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**DIVISION 400**

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<b>416-420-0010</b>	Definitions
<b>416-420-0020</b>	Allocation of Population Limits
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**DIVISION 450**

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<b>416-450-0010</b>	Definitions
<b>416-450-0020</b>	Exclusions
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**JUVENILE SEX OFFENDER  
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<b>416-465-0010</b>	Definitions
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**DIVISION 470**

**OREGON YOUTH AUTHORITY YOUTH  
CONDUCT, INCIDENTS AND PRIVILEGES**

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<b>416-470-0010</b>	Conduct Code
<b>416-470-0020</b>	Incident Code
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**DIVISION 490**

**RESTRAINT AND ISOLATION**

<b>416-490-0000</b>	General purpose
<b>416-490-0010</b>	Isolation, Restraint, and Physical Force

**DIVISION 510**

**CERTIFICATION STANDARDS FOR  
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<b>416-510-0000</b>	Purpose
<b>416-510-0010</b>	Definitions
<b>416-510-0020</b>	Certificate
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<b>416-510-0040</b>	Youth Offender Foster Home Requirements
<b>416-510-0050</b>	Youth Offender Foster Parent Applicants' Requirements in Relation to Youth
<b>416-510-0060</b>	Youth Offender Foster Home Requirements
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**DIVISION 520**

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<b>416-520-0010</b>	Definitions
<b>416-520-0020</b>	Certificate
<b>416-520-0030</b>	Administration
<b>416-520-0040</b>	Social Living
<b>416-520-0050</b>	Health and Safety
<b>416-520-0060</b>	Living Units
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**DIVISION 530**

**YOUTH OFFENDER FOSTER CARE CERTIFICATION**

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<b>416-530-0010</b>	Authorization
<b>416-530-0020</b>	Indian Child Welfare Act
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<b>416-530-0050</b>	Qualifications of the Family
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<b>416-530-0070</b>	Reformation and Supervision of Youth Offenders
<b>416-530-0080</b>	Health and Fire Safety
<b>416-530-0090</b>	Inactive Referral Status; Termination; Suspension; Revocation
<b>416-530-0100</b>	Youth Offender Group Home — Statement of Purpose
<b>416-530-0110</b>	Youth Offender Group Home Requirements

**DIVISION 550**

**YOUTH OFFENDER TREATMENT FOSTER CARE**

<b>416-550-0000</b>	Purpose
<b>416-550-0010</b>	Definitions
<b>416-550-0020</b>	Overview
<b>416-550-0030</b>	Youth Offender Treatment Foster Care Program
<b>416-550-0040</b>	Treatment Foster Parents
<b>416-550-0050</b>	Youth and Their Families
<b>416-550-0060</b>	Treatment

**416-550-0070** Program Statement  
**416-550-0080** Program Evaluation

**416-650-0040** 60 Days Over Contracted Allocation  
**416-650-0050** 90 Days Over Contracted Allocation

**DIVISION 600**

**HIV TESTING OF YOUTH IN OREGON  
YOUTH AUTHORITY CUSTODY**

**416-600-0000** Purpose and Scope  
**416-600-0010** Definitions  
**416-600-0020** HIV Antibody Testing  
**416-600-0030** Informed Consent  
**416-600-0040** Counseling  
**416-600-0050** Confidentiality

**DIVISION 610**

**TITLE XIX AND GENERAL ASSISTANCE  
MEDICAL ELIGIBILITY**

**416-610-0000** Purpose and Scope  
**416-610-0010** Definitions  
**416-610-0020** Title XIX Policy Determinations Required  
**416-610-0030** Eligibility Factors Assistance Standard  
**416-610-0040** Earned Income  
**416-610-0050** Resources  
**416-610-0060** Citizenship and Alienage  
**416-610-0070** Social Security Number  
**416-610-0080** Retroactive Eligibility  
**416-610-0090** Assignment of Medical Benefits  
**416-610-0100** Lump Sum Benefits  
**416-610-0110** Title XIX Coverage  
**416-610-0120** Reviews  
**416-610-0130** Cooperation with AFS Quality Control  
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**416-610-0150** Non-paid Relative Placements  
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**416-610-0170** Children in Custody of County Juvenile Departments  
**416-610-0180** Youth in Close Custody  
**416-610-0190** Youth in Residential Care with Payment by Another Public Agency  
**416-610-0200** Temporary Medical Card Issuance

**DIVISION 630**

**ADMINISTRATION AND CONTROL OF MEDICATION**

**416-630-0000** Purpose and Scope  
**416-630-0010** Definitions  
**416-630-0020** Storage of Medication  
**416-630-0030** Administration of Medication  
**416-630-0040** Signing for Medication  
**416-630-0050** General Guidelines

**DIVISION 640**

**ADMINISTRATIVE MEDICAL EXAMINATIONS**

**416-640-0000** Purpose  
**416-640-0010** Definitions  
**416-640-0020** Administrative Medical Examination Authorization  
**416-640-0030** Administrative Medical Examination Payments

**DIVISION 650**

**COUNTY CONTRACT COMPLIANCE**

**416-650-0000** Purpose and Scope  
**416-650-0010** Definition  
**416-650-0020** Immediate Action  
**416-650-0030** 30 Days Over Contracted Allocation

**DIVISION 700**

**CONFIDENTIALITY AND INADMISSIBILITY  
OF MEDIATION COMMUNICATIONS**

**416-700-0011** Confidentiality and Inadmissibility of Mediation Communications

**DIVISION 800**

**CRIMINAL HISTORY CHECKS**

**416-800-0000** Purpose  
**416-800-0010** Definitions  
**416-800-0020** Process  
**416-800-0050** Criminal History Review Process  
**416-800-0060** Exceptions  
**416-800-0070** Accuracy of Information

**DIVISION 1**

**PROCEDURAL RULES**

**416-001-0000**

**Purpose**

These rules describe the process by which the OYA will notify the public of its intent to adopt, amend or repeal any Oregon Administrative Rule (OAR).

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 183.335, ORS 183.341, ORS 183.360

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2003, f. & cert. ef. 8-20-03

**416-001-0005**

**Rulemaking Process**

(1) Prior to adoption, amendment or repeal of any OAR, the OYA will give notice of the intended action in the following manner.

(a) Publication in the Secretary of State's Bulletin at least 21 days before the effective date of the intended action.

(b) Providing a copy of the notice at least 28 days prior to any action to persons on the OYA mailing list.

(c) Providing a copy of the notice at least 49 days prior to any action to legislators as described in ORS 183.335(14)(a) through 183.335(14)(c).

(d) Providing a copy of the notice to the following list of organizations at least 28 days prior to any intended action.

(A) Associated Press.

(B) The Oregonian, Portland.

(C) East Oregonian, Pendleton.

(D) Statesman Journal, Salem.

(E) Mail Tribune, Medford.

(F) The Register Guard, Eugene.

(G) The Bulletin, Bend.

(H) American Civil Liberties Union.

(I) Association of Oregon Counties.

(J) Crime Victims United.

(K) Commission on Children and Families.

(L) Department of Human Services.

(M) Juvenile Rights Project.

(N) Oregon Sheriffs' Association.

(O) Police Chiefs' Association.

(P) Oregon Adolescent Sex Offender Treatment Network.

(Q) Juvenile court judges.

(R) Commission on Hispanic Affairs.

(S) NE Rescue Plan Action Committee.

(T) County juvenile departments.

(2) The OYA adopts the January 1, 2000, version of the Attorney General's Uniform Model Rules of Procedure.

Stat. Auth.: ORS 420A.025



Stats. Implemented: ORS 183.335, ORS 183.341, ORS 183.360  
Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2000, f. & cert. ef. 8-2-00; OYA 2-2003, f. & cert. ef. 8-20-03

**DIVISION 20**

**GRIEVANCE REVIEW PROCEDURES  
FOR YOUTH AND PROVIDERS**

**416-020-0000**

**Purpose**

(1) These rules describe the procedure the OYA will use to ensure timely and equitable processing of grievances brought by offenders, or their representatives.

(2) These rules apply to all offenders who are committed to OYA legal or physical custody, and placed in OYA facilities or under OYA supervision on parole/probation status in the community.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, 420A.014, 420A.015, 20A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

**416-020-0010**

**Definitions**

(1) "Emergency" means any condition or situation where life, health, or safety may be threatened or where time frame considerations necessitate an immediate response or remedial action.

(2) "Grievance" means a complaint about the substance or application of any written or unwritten rule, policy or practice affecting an offender; or any decision or action directed toward an offender by the OYA, its employees, or agents, including but not limited to matters of confinement, discipline, treatment, education, and privileges. A grievance can be "informal" or "formal," as described in these rules.

(3) "Representative" means a person who is authorized by an offender to receive confidential information from the OYA and to act on behalf of the offender with respect to a grievance. A representative includes, but is not limited to an attorney, relative, friend or legal guardian, but does not mean another offender.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C, ORS 420, ORS 420A

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

**416-020-0020**

**Grievance Rights**

(1) No grievance may be reviewed or resolved through these procedures if:

(a) The person bringing the grievance is entitled to a contested case hearing, per ORS chapter 183;

(b) The person has initiated court action or filed notice of intent to file tort claim; or

(c) The subject matter of the grievance should be or has already been decided by a judge.

(2) All offenders have a right to review any action or decision affecting them, and/or initiate an informal or formal grievance, without being subjected to reprisal, including offenders placed in OYA facilities, substitute care placements, or at-home placements.

(3) The grievance process will be administered in a manner that protects the confidentiality of records and information, as applicable to federal and state law or policies.

(a) If the offender, or representative, chooses to disclose the offender version of case information to persons or organizations that would not otherwise be involved, then the OYA may choose to use parts of the case record that are not third-party information to refute the offender's statement(s).

(b) Third-party information can be used only when the offender has signed a release of information, and approval has been given by the party from whom the confidential information was received.

(4) The OYA will inform offenders at intake about the grievance process.

(5) The grievance process is designed to be conducted as informally as possible, consistent with the need for orderly and complete presentation and resolution of issues.

(a) Staff and offenders are encouraged to handle questions and complaints at the lowest level possible.

(b) If a grievance is written about an emergency situation, the offender may write immediately to the appropriate Superintendent/Camp Director or Parole/Probation Supervisor, or the Director's Office.

(c) Staff who are the subject of a grievance will not sit on any committee responsible for making decisions regarding the grievance, but may be present and testify regarding the issues.

(d) The offender, or representative, may present testimony or documentary evidence on his/her behalf at any meetings to discuss the grievance, and may call witnesses for this purpose. If the offender, or representative, chooses to use an attorney, he/she is responsible for any expenses or attorney fees that may be incurred in the presentation of the case.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, 420A.014, 420A.015, 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

**416-020-0030**

**Informal Process**

(1) To request an informal grievance, the offender, or representative, will inform an OYA staff that he/she wishes to informally grieve a particular action.

(2) Within seven working days of receiving the request, the OYA will contact the offender, or representative, to schedule a meeting designed to define the problem, identify the desired outcome, and establish a plan for resolution.

(3) The results of the meeting will be provided in writing to the offender, or representative, and include the steps necessary to initiate a formal grievance review if the offender remains dissatisfied.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, 420A.014, 420A.015, 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

**416-020-0040**

**Formal Process**

(1) To request an informal grievance review the youth or provider need only inform the supervisor or the OYA employee they have been working with.

(2) Within one week of request for an informal grievance review, the youth/provider will be contacted to schedule a meeting at an agreed-upon time involving the worker, the supervisor, youth or provider. Focus will be on defining the problem, identifying the desired outcome, and establishing a plan for resolution. Every effort will be made to resolve the grievance through this informal discussion.

(3) If the matter cannot be resolved, the manager shall participate in a further discussion with the youth or provider to resolve it. This discussion will be scheduled as soon as possible at a mutually agreed-upon time. If the youth or provider remains dissatisfied following this discussion, the youth or provider shall be informed within five working days in writing of the decision by the manager and of the steps necessary to initiate a formal grievance review, as described in OAR 416-020-0050.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, 420A.014, 420A.015, 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

**416-020-0050**

**Appeal to the Director**

(1) If the offender, or representative, is dissatisfied with the decision of the formal grievance review, he/she may request an appeal to the OYA Director, or designee.

(a) A request for appeal must be submitted within 10 calendar days from the date the offender, or representative, receives the written decision.

(b) If a request for an appeal is not received within a 15-day period, the offender's right to an appeal will be considered waived, unless the offender can show that the failure to timely request a review was beyond his/her reasonable control.

(2) Within 10 working days of receiving the request for appeal, the OYA Director, or designee, will send written acknowledgment to the offender, or representative, that the request is being processed.

(3) The Director, or designee, will review the record of the formal review process and may take other action to investigate the matter as the Director deems appropriate.

(4) Within 30 calendar days of receiving the request, the Director, or designee, will provide a written report of the appeal decision. Copies of the decision will be sent to the offender, or representative, via US postal service or other certified mail carrier.

