General Schedule Items:

System Title: Electronic Juvenile Record System

Alternate Title: Juv

Series #: Series Title:

Disposition Instructions:

05826	Juvenile Community File (Youthful Offender)	Retain in agency until case is closed, then transfer to State Records Center for seventy-five (75) years.
05827	Juvenile Community File (Public Offender)	Retain in agency until case is closed, transfer to State Records Center for ten (10) years; destroy
05829	Juvenile Facility File (Public Offender)	Retain in agency until case is closed, transfer to State Records Center for ten (10) years, then destroy
05830	Juvenile Detention File - Commitments	Retain in agency until case is closed, transfer to State Records Center for three (3) years, then destroy
05831	Juvenile Day Treatment File	Retain in agency until case is closed, transfer to State Records Center for five (5) years, destroy
06110	Juvenile Detention File - Non-Commitments	Retain in Agency and destroy sixty (60) days after youth attains the age of eighteen (18) years.