(5) The decision of the Director is final. However, nothing in these rules affects any rights an offender has under federal or state law to seek independent redress of grievances in the courts.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, 420A.014, 420A.015, 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2003, f. & cert. ef. 8-20-03

## DIVISION 30

### JUVENILE CORRECTIONS COUNCIL

#### 416-030-0000

##### Authority

The Legislature, through ORS 183.310-183.550, authorizes the Director of the Oregon Youth Authority to establish, by administrative rule, rules necessary for the administration of the laws that the Oregon Youth Authority is charged with administering.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0010

##### Definitions

Juvenile Corrections Council: A group of appointed individuals with juvenile justice interest and/or background whose function is to review current statewide juvenile justice issues and to provide the Director of the Oregon Youth Authority with information and recommendations regarding the development and administration of Oregon Youth Authority policies and procedures related to youth corrections programs.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0020

##### Establishment

The Director of the Oregon Youth Authority establishes the Juvenile Corrections Council.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0030

##### Purpose and Scope

The Juvenile Corrections Council shall serve as a forum for the exchange of information on juvenile justice-related matters. Furthermore, the Juvenile Corrections Council shall provide advice and recommendations to the Director of the Oregon Youth Authority concerning the development and functions of state programs for youth corrections.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0040

##### Membership

The membership of the Juvenile Justice Council shall consist of eleven voting members appointed by the Director of the Oregon

Youth Authority. The appointments shall be comprised of the following:

- (1) A county commissioner;
- (2) A representative of the Oregon defense bar;
- (3) A representative of a victims' advocacy group;
- (4) A representative of law enforcement with particular knowledge of or expertise in juvenile justice matters;
- (5) A county juvenile department director nominated by the Oregon Juvenile Department Directors' Association;
- (6) A district attorney nominated by the Oregon District Attorneys' Association;
- (7) An Oregon Youth Authority substitute care service provider;
- (8) A representative of the Oregon Department of Education;
- (9) A member of an OYA collective bargaining unit;
- (10) Two members of the public with experience and/or interest in matters related to juvenile justice and juvenile crime prevention.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0050

##### Appointments

Appointments to the Juvenile Corrections Council shall generally be for terms of one calendar year. The Director of the Oregon Youth Authority may, at his or her discretion, appoint representatives to terms of less or more than one year to ensure Council membership continuity. Council members may be appointed to more than one term of office.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0060

##### Chairperson

A chairperson shall be elected by members of the Council. The term of office for the chairperson shall not exceed twelve months. The chairperson shall be responsible for directing the Council's meetings and approving Council minutes. In addition, the chairperson shall be responsible for coordinating agenda items with the Director of the Oregon Youth Authority or designee.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0070

##### Meetings

The Juvenile Corrections Council shall hold scheduled meetings once per month at a location selected by majority agreement of Council members. More frequent meetings may be held upon majority agreement of Council members present at meeting. Scheduled meetings may be canceled by majority agreement of Council members.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0080

##### Agenda

Members of the Juvenile Corrections Council may submit agenda items for Council consideration and discussion. Items should be sent to the Director of the Oregon Youth Authority or designee at least one week prior to the scheduled meeting time. The Director or designee and the Council chairperson shall determine which agenda topics are most significant to be considered by the Council.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 - ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0090

##### Recommendations to the Director

After a thorough discussion of an issue, the Juvenile Corrections Council may make a recommendation to the Director of the Oregon Youth Authority by a majority voice vote of a quorum of six Coun-

cil members. The Director or designee shall report back to the Council on the status of each recommendation, specifically whether the recommendation was implemented, revised, or declined.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 – ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0100

##### Community Participation

Individuals with expertise and/or interest in juvenile justice issues may be invited by the Director of the Oregon Youth Authority or the Council chairperson to attend Juvenile Corrections Council meetings. These persons are encouraged to participate in Council discussions but shall not have voting rights on Council recommendations.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 – ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-030-0110

##### Staff Support

The Oregon Youth Authority shall provide staff to support the activities of the Juvenile Corrections Council. This support includes, but is not limited to, carrying out staff assignments recommended by the Council and taking and distributing minutes of Council meetings, after approval of the Council chairperson.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 183.310 – ORS 183.550

Hist.: OYA 1-1996, f. 6-26-96, cert. ef. 8-1-96

### DIVISION 50

#### FUNERAL AND BURIAL EXPENSES

#### 416-050-0000

##### Purpose

(1) These rules describe the process by which the OYA may pay the cost of funeral, burial or cremation expenses for an offender who dies while in OYA legal custody.

(2) These rules apply only to offenders who are committed to OYA legal custody and placed in OYA facilities or under OYA supervision on parole/probation status in the community.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 97.170 – ORS 97.210, ORS 420A.010, ORS 419C.550, ORS 419C.481, ORS 419C.555 – ORS 419C.561

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96, OYA 4-2003, f. & cert. ef. 8-20-03

#### 416-050-0010

##### Allowable expenses

(1) All other resources for payment of these expenses, including parents or guardians, must be explored before approval is given for the OYA to make payments.

(2) The maximum amount the OYA will pay for these expenses will be determined by the OYA Director.

(3) Vendors must submit itemized billings on their letterhead.

(4) The following list specifies allowable expenses.

(a) Necessary funeral service costs that may include, but are not limited to:

(A) Transportation for:

(1) First call;

(2) Funeral coach.

(B) Preparation of remains;

(C) Use of funeral home facilities.

(b) Burial or cremation:

(A) Necessary costs for cemetery burial that may include, but are not limited to:

(1) Endowment care, if provided by cemetery;

(2) Grave space;

(3) Outer case, opening and closing of grave.

(B) Indoor or outdoor mausoleum burial including opening, closing and lettering when crypt is already owned.

(C) Necessary costs for cremation services that may include, but are not limited to:

(1) Cremation;

(2) Unpolished urn;

(3) Niche;

(4) Grave space for cremated remains;

(5) Interment of cremated remains;

(6) Endowment care when provided;

(7) Finished urn when an open-front niche is already owned;

(8) Transportation of cremated remains, when authorized on a case-by-case basis.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 97.170 – 97.210, 420A.010, 419C.550, 419C.481, 419C.555 – 419C.561

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2003, f. & cert. ef. 8-20-03

### DIVISION 100

#### REFERRALS TO DIVISION OF CHILD SUPPORT

#### 416-100-0000

##### Purpose

(1) It is the public policy of the state of Oregon that children be maintained, as much as possible, by parents, thereby relieving or avoiding, at least in part, the burden often borne by the general citizenry through public assistance programs.

(2) When an offender is placed into the OYA's legal or physical custody, the parent(s) or other legally obligated person(s) shall pay support toward the care and maintenance of the offender. The OYA will make referrals to the Division of Child Support (DCS) to establish a child support claim.

(3) DCS is the state entity responsible for collection of child support obligations, including the determination of the amount of support the parent(s) or other legally obligated person(s) is required to pay and enforcement of collection of this support, when support rights are assigned to the state of Oregon.

(4) This rule defines the process by which the OYA will partner with other state agencies to ensure that child support obligations are enforced pursuant to Oregon statute and applicable administrative rules.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01; OYA 9-2002, f. & cert. ef. 3-1-02

#### 416-100-0010

##### Referral Process

(1) In response to court orders, the OYA will send referral information to DCS for all offenders in its legal or physical custody who are placed in a paid substitute care placement, or a close custody placement.

(2) The OYA worker will inform the parent(s) or other legally obligated person(s) that they will be referred to DCS, who will contact them to determine the amount of support they will be required to pay and will enforce collection of the support obligation. When there is no legal father, a referral so stating will be sent to DCS.

(3) At the time an offender is placed within OYA custody, any existing support orders will be electronically linked to that offender.

(4) The OYA will electronically notify DCS when any of the following occur:

(a) The offender enters or leaves paid placement;

(b) The cost of care changes;

(c) The offender's parent(s) are incarcerated or die; and

(d) When corrections or updates are made to the referral.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01; OYA 9-2002, f. & cert. ef. 3-1-02

#### 416-100-0020

##### Exemptions

The OYA Director, or designee, may approve an exemption from the enforcement and/or establishment of a child support obligation.



gation when it is in the best interest of an offender and the agency to do so:

(1) Such exemption may be temporary or permanent, as determined by the OYA Director, or designee.

(2) The OYA will document the reason for the exemption in the case file and provide notice of the exemption to DCS.

(3) When the exemption terminates or expires, the OYA will request that the child support obligation be reinstated effective the date the exemption terminates or expires. The OYA will not request back payment during the time an exemption is in place.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01; OYA 9-2002, f. & cert. ef. 3-1-02

#### 416-100-0030

##### Confidentiality

The OYA will comply with all laws and rules regarding the confidentiality of child support records, including those of the Department of Human Services, that apply to child support information. Requests for information about a child support case shall be referred to the OYA Child Support Coordinator, who shall work with DCS to coordinate appropriate release of the information.

(1) When DCS has initiated a legal action and a party or an attorney for a party makes a request for discovery, the OYA will work with DCS to provide all appropriate information.

(2) OYA employees shall not access computer records or records of any other nature available to them as employees that pertain to their own child support case or the child support case of any relative or other person with whom the employee has a personal friendship or business association. No employee shall perform case-work on his/her own child support case or the case of any relative or other person with whom the employee has a personal friendship or business association.

(3) Any OYA employee who discloses or uses the contents of any records, files, papers or communications in violation of federal/state rules or laws is subject to progressive discipline, up to and including dismissal from employment.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01

#### 416-100-0040

##### Special Circumstances Regarding Incarcerated Obligor

In some cases, offenders in the legal or physical custody of the OYA may be considered obligors for the purpose of child support. The OYA will follow DCS rules (461-200-3300) and coordinate the child support process with regard to these persons.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01

#### 416-100-0050

##### Child Attending School Provisions

(1) Per ORS 107.108, the court may enter an order against either parent, or both, or other legally obligated person(s) to provide for the support or maintenance of a child attending school.

(2) The OYA will work with DCS and the Oregon Department of Education (DOE) to determine which offenders meet the designation of “child attending school.”

(3) The OYA shall submit to DCS and obligated persons all information necessary to establish eligibility to receive support under this section, including grades earned and the courses in which the offender is enrolled.

(4) The OYA will notify DCS when the offender ceases to qualify as a “child attending school.”

(5) Support for a child attending school in OYA care will be distributed to the OYA as provided in ORS 419C.597 and OAR 461-200-5120(8).

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 6-2001, f. & cert. ef. 6-25-01; OYA 9-2002, f. & cert. ef. 3-1-02

#### 416-100-0060

##### Constituent Complaints

The OYA has no obligation or responsibility to mediate or resolve constituent complaints with regard to child support issues. If such complaints are received, OYA workers will refer the person to DCS. The OYA will cooperate with DCS if information is necessary to resolve a constituent complaint.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108 & ORS 416.400 – ORS 416.486

Hist.: OYA 6-2001, f. & cert. ef. 6-25-01

#### 416-100-0070

##### Exception to income withholding

(1) Notwithstanding the provisions of OAR 461-200-4200, the state or the obligor may request an exception to income withholding as provided in ORS 25.396(2). DCS shall review the request according to its criteria and forward a recommendation for alternative payment agreement to the OYA for approval or denial.

(2) The OYA Director may approve exceptions from income withholding when it is in the best interest of an offender and the agency to do so.

(3) The OYA will approve or deny the exception within 30 calendar days after receipt of the DCS recommendation, and notify DCS of its decision as soon as practical:

(a) If the OYA approves the exception, DCS will process an alternative payment agreement with the obligor. Such agreement does not take effect until it has been signed by the obligor and returned to DCS.

(b) If the OYA denies the exception, the obligor may file a grievance with the OYA:

(A) Such grievance shall be stated in writing; sent to the attention of the OYA Director; be received by the OYA within 14 calendar days following the date the denial notice was sent by DCS; and state the reason the obligor believes the OYA should reverse its decision.

(B) The OYA Director shall review the grievance and issue a written decision. The decision of the OYA Director is final. DCS shall notify the obligor of the decision.

(4)(a) DCS shall monitor all alternative payment agreements during the effective period:

(b) The agreement shall terminate and immediate income withholding for the full amount allowable by law may be reinstated when:

(A) The child leaves state care;

(B) The obligor is out of compliance with the agreement; or

(C) The time period covered by the agreement has expired.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 107.108, ORS 409.021 & ORS 416.400–416.486

Hist.: OYA 9-2002, f. & cert. ef. 3-1-02

## DIVISION 110

### DISCLOSURE OF OFFENDER CASE RECORD INFORMATION

#### 416-110-0000

##### Disclosure of Case Record Information

(1) The OYA will disclose information contained in offender case records in compliance with applicable federal and state laws and rules, and its own policies and procedures.

(a) Case records include any official agency information which identifies an individual who was committed to the OYA by the court and has received services from the OYA. These records include any writing or recording of information including automated records and printouts, handwriting, typewriting, printing, photostating, photographing, magnetic tapes, video tapes, or other documents.

(b) When such information concerns offenders within the legal custody of the Department of Corrections that are assigned to OYA facilities, Department of Corrections rules shall also apply.

(2) Offenders are entitled to know the conditions under which information may be divulged. Case record information may be used by the OYA for purposes directly connected with the administration of the agency's programs. Other uses are prohibited unless:



- (a) Required by federal or state law or regulation;
- (b) Ordered by a judge;
- (c) Authorized by statute or these rules; or
- (d) Requested in writing by the offender or his/her representative.

(3)(a) Individuals, agencies or organizations that receive confidential information from the OYA are expected to preserve the confidential nature of the communication.

(b) Information obtained by the OYA from another social agency, public department, institution, hospital, physician or attorney will be for the exclusive use of the OYA in the administration of the program for which it is responsible. Such information may be disclosed to persons or agencies other than those specifically authorized in writing by the offender when the disclosure is directly related to the administration of the OYA and its programs.

(A) Information received by the OYA from OASDI, Veteran's Administration or the Workmen's Compensation Board, or information contained within child abuse investigation reports may not be released even with the authorization of the offender;

(B) Alcohol and Drug Treatment information may be released only when criteria in the federal regulations are met;

(C) Release of offender medical records or mental health information may be released only in compliance with Oregon Law.

(4) Copies of offender information used for ad hoc consultation (e.g., case staffing) and not needed for the consultant's permanent file, shall be promptly destroyed.

(5) When an OYA record or part of a record has been sealed or marked as expunged, the provisions of division 140 (Expunction of Records) of these rules shall apply.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 10-2000, f. & cert. ef. 12-12-00; OYA 12-2002, f. & cert. ef. 8-26-02

#### 416-110-0010

##### Requests for Case Record Information

Requests for case record information shall be processed in compliance with division 130 (Inspection and Copying of Public Records) of these rules.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 10-2000, f. & cert. ef. 12-12-00

#### 416-110-0020

##### Use of Case Record Information by OYA and Other Service Agencies

Unless otherwise prohibited by statutes, rules, or court order, the OYA may disclose information in order to administer programs and provide services to offenders. Social service agencies, courts, foster parents, service providers (including medical providers), and all agents of the OYA providing services to an offender at the request of the agency are subject to these rules and OYA policy and procedures discussing appropriate release of information. Reasons for disclosure include, but are not limited to:

(1) Juvenile or tribal court proceedings involving the jurisdiction, custody, placement, supervision or provision of services to an offender.

(2) A social service agency, service provider or agent of OYA for the purpose of arranging appropriate services for the affected offender and the offender's family, e.g., intensive family service workers, foster parents, youth care centers, private youth caring agencies, treatment centers, Indian social service or child welfare agencies, physicians and other health care providers, mental health professionals, volunteers, student interns etc.

(3) A legislator or committee member of a legislative body with a release signed by the offender. If the representative requests information to respond to an offender's letter, the OYA will consider the letter as authorization for release of information. If the representative requests information to respond to an offender's telephonic request, the OYA may briefly discuss the case if the representative can provide assurance that the offender has authorized disclosure and

there is neither physical inspection nor copying of the records by that representative.

(4) The Division of Child Support when information is needed in order to locate children or absent parents, and to establish support for offenders in OYA custody.

(5) To agencies for the purpose of program review or audit, with prior written authorization from the OYA.

(6) Divisions of the Department of Human Services that need information to determine an offender's eligibility for services or for administration of its programs.

(7) A law enforcement officer or a district attorney's office needing information for a child abuse assessment or criminal investigation or civil or criminal proceedings connected with administering the OYA's programs.

(8) Citizen Review Boards in connection with official duties of the board.

(9) A public disclosure in compliance with OYA policy, including, but not limited to instances where:

(a) An offender escapes from a secure facility or absconds from community placement; has been abducted or missing and believed to be in danger; or is missing and believed to be a threat to the welfare of others;

(b) Information indicates that the offender presents a clear and immediate danger to another person or society. Information shall be provided to proper authorities and the person or entity in danger.

(c) The OYA determines that providing public recognition is in the best interest of an offender in order to secure essential services for the offender or in recognition of a special achievement.

(10) The offender authorizes release of information by signing an appropriate release form.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 10-2000, f. & cert. ef. 12-12-00

#### 416-110-0030

##### Other Access

Other types of access to case record information include, but are not limited to:

(1) Judicial proceedings:

(a) Information from confidential records will not be divulged in any judicial proceedings unless it is directly connected with the administration of OYA programs, or when the offender has given written and specific authorization for such release, or when ordered by the court.

(b) Whenever any OYA staff member is served with a subpoena or any other legal process which might involve the release of confidential information, the staff will bring to the attention of the presiding judge the state and federal statute and regulations relating to confidentiality of the records in question and will ask the court's guidance in testifying. The staff will then answer questions at the direction of the judge.

(2) Research: The OYA may give approval to a person or organization to review records for the purpose of research, in accordance with division 170 (Approval of Research Projects) of these rules.

(3) Offenders or Authorized Representative:

(a) The offender may see only his/her record.

(b) OYA staff will review each request individually and the record reviewed before it is released to the offender for review. Material defined as exceptions may be temporarily removed from the record before it is released.

(A) The offender may read the record in the presence of an OYA staff person.

(B) The OYA may ask the Attorney General to review a request when it believes the release of information may be harmful to the offender.

(c) For Department of Corrections offenders temporarily assigned to OYA facilities, Department of Corrections rules also apply.

(d) An offender's appointed attorney may inspect and receive copies of the entire case record upon request.

(4) Parents:

(a) Reports and other materials relating to the youth offender's history and prognosis may be disclosed to parents upon request, as defined by Oregon law.

(b) The OYA may ask the Attorney General to review a request when it believes the release of information may be harmful to the offender.

(c) Unless ordered by the court to release the information, the OYA may withhold from a parent or guardian the address of the person caring for the offender if the OYA has reason to believe such action is necessary to protect the safety of the offender or the person caring for the offender.

(5) Law enforcement:

(a) Except as authorized by Federal or State law and OYA policy, employees shall not give law enforcement officers any information about offenders from case records, conversations, or sources obtained because the person is or has been a committed offender with the OYA.

(b) Information may be released in relation to a child abuse assessment or criminal investigation or civil or criminal proceedings connected with administering OYA programs.

(c) An offender's current address may be provided to law enforcement officers when all the following are true:

(A) The law enforcement officer provides the name and social security number of the offender;

(B) The officer satisfactorily demonstrates that the offender is a fugitive (as defined by the state), the location or apprehension of such fugitives is within the law officer's official duties, and the request is made in the proper exercise of those duties.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 10-2000, f. & cert. ef. 12-12-00

## DIVISION 120

### EXERCISE AND DELEGATION OF LEGAL CUSTODIAN AUTHORITY

#### 416-120-0000

##### Purpose

(1) Where the department has legal custody of a youth through a Voluntary Custody Agreement, a Court Order or a Release and Surrender Agreement, the OYA will exercise its authority through OYA staff, and through delegation to other persons as follows:

(a) Physical Custodian: The OYA will delegate to the youth's physical custodian its authority to consent to:

(A) The youth's registration in regular curriculum in public school;

(B) Making or changing the youth's schedule of classes in school;

(C) The youth's absence from school;

(D) The youth's participation in school and extracurricular activities;

(E) Purchase of school insurance for the youth;

(F) The youth's participation in school meals program.

(G) Routine medical care and dental care; including vaccinations and immunizations, routine examinations and lab tests;

(H) Application for workers permits or releases. The OYA delegates the forgoing responsibilities to the physical custodian by this Administrative Rule. This delegation shall continue as long as the youth is in the legal custody of the OYA and resides with the physical custodian. Any exceptions to this rule shall be given in writing to the youth's custodian and a copy will be maintained in the youth's case record.

(b) Workers, Supervisors and Camp Director: The youth's worker, supervisor, or the Camp Director where a youth is in camp residence, will exercise the OYA authority to give consent for:

(A) School testing;

(B) Access to academic or school behavioral records;

(C) Participation in outdoor school;

(D) Psychiatric or psychological evaluation, or outpatient psychiatric or psychological treatment for the youth.

(2) In addition, the worker, supervisor or Camp Director may exercise the OYA's consent authority to any actions to which the physical custodian may consent.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-120-0010

##### Exercise and Delegation of Guardian Authority

Where the OYA has legal custody of the youth through court order or a Release and Surrender Agreement, The OYA will exercise its authority through OYA staff as follows:

(1) Local Manager, Parole Manager, and Camp Manager will exercise the OYA consent authority to the following actions with respect to youth served by that office or facility respectively:

(a) Emergency and routine surgery;

(b) Major medical and surgical procedures that are not extraordinary or controversial;

(c) Admission to a state training center for the retarded, or to any state hospital or private hospital for purpose of psychiatric treatment;

(d) Enlistment of a youth in the Armed Forces or the Job Corps;

(e) Marriage;

(f) Registration in special schools;

(g) Application for driver's training, permits, and license;

(h) Interstate travel and international travel;

(i) Examination by law enforcement agency (e.g. polygraphs, interrogations without a warrant, etc.);

(j) Local Manager, Parole Managers, and the Camps Manager may exercise the OYA's consent authority to any action to which worker, supervisor or Camp Director may consent.

(2) Assistant Directors, Youth Correctional Facility Administrators: The OYA's consent authority to the following actions for a youth in its legal custody will be exercised only by the responsible Assistant Director or Youth Correctional Facility Administrator or in his or her absence another Assistant Director, or the Director:

(a) Abortion, except when a young woman age 15 or older exercised her statutory right to consent to her own abortion;

(b) Extraordinary or controversial medical or surgical procedures, such as organ transplants, kidney dialysis, open heart surgery or any procedure involving substantial life threat;

(c) Any medical or surgical procedure to which a legal parent or guardian of the youth is opposed;

(d) Sterilization under ORS Chapter 436, and only when such procedure is necessary to protect the youth's life;

(e) Assistant Directors, Youth Correctional Facility Administrators and the Director may exercise the OYA's consent authority to any action which other managers may consent.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-120-0020

##### Actions Not Authorized

(1) No OYA officer or employee will consent to educational planning which is defined as the responsibility of a surrogate parent.

(2) No OYA officer, employee, or agent will exercise the OYA's consent authority to the purchase of or ownership of a motor vehicle by a youth in legal custody of the Oregon Youth Authority. This prohibition does not prevent a youth in the legal custody of the OYA from exercising the right to purchase or own a motor vehicle on his or her own account.

(3) No OYA officer or employee shall co-sign or counter-sign any purchase contract for a youth in the department's custody.

(4) No OYA officer or employee will accept responsibility or serve as conservator of a youth's property or estate.

(5) No OYA officer, employee, or agent shall consent to the sterilization of a youth, except pursuant to ORS Chapter 436 and to save the youth's life.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**DIVISION 130**

**INSPECTION AND COPYING OF PUBLIC RECORDS**

**416-130-0000**

**Definitions**

(1) "Person" includes any natural person, corporation, partnership, firm or association.

(2) "Public Record" includes any writing containing information relating to the conduct of the public's business prepared, owned, used or retained by a public body regardless of physical form or characteristics.

(3) "Writing" means handwriting, typewriting, printing, photostating, photographing and every means of recording including letters, words, pictures, sounds or symbols, and all papers, maps, magnetic or paper tapes, photographic films and prints, magnetic or punched cards, disks, drums or other documents.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

**416-130-0010**

**Access**

Every person has a right to inspect any public record of the OYA, except as otherwise prohibited by law. The OYA will comply with all federal and state laws and rules concerning disclosure of information.

(1) The OYA will respond to written requests to view or obtain copies of records. If an exemption exists to prohibit such disclosure, the OYA shall notify the requestor in writing, stating the reason for the exemption.

(2) If the public record is maintained in a machine readable or electronic form, OYA shall provide copies of the public record in the form requested, if available. If the public record is not available in the form requested, it shall be made available in the form in which it is maintained.

(3) Upon request of a person with a disability for public records otherwise available to the requester under these rules, OYA will consult with that individual about making the requested records available in alternative print format at no additional cost to the requester.

(4)(a) A person denied access to OYA records may appeal the decision within seven days of receipt of the denial by writing to the person sending the denial notice and stating that an appeal is being requested.

(b) Following the decision in that appeal, a person denied access may petition the Attorney General's office to review the public record to determine if it may be withheld from public inspection. Persons appealing to the Attorney General's office shall form their petition in the manner prescribed by that office.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

**416-130-0020**

**Exemptions from Disclosure**

(1) The OYA will comply with exemptions from public disclosure that are defined in the Oregon Public Records Policy (ORS chapter 192), as well as other federal or state laws or rules that prohibit the release of specific types of information.

(2)(a) Individuals may request that a home address or personal telephone number that is otherwise available for public disclosure be exempt from such disclosure when the personal safety of the requestor or a family member residing with the requestor is in danger.

(b) Such requests shall be submitted in writing, signed by the requestor, and include the name or description of the public record that contains the information, the mailing address for the requestor, and evidence to establish that release of the information would constitute a danger. Such evidence includes:

(A) An affidavit, medial record, police report or court record showing that the individual is a victim of domestic violence;

(B) A citation or an order issued for the protection of the individual;

(C) An affidavit or police report showing that a law enforcement officer has been contacted concerning domestic violence, other physical abuse or threatening or harassing letters or telephone calls directed at the individual;

(D) Court records showing that criminal or civil proceedings have been filed regarding physical protection;

(E) A temporary restraining order or other no-contact order;

(F) A citation or court's stalking protective order;

(G) An affidavit or police report showing that the individual has been a victim of a person convicted of the crime of stalking, of violating a court's stalking protective order;

(H) A conditional release agreement providing protection for the individual;

(I) A protective order issued to protect the identity or place of residence;

(J) An affidavit from a district attorney or deputy district attorney stating that the person is scheduled to testify or has testified as a witness at a criminal trial, grand jury hearing or preliminary hearing and that such testimony places the personal safety of the witness in danger;

(K) A court order stating that the person is or has been a party, juror, judge, attorney or involved in some other capacity in a trial, grand jury proceeding or other court proceeding and that such involvement places the person in danger; or

(L) Other documentary evidence that establishes to the satisfaction of the public body that disclosure of the information would constitute a danger to the person.

(3)(a) The OYA shall notify the requestor in writing of its decision whether to grant such request.

(b) If the request is granted, the exemption is valid for five years, unless the requestor sends a written request to terminate the exemption before that time.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

**416-130-0030**

**Supervisor Review**

Prior to any person inspecting or copying a public record held by the OYA, the local OYA supervisor/manager shall review the request to determine whether the material may be exempt from public disclosure, as defined in federal and state laws or rules. If there is any doubt as to whether information contained in the record is exempt, the supervisor/manager shall consult with designated regional or state office staff in appropriate program or administrative role to clarify the situation.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

**416-130-0040**

**Time Frame for Inspection and Copy**

(1) The time frame for inspection and/or copying of records shall be as soon as reasonably possible from the date of the request, including time to locate and prepare the record.

(2) To protect its records and prevent interference with the regularly scheduled duties of its staff, OYA and the person requesting to inspect the record shall establish a reasonable time at which the records may be inspected.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

**416-130-0050**

**Viewing and Copying Procedures**

(1) Prior to allowing examination or copying of a public record, OYA staff shall review the record and separate any material which is exempt from disclosure from non-exempt material. The non-exempt material shall be made available for examination.



(2) OYA shall provide the person requesting examination a place to review the record. A person designated by OYA shall sit with the person reviewing the record in order to assure it is not altered in any way.

(3) The person viewing the record may designate pages to be copied, or may request copies of specific information contained in the record. Only OYA staff shall copy the designated material.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

#### 416-130-0060

##### Charges

(1) OYA shall charge for the cost of making the record available. Charges for record review and copying are limited to the actual cost of making the record available.

(2) "Actual cost" may include a charge for the time spent in locating the requested records, reviewing the records in order to delete exempt material, supervising a person's inspection of original documents, or copying records, including:

(a) The cost of current salaries, including other payroll expenses, of staff given these duties.

(b) Cost per page for copies at a cost established by OYA.

(c) When an Attorney General's review of the records is required by OYA, a charge will be made to cover the cost of that service.

(d) "Actual cost" includes the cost of search and review time even if the records located are subsequently determined to be exempt from disclosure.

(3) OYA shall inform the requestor of estimated charges and may require a deposit before acting on the request, or may require prepayment of actual costs before making the record available for inspection.

(a) If the actual charges are less than the deposit or prepayment, any overpayment will be promptly refunded; if actual charges exceed the deposit or estimate, the additional charge may be recovered from the requester.

(b) The requester may ask OYA for a waiver of the charges for the cost of making the record available. While it is in the public interest to make the information available, it is also in the public interest to obtain reimbursement for the actual costs of making the record available. OYA shall consider the following when evaluating a request for a fee waiver:

(i) The requester's commercial interest and ability to pay;

(ii) The extent of time and expense and interference with the business of the agency;

(iii) The extent of the sheer volume of the records;

(iv) The necessity to segregate exempt from non-exempt materials; and

(v) The extent to which an examination of the record by the requester is insufficient for the public interest or for the particular needs of the requester.

(c) If OYA denies the request for a waiver of all or part of the actual cost of providing the record, the requester may petition the Attorney General for a review of the denial of the waiver.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 192 & ORS 419A.255

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2000, f. & cert. ef. 12-12-00

## DIVISION 140

### EXPUNCTION OF RECORDS

#### 416-140-0000

##### Purpose

This rule describes the OYA process for modifying youth offender records, both manual and electronic, subsequent to a court expunction order.

Stat. Auth.: ORS 420A.025

Stat. Implemented: ORS 419A.262 & 420A.260

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2001 f. & cert. ef. 4-20-01

#### 416-140-0010

##### Release of Information

(1)(a) OYA complies with expunction orders by sealing or marking "expunged" on the records, not by destroying them. The intent of the expunction is not to erase all traces of OYA's relationship to the individual, but rather to prevent subsequent dissemination of expunged information to third parties.

(b) ORS 419A.260 defines "records" and exceptions from expunction.

(2)(a) Anyone who inquires about a person whose record has been expunged shall be told "No record of contacts exists" except when ordered by a court of competent jurisdiction to release the information.

(b) If an expunged record is provided, a copy of the court order will be placed in the record, and the following notation placed on the outside of the record: "Expunged records of (youth offender's name) accessed on (date) in compliance with (court order)."

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419A.260 & ORS 419A.262

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2001 f. & cert. ef. 4-20-01; OYA 1-2002, f. & cert. ef. 1-18-02

#### 416-140-0020

##### Responsibilities

(1) The Director of the OYA has authorized the Deputy Director or designee to sign and return the Expunction Order Statement to the Court.

(2) The OYA shall appoint a central Expunction Coordinator who shall coordinate the OYA response to the expunction order, including working with local expunction coordinators, contracts personnel and the trust accountant to ensure that the expunction is carried out within required timelines.

(3) The manager of each OYA facility who has responsibility for complying with expunction orders shall appoint a local Expunction Coordinator to ensure that the expunction is carried out within required timelines.

Stat. Auth.: ORS 420A.025

Stat. Implemented: ORS 419A.262 & 420A.260

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2001 f. & cert. ef. 4-20-01

#### 416-140-0030

##### Timelines

Within 21 calendar days of OYA's receipt of the order, the court issuing the expunction order is to receive an OYA Expunction Order Statement certifying the expunction has been completed.

Stat. Auth.: ORS 420A.025

Stat. Implemented: ORS 419A.262 & 420A.260

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2001 f. & cert. ef. 4-20-01

#### 416-140-0040

##### Procedures

The OYA Expunction Coordinator shall log incoming expunction orders and distribute notification forms, when necessary, to the appropriate OYA facility and other staff, and ensure that the expunction process is complete, including but not limited to:

(1) Contracts office records. Contract files related to the subject of expunction order are sealed;

(2) Electronic records. The OYA Expunction Coordinator shall ensure information within the Juvenile Justice Information System (JJIS) is sealed and work with the State Office to Services for Children and Families to ensure juvenile commitment information maintained by that agency is also sealed, according to court order;

(3) Record storage. The OYA shall maintain its expunged records in a locked, secure area as designated by the Department. These records are not maintained by the Oregon State Archivist.

Stat. Auth.: ORS 420A.025

Stat. Implemented: ORS 419A.262 & 420A.260

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2001 f. & cert. ef. 4-20-01



DIVISION 150

**INTERROGATION, POLYGRAPH  
AND ATTORNEY INTERVIEWS**

**416-150-0000**

**Purpose**

These rules establish guidelines for OYA staff and agents to follow to assure that the rights of youth are maintained.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-150-0010**

**Interrogation or Polygraph**

When a law enforcement agency (LEA) asks to interrogate or conduct a polygraph examination for a youth suspected of violating the law or having knowledge of a law violation, OYA staff and/or the youth's physical custodian will:

(1) Assure the officer has proper identification.

(2) Determine if the officer has a warrant. If there is a warrant, OYA will assist the LEA officer insofar as such assistance does not infringe upon the youth's right to remain silent and to have legal representation present;

(3) Advise the officer that no mechanical or electronic recording may be made of the interview.

(4) If the LEA does not have a warrant, make sure:

(a) The youth's legal guardian consents to the interrogation and/or polygraph.

(b) The youth's attorney, a staff person or the youth's custodian is present during the interview, and ensures that the interview is terminated if there is any indication of improper conduct on the part of the interrogator.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-150-0020**

**Attorney Interview**

When an attorney asks to interview a youth, the following shall apply:

(1) An attorney of record representing the youth may interview the youth privately. However, if the attorney, or the youth requests, a OYA staff member shall be present during the interview.

(2) An adversarial attorney shall not be permitted to interview a youth unless the youth's legal guardian consents to the interview and the youth's own attorney is also present.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-150-0030**

**Other Interviews**

When a request to interview a youth is received from representatives of the Social Security Administration, Veteran's Administration, Department of Revenue, insurance representatives, etc., staff and/or custodians will:

(1) Ensure that the requestor has proper identification.

(2) Determine if the interview is related to pending litigation or the youth may be a party to or a witness to an incident related to a litigation.

(3) Determine whether or not the youth should have legal counsel during the interview.

(4) Set the time and place of the interview.

(5) Inform the interviewers that no mechanical or electronic recording will be made of the interviews.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

DIVISION 170

**APPROVAL OF RESEARCH PROPOSALS**

**416-170-0000**

**Purpose and Scope**

(1) These rules establish the criteria the OYA will use to approve proposals to conduct research using OYA youth as subjects or access youth information to support research projects. All such proposals shall be submitted for approval prior to implementation of the project and in the manner prescribed in these agency rules, and related agency policy and local procedure.

(2) These rules apply to all youth within the legal and/or physical custody of the OYA, including those placed under supervision within the community in contracted residential treatment centers or youth offender foster homes, and adult offenders in the physical custody of the OYA.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C, ORS 420 & ORS 420A

Hist.: OYA 5-2000, f. & cert. ef. 6-15-00

**416-170-0010**

**General Standards**

(1) No research may be conducted without the expressed consent of the OYA in the manner prescribed in these rules, and related agency policy and local procedure, as defined by the OYA Research Review Board.

(a) In all instances, youth participation will be voluntary and the youth's confidentiality shall be protected.

(b) The OYA retains the right to review the compilation of data or completed report describing project outcomes, and to require a disclaimer if it believes assumptions about the data are flawed.

(2) The OYA will consider research proposals that benefit the agency or juvenile corrections as a whole, such as:

(a) Studies of the possible causes, effects, and processes of incarceration, and of criminal behavior;

(b) Studies of close custody systems or treatment programs as institutional structures or of youth as incarcerated persons;

(c) Research on conditions particularly affecting adjudicated youth as a class; and

(d) Research on practices, both innovative and accepted, which have the intent and reasonable probability of improving the health or well-being of the subject. In cases in which such research requires the assignment of youth to control groups that may not benefit from the research, the research proposal shall include discussion regarding the ethical considerations to support the project.

(3) The risk posed to subjects shall be no more than minimal and participation in the study shall represent no more than an inconvenience.

(4) Treatments, therapies, and procedures used in the project must be generally recognized and accepted as therapeutic.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C, ORS 420 & ORS 420A

Hist.: OYA 5-2000, f. & cert. ef. 6-15-00

**416-170-0020**

**Project Approval**

(1) The OYA's central Research Review Board ("the Board") will review project proposals prior to implementation. Following such review, the Board will submit a recommendation to the agency's Juvenile Policy Committee ("JPC") for final approval of the project. The decision of JPC is final.

(2) The Board may recommend agency approval of research projects only if it finds that:

(a) The research question is relevant and of importance to the agency or juvenile corrections as a whole;

(b) The implementation of such project does not cause undue expense or utilization of agency resources or compromise safety/security, agency mission, or state or federal laws;

(c) The advantages to the youth are not of such a magnitude as to affect the youth's ability to weigh the risks of the research against the value of such advantages in the limited-choice environment within facilities or programs;

(d) The risks involved in the research are commensurate with the risks that would be accepted by non-adjudicated volunteers;

(e) Procedures for selection of subjects within the facility are fair to all youth and immune from arbitrary intervention by facility/program personnel or other youth; unless there is written justification for following some other procedures, control subjects shall be selected randomly from the group of available youth who meet the characteristics needed for the particular research project.

(f) Adequate assurance exists that the youth's participation in the project will not be used to affect the youth's release or the granting of privileges.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C, ORS 420 & ORS 420A

Hist.: OYA 5-2000, f. & cert. ef. 6-15-00

#### 416-170-0030

##### Research Review Board Duties

The Board will:

(1) Represent the agency's regions, facilities/programs, stakeholders, and youth, and include persons with the technical knowledge and ability to review project methodology and outcomes;

(2) Develop procedures to ensure that proposals are reviewed in a timely manner appropriate to the type of proposal submitted, including but not limited to:

(a) Development of proposal review processes that are specific to the type of access requested, such as separating requests for youth case file information from requests for youth-direct access;

(b) Development of minimum standards that define research staff access to OYA facilities and youth, including but not limited to standards for a criminal history check process, youth case file confidentiality, and appropriate safety/security measures;

(c) Development of review standards that ensure project proposal has received appropriate review for ethical considerations related to human subjects research.

(3) Meet on a regular basis, as defined by the membership, and in a manner designed to facilitate the approval process;

(4) Review all research proposals and submit recommendations for approval/denial of such requests to the agency JPC for final approval;

(5) Review the resulting data or project report and recommend to the JPC whether a disclaimer is necessary;

(6) Assist in the development of a project summary for distribution to the agency-at-large.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C, ORS 420 & ORS 420A

Hist.: OYA 5-2000, f. & cert. ef. 6-15-00

## DIVISION 180

### ADMINISTRATION OF THE JUVENILE JUSTICE INFORMATION SYSTEM (JJIS)

#### 416-180-0000

##### Purpose and Scope

The purpose of these rules is to set forth procedures by which the Juvenile Justice Information System ("JJIS") will be administered by the state through the Oregon Youth Authority ("OYA"), in conjunction with its partners within the juvenile justice community.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.223

Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

#### 416-180-0010

##### Project Vision

Oregon strives to have a juvenile justice system that provides a continuum of services and shared responsibility among state and local organizations that serve a common population of juvenile offenders. To do so, an information system that supports shared information and common goals is necessary. The JJIS project is a collaborative juvenile justice information system, designed with core values of information sharing and continuum of service.

(1) The vision of the JJIS project is: To promote public safety, youth accountability, and juvenile justice system accountability; and

to offer opportunities for rehabilitation to youth, through the development of a statewide juvenile justice information system that:

(2) Provides a single comprehensive view of information about youth in the juvenile justice system across state, county, and local agencies;

(3) Aids in the overall planning, development, and evaluation of programs designed to reduce juvenile crime; and

(4) Supports comprehensive case management, planning, and evaluation of juveniles involved in the justice process in support of each partner agency's mission and mandate.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.223

Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

#### 416-180-0020

##### Steering Committee

The JJIS project will be administered by the state of Oregon through the OYA, with continual project oversight vested with the JJIS Steering Committee.

(1) The Steering Committee will consist of juvenile justice partners who will adopt the JJIS vision and goals. The Steering Committee will review the project to insure its viability and the appropriate deployment of resources. The Steering Committee's responsibilities include, but are not limited to:

(a) Development of data collection information and processes;

(b) Assignment of duties between partnering state and local agencies;

(c) Determination of system features, including prioritizing development and implementation of such features; and

(d) Final approval of JJIS policy and procedure, decisions relating to implementation and maintenance of system and upgrades, and training.

(2) The Steering Committee may develop advisory groups, as necessary, to reach JJIS goals.

(3) The Steering Committee membership shall include both internal and external partners. Internal partners are those organizations who will directly record data, report information, or manage youth offender caseloads using JJIS. External partners will share information with JJIS but will not input data directly into the JJIS system or database.

(a) The Steering Committee shall include the following members:

(A) Three OYA representatives, including the Steering Committee chairperson, appointed by the OYA Director;

(B) Five county juvenile department directors, including the Steering Committee co-chair, appointed by the Oregon Juvenile Department Directors Association ("OJDDA"); and

(C) One representative from:

(i) Department of Administrative Services, Information Resource Management Division;

(ii) Department of Corrections;

(iii) Oregon State Police/Criminal Justice Information System;

(iv) Judicial Department;

(v) Department of Human Services; and

(vi) Department of Education.

(b) The Steering Committee members may appoint advisory members, as necessary.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.223

Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

#### 416-180-0030

##### Intergovernmental Agreements

(1) Intergovernmental agreements shall be developed between internal partners that outline the division of state and county roles and costs; intergovernmental agreements may be written to describe such roles of external partners, as determined by the Steering Committee. Such agreements between internal partners shall include, but not be limited to, discussion of:

(a) Reporting requirements;

(b) Data requirements;

(c) Costs associated with the system;

(d) Provisions for system security.

(2) The language of the intergovernmental agreements shall be approved by the Steering Committee and reviewed on a timeline determined by the Steering Committee. Revisions to the intergovernmental agreements require prior approval of the Steering Committee.

Stat. Auth.: ORS 420A.025  
Stats. Implemented: ORS 420A.223  
Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

#### 416-180-0040

##### JJIS Policy and Procedure Development

(1) The Steering Committee shall define a process whereby JJIS policy and procedures are developed and approved. JJIS policy and procedure shall be contained within JJIS Policy/Procedure Manual(s); each participating state and county agency is responsible to ensure that its daily operations adhere to the standards contained within such manual(s).

(2) This process shall require that all draft policies and procedures be reviewed by the OYA Rules/Policy Coordinator and a county juvenile department director who is a member of the JJIS Steering Committee prior to final consideration by the Steering Committee. The Steering Committee has final authority to approve all JJIS policies and procedures.

Stat. Auth.: ORS 420A.025  
Stats. Implemented: ORS 420A.223  
Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

#### 416-180-0050

##### Security of Information

(1) The JJIS system shall comply with all federal, state, and local laws regarding public information and confidentiality, as well as information technology standards set forth by the Oregon Legislature, the Department of Administrative Services, and the Criminal Justice Information Standards. The Steering Committee shall establish methods for data interchange and information access between partnering agencies that comply with such laws and standards.

(2) JJIS partners shall conform to system security measures, as defined by the JJIS Policy/Procedure Manual(s) and implemented at the local level through related procedures, to protect the integrity of the system.

(3) Persons are prohibited from using the JJIS system or JJIS data for their own interest, advantage, personal gain, or for any private purpose. To avoid potential conflicts of interest, persons with clearance to make entries into the JJIS shall notify their immediate supervisor in writing as soon as he/she becomes aware of the following situations.

(a) A relative or close personal acquaintance is a youth whose case appears on the JJIS system.

(b) An employee is the victim, or has a relative, spouse, or close personal acquaintance who is the victim of a crime committed by a youth whose case appears on the JJIS system.

(c) The written notification shall indicate the name of the youth and the relationship to the employee. The supervisor shall monitor the employee's access privileges so long as the potential conflict of interest exists, in accordance with local procedures.

Stat. Auth.: ORS 420A.025  
Stats. Implemented: ORS 420A.223  
Hist.: OYA 4-2000, f. & cert. ef. 6-5-00

## DIVISION 250

### OYA AUDIT GUIDELINES

#### 416-250-0000

##### Purpose and Scope

(1) These rules establish an OYA procedure for audits of any service provider agreeing to offer services through direct contract with the OYA, and the provider's subcontractors and vendors. These rules also establish basic record keeping standards for programs subject to audit under these rules, establish procedures for appealing audit findings, and set out a process to implement the findings of the final audit report.

(2) Under these rules, the OYA may audit any service provider that provides any part of OYA services. The scope of the audit shall include only OYA funds or related matching funds. However, OYA may include other funds in its tests to the extent necessary to audit OYA funds or matching funds.

Stat. Auth.: ORS 420A.025  
Stats. Implemented: ORS 420A.010  
Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0010

##### Definitions

(1) "Audit" means the examination of documents, records, reports, systems of internal control, accounting and financial procedures, and other evidence for one or more of the following purposes:

(a) To ascertain whether the financial statements present fairly the financial position and the results of financial operations of the fund types and/or account groups in accordance with Generally Accepted Accounting Principles and federal and state rules and regulations;

(b) To determine compliance with applicable laws, rules, regulations and contract provisions;

(c) To review the efficiency and economy with which operations are carried out; and

(d) To review effectiveness in achieving program results.

(2) "Capital construction" is an expenditure related to construction or remodeling of physical facilities with a projected cost of \$250,000 or more.

(3) "Capital improvement" is an expenditure related to construction or remodeling of physical facilities with a projected cost of more than \$5,000 but less than \$250,000.

(4) "Capital outlay" is purchases of equipment and tangible personal property of a non-expendable nature which have a useful life of more than one year. The minimum dollar threshold for determining if a purchase is capital outlay can not exceed the amount set for state purchases of capital outlay. The current threshold for the State of Oregon is \$5,000, however, a lesser amount may be used.

(5) "Direct contractor" means a person or organization which operates under a direct contract with the OYA to provide services to youth offenders in OYA's care.

(6) "Internal auditor" means auditors within the OYA.

(7) "Internal control structure" means the plan of organization including all of the methods and measures adopted within a business to safeguard its assets, check the accuracy and reliability of its accounting data, and promote operational efficiency and adherence to management's policies.

(8) "Non-allowable expenditures" means expenditures made by a contractor or subcontractor of the OYA which are not consistent with relevant federal and state laws, rules, regulations or contract provisions. To be allowable, expenditures must be necessary and reasonable for the proper and efficient performance of the contracted services. If only state funds are involved, expenditures will be evaluated based on state laws and rules, the contract provisions, and whether they are necessary and reasonable for the proper and efficient performance of the contracted services. When federal funds are involved, determination of allowable expenditures includes, but is not limited to, those rules and regulations itemized and referred to in applicable Office of Management and Budget circulars.

(9) "Reasonable cost" means a cost that in nature or amount does not exceed that which would be incurred by a prudent person under the circumstance prevailing at the time the decision was made to incur the cost. Consideration shall be given to whether the cost is of a type generally recognized as ordinary and necessary for the operation of the organization; what restraints or requirements exist such as those imposed by factors of generally accepted sound business practices, federal and state laws and regulations, and terms and conditions of the contract; whether the individuals concerned acted with prudence in the circumstances, considering their responsibilities to the organization, their employer, their clients, the public and the governments; and whether significant deviations from the organization's established practices unjustifiably increase costs.



(10) "Service provider" means a public or private community agency or organization contracted by the OYA that provides recognized OYA service(s) either directly or through subcontractors or vendors, and is approved by the OYA or other appropriate agency to provide these service(s). For the purpose of this rule, "provider" or "program" is synonymous with "service provider."

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0020

##### Revenue

(1) A service provider shall maintain a revenue account for each income source which results from the operation of the service or is used to support the service. For example, separate revenue accounts shall be established for each program for which the provider receives payment from OYA, direct federal payments, donations, fees, interest earned, rentals collected from subleases, sales of capital equipment, training grants or any other source of income.

(2) Only cash revenue may be used to match state funds unless the OYA gives prior authorization in writing to use contributed services or property to match state funds.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0030

##### Expenses

(1) A service provider subject to audit under these rules shall keep its accounting records consistent with Generally Accepted Accounting Principles. Accounting records shall be retained for three years from the date of the expiration of the OYA's agreement or from the finalization of an audit, whichever comes later. Allocation methods for expenses shall be documented. Relevant calculations representing allocations shall be shown. The allocation method shall reasonably distribute expenses shared by service providers or programs. Charges assessed against a service provider by a related organization shall be justified by the related organization as to the method and reason for relevant cost allocation. The expense invoice shall list the location where services and supplies purchases are delivered for any item in excess of \$1,000.

(2) Record requirements for personal services:

(a) Reports reflecting the distribution of labor of each employee must be maintained for all staff members, professional and non-professional, whose compensation is charged in whole or in part to OYA funds. To support the allocation of indirect costs, such reports must also be maintained for other employees whose work involves two or more functions or activities if a distribution of their compensation between such functions or activities is needed in the determination of the organization's indirect cost rate(s). Reports maintained to satisfy these requirements must meet the following standards:

(A) The reports must reflect an after-the-fact determination of the actual activity of each employee. Budget estimates (i.e., estimates determined before the services are performed) do not qualify as support for charges to OYA funds;

(B) Each report must account for the total activity for which employees are compensated and which is required in fulfillment of their obligations to the organization;

(C) The reports must be signed by the individual employee, or by a responsible supervisory official having first-hand knowledge of the activities performed by the employee, to attest that the distribution of activity represents a reasonable distribution of the actual work performed by the employee during the periods covered by the reports;

(D) The reports must be prepared at least monthly and must coincide with one or more pay periods;

(E) Periodic time studies, in lieu of ongoing time reports, may be used to allocate salary and wage costs. However, the time studies used must meet the following criteria:

(i) A minimally acceptable time study must encompass at least one full week per month of the cost reporting period.

(ii) Each week selected must be a full work week (e.g., Monday to Friday, Monday to Saturday or Sunday to Saturday).

(iii) The weeks selected must be equally distributed among the months in the cost reporting period, e.g., for a 12 month period three of the 12 weeks in the study must be the first week beginning in the month, three weeks the second week beginning in the month, three weeks the third and three weeks the fourth.

(iv) No two consecutive months may use the same week for the study, (e.g., if the second week beginning in April is the study week for April, the weeks selected for March and May may not be the second week beginning in those months).

(v) The time study must be contemporaneous with the costs to be allocated. Thus, a time study conducted in the current cost reporting year may not be used to allocate the costs of prior or subsequent cost reporting years.

(vi) The time study must apply to a specific provider. Thus, chain organizations may not use a time study from one provider to allocate the costs of another provider or a time study of a sample group of providers to allocate the costs of all providers within the chain.

(b) Any person being compensated for services to a service provider who is not an employee of the organization shall have a written contract with the service provider. The contract shall set forth the specific services being purchased, the contract time period, the rate at which compensation will be paid and an hourly rate where applicable.

(3) Record requirements for capital expenditures:

(a) Depreciation for capital outlay, capital improvements, and capital construction shall be documented in a depreciation schedule. The depreciation schedule at a minimum shall include a description of the asset, date of acquisition, cost basis, depreciation method, estimated useful life, annual depreciation expense and accumulated depreciation.

(b) Any capital expenditures purchased by a service provider using OYA funds shall be listed on an inventory system showing location of item and reference to purchase invoice and payment receipt location. The inventory shall be checked annually and verification of the inventory list signed by the inventory control person. All capital items purchased with OYA funds must be used in an OYA approved program.

(4) Reasonable procedures will be established to ensure the security of cash, blank checks, purchase orders, check protector machines, and signature stamps.

(5) A service provider must expend funds consistent with an agreement or direct contract, these rules, the required program or licensing rule, and federal and state requirements. For services contracted with a predetermined rate, OYA funds not used in delivering the service of the required quantity and quality shall be classified as carryover. Carryover of OYA administered funds shall be spent for OYA services. These funds shall be kept in restricted accounts in the financial records. Funds spent on unallowed costs shall be considered noncompliance and shall be returned to OYA.

(6) All travel expenses shall be supported by a system of authorized trip reports, receipts, and/or other documentation. Authorization is indicated by approval of the travel expenditure by the Director (or person with delegated authority) of the service provider.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0040

##### Audit Process and Reports

(1) Any person, organization, or agency, including OYA, may request an audit of a service provider by submitting an audit request in writing to the OYA Director's Office. The request shall clearly identify the service provider to be audited, setting forth its name, location, program director, the period for which the audit is requested and the reason for the request.

(2) The OYA Director's Office shall review the request and arrange for an audit if considered appropriate.

(3) The OYA Director's Office has discretion to notify the appropriate service provider program director of the scheduled audit



in advance. The OYA retains the right to perform an audit without prior notice to the subject service provider.

(4) Upon completion of the audit, the OYA shall prepare a report setting forth the findings, recommendations, and auditee responses where applicable. Audit work papers shall be available showing the details of the audit findings.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0050

##### Disposition of Audit Findings

(1) To the extent an audit documents non-allowable expenditures in non-capitated programs, the OYA shall recover such funds.

(2) To the extent an audit report evidences non-compliance with applicable program and/or licensing rules, the audit findings may be referred to the Director of the OYA to assess civil penalties, where applicable, or for other corrective action deemed necessary by the OYA.

(3) Notwithstanding any other provisions of these rules, to the extent an audit report reveals non-compliance with Generally Accepted Accounting Principles or these rules, OYA may require corrective action to bring the deficiencies into compliance with state and federal rules and regulations. Non-compliance which results in substantial misrepresentation of financial activities may result in termination of the license and/or contract.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0060

##### Provider Appeals

(1) A provider may appeal certain decisions affecting the provider by making a written request to the OYA Director's Office. The request must state whether the provider wants an administrative review, and/or a contested case hearing, as outlined in the OMAP General Rules OAR 410-120-1560, Provider Appeals, through 410-120-1840, Provider Hearings-Role of Hearings Officer. If the subject service provider decides to appeal the audit, it shall set forth in writing the reasons for its appeal within 30 days of receipt of the report.

(2) When OYA seeks to recover funds under these rules, OYA shall negotiate the terms and conditions of repayment with the audited service provider.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0070

##### Basic Accounting Records

(1) A service provider subject to audit under these rules shall maintain a chart of accounts that defines all items included in determining the cost for each program. The chart of accounts shall list all revenues and expense accounts.

(2) The organization shall have bank deposit records and documentation to verify the source of revenue. Revenue and expense accounts, with related asset, liability, and equity accounts, shall account for all expenditures related to delivery of the program.

(3) All basic accounting records shall be retained for at least three years following the expiration of the contract or from the finalization of an audit including any appeal, whichever is later.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0080

##### Internal Controls

Establishing and maintaining an internal control structure is the responsibility of the service provider. Effective internal controls are considered essential to achieving the proper conduct of business with full accountability for the resources made available. Internal controls shall be implemented and maintained to provide reasonable assurance that:

(1) The provider identifies, assembles, classifies, records, analyzes, and reports its transactions in conformity with Generally Accepted Accounting Principles or appropriate regulatory requirements for preparing financial statements and other required financial reports;

(2) Losses or misappropriations of assets due to errors or irregularities in processing transactions and handling the related assets are prevented or detected;

(3) Noncompliance with applicable federal and state laws and rules and regulations and terms of the contract is prevented or detected;

(4) State and federal funds are reasonably, prudently and economically spent; and

(5) All costs are appropriately allocated among programs, departments, and other benefiting units.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

#### 416-250-0090

##### Independent Audit Reports

The OYA may, at its discretion, accept an independent audit, in lieu of an OYA audit, if it determines the work papers and procedures of the independent auditor meet Government Auditing Standards (where applicable), Generally Accepted Auditing Standards and other audit standards which may be adopted by the OYA.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010

Hist.: OYA 4-2001, f. & cert. ef. 4-20-01

## DIVISION 260

### TRUST ACCOUNTS

#### 416-260-0010

##### Purpose

(1) These rules describe how the OYA establishes and maintains trust accounts for youth offenders in its custody.

(2) Definitions:

(a) "Care" means services provided to meet the needs of a youth offender, i.e. food, shelter, clothing, medical care, schooling, protection, supervision, etc.

(b) "Financial accounting" means a detailed accounting of money spent by OYA for care of a youth and the amount of trust money, by funding source, reimbursed to OYA for these items.

(c) "Maintenance account" means a sub-section of a youth's trust account used to account for funds that may be used to pay for the youth's cost of care.

(d) "Special account" means a sub-section of a youth's trust account used to account for funds received for a youth for purposes other than paying for the youth's cost of care.

(e) "Termination of custody" means relinquishment of OYA custody as a result of a court order.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0020

##### Establishing Youth Offender Trust Accounts

A trust account shall be established for a youth offender when placed in OYA's custody. This account shall include both a maintenance and a special account in which all revenue received on a youth offender's behalf shall be recorded.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0030

##### Sources and Uses of Maintenance Account Money

(1) All money received for the purpose of caring for a youth offender in OYA's custody, and interest earned thereon, shall be deposited into the youth offender's maintenance account. The maintenance account shall include sub accounts to separately track money and interest earned by source as follows:

- (a) Social Security;
- (b) Supplemental Security Income (SSI);
- (c) Supplemental Security Income Dedicated (SSI Dedicated);
- (d) Court-ordered support;
- (e) Other sources.

(2) Money available in a youth offender's maintenance account shall be applied against costs OYA expended for care of that youth offender.

(3) Youth offenders in OYA custody and placed in an unpaid placement may have monthly needs met from certain money available in their maintenance account. OYA shall determine prior to forwarding money that a financial need exists. The maximum amount to be forwarded varies by source. For example:

(a) Benefits such as Social Security, Veteran's, and Railroad Retirement shall not exceed the month's benefit;

(b) SSI benefits shall be returned to the Social Security Administration (SSA);

(c) Voluntary support is limited only by financial need;

(d) Court-ordered support may not be used for this purpose.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0040

##### Sources and Uses of Special Account Money

(1)(a) Money received for a youth offender for purposes other than paying for that youth offender's cost of care shall be deposited into the youth's special account. Sources of money include the youth offender's earnings, restricted money gifts, restricted inheritances, money brought with the youth when entering OYA's custody, interest earned on special account money, etc.

(b) All money not specifically designated for a purpose other than the youth offender's cost of care will be considered available for care of the youth offender and shall be deposited in the youth offender's maintenance account.

(2) Special accounts are used to pay obligations incurred by youth offenders.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0050

##### Financial Accounting

Financial accountings shall be completed as required for legal proceedings, audits, etc. In addition, financial accountings shall be completed when a maintenance account balance exists and the youth offender's custody from OYA has been terminated.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0060

##### Clearing a Trust Account Upon Termination of Custody

(1)(a) When OYA's custody of a youth offender is terminated, funds available in the trust accounts shall be disbursed and accounts "zeroed out" based on a closing financial accounting.

(b) Maintenance account money shall be used to reimbursed OYA expenditures in the following priority:

- (A) Court-ordered support;
- (B) Social Security;
- (C) Voluntary support;
- (D) Veterans;
- (E) SAIF;
- (F) Civil service annuities;
- (G) Military allotments;
- (H) Railroad;
- (I) Other;
- (J) SSI.

(2)(a) Special account money shall be released to the youth offender or legal guardian no earlier than six weeks after leaving close custody, and at the parole officer's discretion if the youth remains in OYA custody.

(b) Accounts with balances less than \$5 shall not be disbursed.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

#### 416-260-0070

##### Unclaimed Special Account Balances

(1) OYA shall identify special account balances which are unclaimed and abandoned two years from the date OYA's custody terminated, in accordance with the Uniform Disposition of Unclaimed Property Act.

(2) OYA shall diligently attempt to locate youth offenders who have special account balances of at least \$100.

(a) At a minimum, a letter shall be sent to the youth offender's last known address stating there is a trust account balance with OYA and the youth offender has thirty (30) days from the date of the notice to claim the account.

(b) If the notice is returned because the youth offender moved leaving no forwarding address, or the 30 days elapses without a response, OYA shall forward the special account balance to the Division of State Lands in accordance with that agency's administrative rules.

(3) Special accounts with balances less than \$100 shall be forwarded to the Division of State Lands in accordance with that agency's administrative rules.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.030 & ORS 420A.032

Hist.: OYA 5-2001, f. & cert. ef. 4-20-01

### DIVISION 300

#### CONDITIONS FOR PAROLE YOUTH OFFENDER FOSTER CARE AND REVOCATIONS

#### 416-300-0000

##### Applicability and Purpose of Rules

OARs 416-300-0010 through 416-300-0120 pertain to and govern only parole and youth offender foster care placements (and revocations thereof) of youths from the Youth correctional facilities and related camps. The rule prescribes and describes essential procedures, youth rights, due process, etc.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0010

##### Definitions

(1) "Administrative Status": The location of a youth within the Oregon Youth Authority (OYA), Youth Correctional Facility, Camp, Parole, Youth offender Foster Care, Youth Care Center, AA (authorized absence from a Youth Correctional Facility, or a Camp), UA (unauthorized absence from any status except termination); and Termination (of the commitment to the OYA).

(2) "OYA": The Oregon Youth Authority or the Director or staff of the department.

(3) "Committing Court" The judicial court that committed a youth to the custody of OYA for placement at a youth correctional facility.

(4) "Youth Offender Foster Care Placement" The conditional release subject to revocation, of a youth to a person or persons who provide care and supervision in a youth offender foster home subject to continued control of the Community Services Unit of the OYA.

(5) "Youth Offender Foster Home": A family home other than the youth's own home, chosen and certified or licensed by OYA to provide youth offender foster care to one or more youth outside a youth correctional facility. Foster parents do not, by virtue of the placement, acquire legal custody or guardianship of the youth. (ORS 419.507(7) and 419.511(3)).

(6) "Hearing Committee": Conducts revocation hearings to consider allegations of violations of conditions of parole or youth offender foster care placement. The committee is composed of three staff persons (not necessarily the same persons for every hearing), none of whom have brought the charge(s) against the youth.

(7) "Hearing Officer": The person designated by the superintendent to conduct a preliminary revocation hearing for a youth correctional facility youth.

(8) "Parole": The conditional release subject to revocation of a youth to a person or persons who thereupon acquire temporary legal custody and provide care and supervision subject to continued control by the Community Services Unit of the Oregon Youth Authority.

(9) "Parole and Probation Officer": The field counselor employed by the Community Services Unit of the Oregon Youth Authority who works with the youth, his/her family and the community.

(10) "Preliminary Hearing": A hearing in which facts are presented and it is determined whether or not there is probable cause to believe a violation of one or more conditions of parole or youth offender foster care placement have occurred. The preliminary hearing may also be used to determine whether or not the youth's health or welfare or the best interest of the community require that the youth return to the youth correctional facility even though the conditions of parole or youth offender foster care have not been violated.

(11) "Superintendent": A manager and director of a youth correctional facility. For purposes of placement and revocation of parole or youth offender foster care, the term also includes the director of OYA.

(12) "Revocation Hearing": A hearing to consider testimony and documentary evidence in order to determine whether one or more violations of conditions of parole or youth offender foster care placement have occurred, whether the violations require revocation and whether there are substantial reasons which make revocation inappropriate. The revocation hearing may also be used to determine whether or not the youth's health or welfare or the best interest of the community requires the revocation of parole or youth offender foster care even though the conditions of parole or youth offender foster care have not been violated.

(13) "Youth Correctional Facility (YCF)": Close custody programs operated by the Oregon Youth Authority.

(14) "Youth": A person committed by a court to a youth correctional facility regardless of administrative status.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0020

##### Understandings and Conditions

Upon belief that a youth is ready for temporary release from the YCF, the superintendent of the YCF may, after advising the committing court, conditionally release the youth on parole or conditionally place the youth in a youth offender foster home, subject to the youth's ability and willingness to understand and sign, prior to placement, a written Community Placement Agreement which will include, but is not limited to, the following understandings and conditions:

(1) Understandings:

(a) That community placement is a conditional release from the YCF, which does not restore full freedom;

(b) That if the youth is placed on parole, the persons with whom the youth is placed will have legal custody of the youth during parole; or, that if placement is with youth offender foster parents, the YCF retains the legal custody; and, that in either event the YCF remains legal guardian of the youth's person;

(c) That the conditions are subject to modification at any time during the community placement in order to increase or decrease the degree of supervision and restraint or to change placement;

(d) That parole or youth offender foster care placement may be revoked if any of the written conditions are unmet or violated;

(e) That even though the conditions of parole or youth offender foster care have not been violated or have been met, the youth may be returned to the YCF if in the opinion of the superintendent the youth's health or welfare or the best interest of the community requires the youth's return. Such return may, depending on circumstances, result in a revocation of the parole or the youth offender foster care placement, but shall not be deemed a violation of parole or youth offender foster care. The youth may be replaced in a foster

home or reparaoled when in the opinion of the superintendent the youth is ready for release and suitable placement is available. Prior to return of a youth to the YCF for the reasons described in this rule, the youth shall be afforded the same procedural protections as would apply if violation of the conditions of parole were charged.

(2) Conditions: During any form of community placement the youth must:

(a) Remain within the control and care of the persons having custody or the foster parents;

(b) Obtain prior approval from the parole officer before a change of residence or an overnight absence from the residence;

(c) Keep the parole officer advised of any change of the residence address;

(d) Obey all federal and state laws and all county or city ordinances;

(e) Obtain prior approval from the parole officer before leaving the State of Oregon for any reason;

(f) Abide by the requests, decisions, direction and counsel of the parole officer as outlined in the Community Placement Agreement;

(g) Abide by any special conditions written into the placement agreement.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0030

##### Revoking Parole or Youth Offender Foster Care Placement

(1) A revocation of parole or placement shall not proceed if conditions of parole or placement have not been violated, except as provided in OAR 416-340-0030(1)(e).

(2) Not every violation of conditions shall automatically result in revocation of parole or placement. The parole officer and the parole officer's supervisor must believe that the violations are serious enough and/or constant enough to indicate that the youth is not adjusting properly or cannot be counted on to substantially abide by the conditions of parole or placement.

(3) The first step toward revocation must be a parole officer's report and recommendation to revoke, made to the officer's supervisor or the supervisor's administrative substitute. The parole officer's report and recommendation may first be made verbally, but in any event must be confirmed in writing.

(4) In reporting alleged parole or placement violations, the parole officer shall state allegations and verifiable facts, and provide insofar as possible an accurate account of the youth's behavior. The parole officer's supervisor shall review with the parole officer the report of alleged violations and the supporting information and the parole officer's recommendations as well as alternative actions that may be taken.

(5) If the supervisor agrees to the probable need for revocation, a preliminary revocation hearing will be conducted.

(6) Unless the parole officer's supervisor is satisfied that the youth will appear at the preliminary hearing and is not a threat to themselves or the community, the youth shall be detained until hearing is held.

(7) If the youth is to be returned to the YCF for a preliminary hearing, the parole officer's supervisor shall promptly notify the YCF of the alleged violations prior to the youth's return and shall forward to the YCF as promptly as possible all documentary evidence to be used at the preliminary hearing.

(8) A youth may be placed in a work/study camp from a community placement for up to five working days (excluding weekends and holidays) without completing a revocation process. The following procedures must be adhered to in these cases:

(a) A parole supervisor or the supervisor's administrative substitute must authorize the placement;

(b) The youth must have a preliminary revocation hearing within this five working-day period;

(c) The youth must be released from the work/study camp to a placement in the community within five working days. If the youth is not released within five working days, he/she must be granted all of the rights and privileges extended in OAR 416-300-0040 through



416-300-0060, and he/she must be granted a new preliminary revocation hearing;

(d) The administrative status the youth was in prior to entering the work/study camp shall not be changed during the five working days, or less, that the youth resides in a work/study camp or until the youth is placed there under revocation procedures, whichever comes first.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0040

##### Notice of Preliminary Hearing

(1) Within a reasonable time prior to the preliminary hearing, the hearing officer shall cause the youth to be provided with written notice which shall contain the following information:

(a) A concise statement of each alleged violation and the supporting evidence relevant thereto;

(b) The youth's right to a preliminary hearing and the time and place of the hearing;

(c) The fact that the purpose of the hearing is to determine whether there is probable cause to believe the youth has committed a violation of the conditions of parole or youth offender foster care, and if there is any such violation, whether there are substantial reasons which mitigate or justify such violation or which would make revocation inappropriate. (If the youth is or might be considered a candidate for revocation of parole or youth offender foster care placement due to his or her health or welfare, the notice should be appropriately so worded);

(d) The names of persons who have given adverse information upon which the alleged violation is based and the right of the youth to have these persons present at the hearing for the purposes of confrontation and cross-examination unless the hearing officer determines that there is good cause for not revealing the names or for not allowing confrontation. (If names of persons or witnesses giving adverse information are omitted from the notice, each such person shall be listed on the notice as "Name Withheld");

(e) The youth's right to admit or deny the allegations and present letters, documents, affidavits or persons with relevant information at the hearing in support of his/her defense or contentions;

(f) The youth's right to be represented by an attorney at his/her own expense or to the assistance of counsel at YCF expense under certain limited circumstances see OAR 416-300-0060(7).

(2) The youth's parents or guardians shall also receive written notice of the preliminary hearing, if practicable.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0050

##### Preparation for Preliminary Hearing

Prior to the preliminary hearing, the person appointed to conduct the hearing shall assure himself or herself that the youth:

(1) Is informed of and understands the alleged violations.

(2) Is provided copies of all documentary evidence pertaining to the alleged violations which will be used against him/her at the preliminary hearing.

(3) Has a reasonable time within which to prepare for the hearing.

(4) Has all the evidence and witnesses at the hearing which the youth needs to establish his or her defense.

(5) Is capable of effectively speaking for himself or herself.

(6) Has been informed of his or her rights to appear with counsel at his or her own expense or to request counsel at YCF expense under the limited circumstances set forth in section (7) of this rule.

(7) Has been provided counsel at YCF expense where the hearing officer finds that the youth is indigent and that the circumstances suggest that counsel is necessary to protect the rights of the youth. In general, the presence of any of the following circumstances militate in providing counsel:

(a) The youth for whatever reason is unable effectively to speak for himself or herself;

(b) There is a timely and colorable claim that he or she has not committed the alleged violation; or

(c) Even though the alleged violation is uncontested or a matter of public record, there may be substantial reasons which justify or mitigate the violation and make revocation inappropriate and the reasons are complex or otherwise difficult to develop or present.

(8) In every case where the youth has requested the assistance of counsel at YCF expense and such request has been denied by the hearing officer, the reason for the denial shall be set forth in the hearing officer's report.

(9) The preliminary hearing officer shall subpoena any witness for the youth or the state if such witnesses would not otherwise voluntarily appear and the testimony of such witness is essential to the development of the facts upon which to base a fair determination on the merits. The witnesses shall receive the statutorily prescribed fees for attendance and mileage.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0060

##### The Preliminary Hearing

(1) Whenever the Juvenile Court concerned is agreeable to conducting the preliminary hearing substantially in accordance with the provisions of OARs 416-300-0050 and 416-300-0070, the hearing may be conducted by the Juvenile Court.

(2) The preliminary hearing shall be held at a place determined by the parole officer's supervisor to be in the best interests of the youth, taking into account such matters as location of evidence, travel conditions, security, and welfare of the youth. In making this determination, preference shall be given to holding the hearing as near as practicable to the place of the alleged violation, unless it would be in the youth's interest in defending against or mitigating the consequences of the alleged violation to hold the hearing as near as practicable to the place of the youth's placement at the time of the alleged violation. In the case of multiple violations, the preliminary hearing may be held in one location.

(3) The preliminary hearing shall be held promptly at the time convenient to the youth and the hearing officer.

(4) The hearing shall be conducted by a hearing officer who will be someone other than the person(s) bringing charges of parole or placement violation.

(5) The youth shall be permitted to appear and speak in his or her own behalf, to admit or deny the allegations and to present any relevant evidence. The youth, taking into consideration the youth's ability to make the presentation, shall be allowed full opportunity to present his or her case to the end that the youth's position and evidence in support thereof are fully developed by the hearing officer.

(6) If the youth requests, adverse witnesses may be questioned in the youth's presence unless in the opinion of the hearing officer there is good cause for disallowing confrontation. In the event confrontation is not allowed, the youth's attorney, if any, shall be provided an opportunity to cross examine the witness unless the hearing officer finds that it is necessary to deny such request to preserve the anonymity of the witness.

(7) The hearing officer shall make a written summary of what occurs at the hearing in terms of the response of the youth and the substance of the documents or evidence given in support of parole or placement revocation. A mechanical recording shall be made of all oral testimony and presentations made at the hearing. Tapes shall be kept at least 120 days after the final order of the superintendent is issued.

(8) Based upon the information before him/her, the hearing officer will determine if probable cause exists to believe a violation has occurred.

(9) The hearing officer shall report to the superintendent, his/her designee or the Deputy Administrator of Administration and Juvenile Corrections the hearing officer's determination regarding probable cause, whether or not he or she finds mitigating circumstances, his or her reasons, and his or her recommendations with respect to whether or not there should be a revocation hearing. The hearing officer's report may first be made orally or in writing, but



if orally, must be reduced to writing. The superintendent or his/her designee shall consider the report and decide whether or not the youth is an appropriate candidate for a revocation hearing:

(a) If the superintendent determines that neither a revocation hearing nor revocation is appropriate, he/she may, under the same or modified placement conditions, order that the youth be continued in the placement where he or she was at time of the alleged violation, or that the youth be placed into another place of residence.

(b) If the superintendent determines that the youth is an appropriate candidate for a revocation hearing, a revocation hearing shall be held unless the youth voluntarily and understandingly waives his right to a revocation hearing.

(c) If a revocation hearing is to be held, the youth shall be returned to the YCF unless already there.

(10) If the youth waives his or her right to a revocation hearing, and the superintendent's decision is to revoke the youth's parole or youth offender foster care placement, the superintendent will issue the final order. The committing court and the youth shall be notified and the youth given a copy of the final order.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0070

##### Waiver of the Revocation Hearing

(1) Each youth is entitled to a revocation hearing.

(2) If a youth chooses, the youth may waive his or her right to the hearing. However, the following procedures shall be strictly complied with before any waiver is accepted:

(a) After returning to the YCF for a revocation hearing, the youth shall be given a form which clearly, in simple language, explains the rights that the youth is entitled to at and proceeding a revocation hearing, and which shows he or she can elect to have or not have such hearing;

(b) These rights shall be verbally explained to the youth, giving him or her opportunity to ask any questions and receive complete answers by a staff member of the Office of Juvenile Corrections who has not brought the parole or placement violation charge against the youth and who will not be on the hearing committee;

(c) The youth has a right to consult with an attorney at the youth's own expense before deciding whether or not to waive the revocation hearing. If the person explaining the waiver form has any doubts that the youth understands the rights he or she has to a revocation hearing or the significance of the waiver, that person shall not accept the waiver;

(d) No staff member of the Office of Juvenile Corrections shall attempt to influence the youth to waive his or her rights to or regarding a revocation hearing;

(e) A tape recording and a written summary of all conversations with each youth about waiver of a revocation hearing shall be kept for 120 days after the final order of the superintendent is issued;

(f) At any time after a waiver has been made, the superintendent may review the waiver and if he/she believes that it would be in the best interests of the youth, the superintendent may cause a revocation hearing to be held.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0080

##### Notice of Revocation Hearing

(1) Within a reasonable time prior to the revocation hearing, the chairperson of the revocation hearing committee shall cause the youth to be provided with written notice which shall contain the following information:

(a) The youth's right to a hearing and the time and place of the hearing;

(b) A copy of the signed community placement agreement with a concise statement of each alleged violation of such agreement and the supporting evidence relevant thereto;

(c) A statement of the authority under which the hearing is being held (Cite ORS 420.045, 420.810 to 420.825 and this rule);

(d) The fact that the purpose of the hearing is to determine whether parole or youth offender foster care should be revoked for a violation of one or more condition(s) of parole or youth offender foster care, and if there is any such violation, whether there are substantial reasons which mitigate or justify such violation or make revocation inappropriate;

(e) The names of persons who have given adverse information upon which the alleged violation is based and the right of the youth to have these persons present at the hearing for the purposes of confrontation and cross-examination unless the hearing committee determines that there is good cause for not revealing the names or for not allowing confrontation; (If names of persons or witnesses giving adverse information are omitted from the notice, each such person shall be listed on the notice as "Name Withheld"). (If the chairperson has determined that the youth shall not be allowed to confront a particular witness, the youth shall be notified of that fact and the youth's attorney, if any, shall be permitted to cross-examine that witness unless the chairperson determines that it is necessary to deny cross-examine to preserve the anonymity of the witness). In such case if it appears that the youth will not have an attorney, the chairperson shall, prior to the hearing, designate a competent person within the YCF to consult with the youth prior to and at the hearing, and to be present at the hearing for the purpose of cross-examining the witness on the youth's behalf.

(f) The youth's right to admit or deny the allegations, and to present letters, documents, affidavits or persons with relevant information at the hearing.

(g) The youth's right to be represented by an attorney at his/her own expense or to the assistance of counsel at YCF expense if the youth meets the requirements of section (3) of this rule.

(2) The youth's parents or guardians shall also receive written notice of the formal revocation hearing, if practicable.

(3) If the youth does not have counsel, the chairperson of the revocation hearing committee shall provide the youth with counsel at YCF expense if the same grounds and reasons stipulated in OAR 416-300-0030(7) exist.

(4) In every case where the youth has requested the assistance of counsel at YCF expense and such request has been denied by the chairperson of the revocation hearing committee, the chairperson shall set forth the reasons for the denial in writing, and the writing shall be made a part of the record of proceedings of the revocation hearing.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-300-0090

##### Subpoena Request

The youth may request the subpoena of witnesses at YCF expense in accordance with the following procedure:

(1) Where the YCF proposes to rely on affidavits or other documentary evidence of a testimonial nature, the YCF shall subpoena any adverse witness responsible for such evidence, at YCF expense, if requested by the youth or his attorney.

(2) If a youth requests the YCF to subpoena a supporting witness for him at YCF expense, the chairperson of the hearing committee or his or her designee shall cause the subpoena to be served and the statutorily prescribed fees and mileage tendered to the witness if:

(a) The youth states that he/she is without funds; and

(b) The youth satisfies the chairperson or designee that the proposed testimony is relevant, material and necessary.

(3) At the discretion of the hearing committee, and under such conditions as will ensure an appropriate record, telephone conversation with a prospective witness may be substituted for actual presence of the witness. The youth shall be permitted to listen to and converse with the witness. The foregoing procedure shall not be followed if the youth objects.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-300-0100**

**The Revocation Hearing**

(1) The hearing shall be held as promptly as convenient to the youth and to the revocation hearing committee, but in any event such hearing shall be held within 60 days from the date the youth is returned to the YCF.

**Exception:** If the youth has been charged with one or more law violations, that are to be adjudicated in judicial court, revocation hearing procedures shall be suspended pending the outcome of the court hearing. The youth may request a revocation hearing after the court hearing, if he/she so chooses.

(2) Prior to the commencement of the hearing, the chairperson of the committee shall furnish the youth orally or in writing an explanation of the proceedings as required by ORS 183.413(2).

(3) The revocation hearing shall be conducted before a revocation hearing committee composed of three YCF staff persons, none of whom have brought the parole or placement violation charge against the youth.

(4) At the revocation hearing the youth shall have an opportunity to be heard in person and through his/her attorney, if any.

(5) At the discretion of the chairperson of the revocation committee, the hearing shall be conducted in the following manner:

- (a) Statement and evidence of agency in support of its action;
- (b) Statement and evidence of youth.

(6) The chairperson, youth and YCF shall have the right to question or examine or cross-examine any witness unless in the opinion of the chairperson of the hearing committee there is good cause for disallowing confrontation. In such case the attorney for the youth, if any, shall be permitted to cross-examine the witness, unless the chairperson determines that it is necessary to deny cross-examination to preserve the anonymity of the witness. In such case, if the youth has no attorney, the chairperson of the revocation hearing committee shall, if he/she has not already done so, appoint a competent staff person to cross-examine the witness for the youth as provided in OAR 416-300-0045(1)(e). The hearing may be recessed if necessary for this purpose.

(7) The burden of presenting evidence to support a fact or position rests on the proponent of that fact or position. Quantity of proof required for revocation is a preponderance of evidence.

(8) The hearing may be continued with recesses as determined by the chairperson.

(9) The chairperson may set reasonable time limits for oral presentation and may exclude or limit cumulative, repetitious or immaterial matter.

(10) Exhibits shall be marked and the markings shall identify the person offering the exhibit. The exhibits shall be preserved by the agency as part of the record of the proceedings.

(11) Evidentiary rules are as follows:

(a) Evidence of a type commonly relied upon by reasonably prudent persons in conduct of their serious affairs shall be admissible;

(b) Irrelevant, immaterial or unduly repetitious evidence shall be excluded;

(c) All offered evidence, not objected to, will be received by the chairperson subject to his/her power to exclude irrelevant, immaterial or unduly repetitious matter;

(d) Evidence objected to may be received by the chairperson with rulings on its admissibility or exclusion to be made at the time a final order is issued;

(e) All testimony shall be given under oath.

(12) The chairperson of the revocation committee shall make a written summary of what occurs at the hearing in terms of the response of the youth and the substance of the documents or evidence given in support of revocation.

(13) A mechanical recording of all oral testimony and presentations will be made at the hearing to aid in the event of a judicial review (tapes will be kept at least 120 days after the final order of the superintendent) and to allow the committee an accurate review of all information before making any findings.

(14) The revocation hearing committee shall issue in writing: a proposed order containing:

(a) Rulings on admissibility of offered evidence and other matters;

(b) Findings of fact (each ultimate fact as determined by the hearing committee based on the evidence before them); and

(c) Conclusions of law (e.g., did the youth violate specific rules alleged to have been violated), and recommendations for action by the superintendent (revoke or don't revoke parole or youth offender foster care).

(15) The superintendent shall review the committee's proposed findings of fact, conclusions and recommendations. If the committee's recommendation is to revoke parole or youth offender foster care, the superintendent shall not adopt the committee's recommendation without first furnishing the youth a copy of the proposed order with the committee's findings of fact and conclusions of law. In furnishing the youth with such proposed order, the superintendent shall notify the youth that the youth may file with the superintendent written exceptions or objections to the proposed order within 10 days of receipt thereof. At the option of the superintendent, the youth may present his or her exceptions or objections orally.

(16) Upon review of the youth's exceptions and objections if any, the superintendent shall issue a final order. Such order shall indicate the action taken by the superintendent and shall either incorporate the recommendations of the revocation hearing committee or set forth its own findings of fact, conclusions of law and rulings on admissibility of evidence and other matters. The superintendent's order shall also set forth the youth's right to petition for reconsideration or rehearing of the superintendent's order, and the statutes under which the order may be appealed.

(17) The committing court shall be immediately notified of the final order. The affected youth shall be furnished a copy of the order.

(18) A youth may file a petition for reconsideration or rehearing of a final order with the superintendent within 30 days after the order is served. The petition shall set forth the specific ground or grounds for requesting the reconsideration or rehearing. The petition may be supported by a written argument. The superintendent may grant a reconsideration petition if sufficient reason therefore is made to appear. If the superintendent concurs that the order should be changed in whole or in part, an amended order shall be entered. The superintendent may grant a petition to rehear the revocation proceeding if sufficient reason therefor is made to appear. The rehearing may be limited by the superintendent to specific matters. If a rehearing is held and a change in the original order becomes necessary, an amended order shall be entered. If the superintendent does not act on the petition within the 60th day following the date the petition was filed, the petition shall be deemed denied.

(19) The superintendent may discontinue the revocation proceedings at any time and may return the youth to conditional release status subject to the same or modified conditions.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-300-0110**

**Placement After Revocation**

A parole revocation to OAR 416-300-0000 to 416-300-0110 may result in a placement in one of the work/study camps, as well as in one of the institutions. If the youth is placed in a work/study camp, all of the rights and privileges extended in OAR 416-300-0000 to 416-300-0110 shall apply. If the youth is returned to the institution from a camp, a youth may contest this placement through the grievance-appeal procedure in OAR 416-440-0060.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-300-0120**

**Contested Cases**

Any case not covered by these rules shall be governed by the Attorney General's Model Rules of Procedure in contested areas. In case of conflict between these rules and the Attorney General's Model Rules of Procedure in contested cases these rules shall control.

Stat. Auth.: OL Ch. 422, 1995  
 Stats. Implemented: OL Ch. 422, 1995  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 310

### USE OF DETENTION FACILITIES FOR PAROLEES

#### 416-310-0000

##### Purpose

Pursuant to ORS 420.915(3) these rules govern the detention of parolees while in the community. Parolees are to be held in juvenile detention facilities that meet state detention standards. Each detained youth must be granted a preliminary revocation hearing as outlined in OAR 416-300-0000 through 416-300-0080.

Stat. Auth.: OL Ch. 422, 1995  
 Stats. Implemented: OL Ch. 422, 1995  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-310-0010

##### Definitions

“Parolee” — A youth who is on conditional release from a Youth Correctional Facility or camp.

Stat. Auth.: OL Ch. 422, 1995  
 Stats. Implemented: OL Ch. 422, 1995  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-310-0020

##### Policy

(1) The parole violator may be lodged in juvenile detention per an order from the superintendent or his/her authorized representative, ORS 420.910(1) and the authorization from the appropriate juvenile department authority.

(2) The parolee may be detained no longer than 72 hours excluding Saturdays, Sundays and judicial holidays, except on the order of a hearings officer pursuant to a finding from a preliminary revocation hearing that probable cause exists that the parolee has violated his/her parole and detention is appropriate:

(a) The hearings officer shall consult with the agency responsible for paying the detention bill before ordering detention beyond 72 hours;

(b) The parole violator may be held up to 8 calendar days based on agreement between the appropriate juvenile department authority and the superintendent or his/her authorized representative. The decision will be based on local policy guidelines of the detention facility, good casework practice and available funds to support the stay.

(3) The parole officer involved with the case must communicate the following information to detention staff:

- (a) The charges or reasons why the youth is detained;
- (b) The post-detention plan;
- (c) The visitors who are permitted to see the parolee;
- (d) Any significant medical information;
- (e) Any significant needs of the parolee.

(4) If the parolee is returned to close custody, the full revocation requirements outlined in OAR Chapter 416, Division 300 shall apply. The preliminary revocation hearing granted while in detention shall suffice for this part of the revocation process, but the parolee shall also be eligible for the revocation hearing as outlined in OAR 416-300-0090 through 416-300-0120.

Stat. Auth.: OL Ch. 422, 1995  
 Stats. Implemented: OL Ch. 422, 1995  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-310-0030

##### Exceptions

There are no exceptions to these rules.

Stat. Auth.: OL Ch. 422, 1995  
 Stats. Implemented: OL Ch. 422, 1995  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 320

## ARREST ORDERS AND ALL POINTS BULLETINS

#### 416-320-0000

##### Purpose

These rules describe the process OYA staff will use to issue and cancel arrest orders and All Points Bulletins.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420.905 – ORS 420.915  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 7-2003, f. & cert. ef. 9-23-03

#### 416-320-0010

##### Definitions

(1) “All Points Bulletin (APB)” is sent to Oregon law enforcement agencies to advise them that an offender has escaped from a close custody facility or is absent without authorization from parole status in the community. The bulletin gives details about the offender.

(2) “Arrest orders” are signed by a Superintendent/Camp Director. They have the full force and effect of a warrant to grant any police or peace officer in the state authorization to arrest and detain the offender described in the order.

(3) “Law Enforcement Data System (LEDS)” is a telecommunication information system for the use of law enforcement and criminal justice agencies to record and provide information regarding APBs and arrest orders.

(4) “Warrant” is issued by a judicial court and authorizes any police or peace officer to arrest and detain the offender described in the order.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420, ORS 420A  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 7-2003, f. & cert. ef. 9-23-03

#### 416-320-0020

##### Placement of APBs and Arrest Orders

(1) OYA will issue an APB and arrest order when any offender:

- (a) Escapes from a close custody facility;
- (b) Is absent without authorization from supervision in the community; or
- (c) When conditions of parole have been violated.

(2) The Parole/Probation Supervisor, or designee, will request that the facility Superintendent/Camp Director, or designee, place the APB or arrest order; or the Parole/Probation Supervisor, or designee, may instead ask the committing court to place a warrant.

(3) Prior to sending an APB or placing an arrest order, OYA staff will ensure that reasonable grounds exist for doing so.

(4) Whenever an APB or arrest order is requested, the name and address of the person or agency to whom it was sent will be recorded in an alphabetical card file at the OYA facility.

(5) When the offender has been detained, the OYA will immediately contact the placing facility or court to cancel the request.

(6) The facility Superintendent/Camp Director, or designee, will receive a report of active APB’s and arrest orders from LEDS, and will forward a copy of that report within two working days to all persons who requested the APB or order. Any that are no longer valid will be immediately canceled.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420.905 – ORS 420.915  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 7-2003, f. & cert. ef. 9-23-03

#### 416-320-0030

##### Exceptions

These rules do not apply to offenders placed in OYA supervision via an interstate compact, to offenders placed in OYA facilities by the Department of Corrections, or to offenders transferred to a youth correctional facility from a county sheriff. If an APB or arrest warrant is necessary in one of these cases, the OYA will immediately notify the appropriate party (interstate compact administrator, Department of Corrections, or county sheriff).

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420, ORS 420A  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 7-2003, f. & cert. ef. 9-23-03



**DIVISION 330**

**SUBSTITUTE CARE ELIGIBILITY**

**416-330-0000**

**Purpose**

(1) The Substitute Care Program encompasses all of the care and treatment programs of the Oregon Youth Authority (OYA) providing 24-hour a day care, except youth in OYA youth correctional facilities.

(2) OYA is solely responsible for determining if a youth will be placed or continued in substitute care placement in accordance with statutes, OYA administrative rules, agency procedures and placement practice guidelines. These rules specify the minimum criteria for the substitute care classification and placement under any type of substitute care program. Additional criteria are outlined in rules for specific substitute care programs

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-330-0010**

**Eligibility Criteria for Substitute Care Placement**

To be eligible for initial and continuing substitute care placement the youth must meet all of the following criteria:

(1) Legal Basis. OYA must have a legal custody of the youth through a court order; or

(2) The youth must be under eighteen (18) years of age at the time the youth is placed in OYA's legal custody and placement services are first initiated. (Except for placement of a person who was committed to a YCF after the age of eighteen and youth transferred from the Oregon Department of Corrections.

(3) The youth's behavior is a serious danger to the youth, the youth's family or the community but the youth can, without threat to self or others, be managed in an available and appropriate substitute care resource.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**DIVISION 340**

**MEDICATION MANAGEMENT**

**416-340-0000**

**Purpose**

These rules establish procedures for youth offender foster parents and OYA staff to follow when a youth in the custody of the OYA is placed in youth offender foster care, is administered medication. For youth who have been prescribed a psychotropic medication, requirements pursuant to ORS 418.517 are specified.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-340-0010**

**Definitions**

(1) "Behavior Intervention Plan" is a written plan, developed by the medication management team, covering a 12-month period which addresses a youth's special needs, including medication. The medication management team will review the behavior intervention plan at no greater than six month intervals. This is to be filed in the medical section of the youth's case record.

(2) "Medication Management Team" shall be comprised of the youth's service worker and at least two other people, and may include the youth's youth offender foster parent, medical professionals (pediatrician, physician, registered nurse, pharmacist) service worker, the youth's advocate, the youth's legal guardian, YCF staff or others as appropriate.

(3) "PRN" pro re nata, i.e., as needed.

(4) "Psychotropic Medication" is medication, the prescribed intent of which is to affect or alter thought processes, mood or behavior, including, but not limited to antipsychotic, antidepressant and

anxiolytic medication and behavior medications. The classification of a medication depends upon its stated, intended effect when prescribed because it may have many different effects.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-340-0020**

**Policy**

Youth who are in the care and custody of Oregon Youth Authority and placed in youth offender foster care by OYA shall have their health care needs attended to. It is the intent of the OYA that such youth be cared for in a safe manner and that, when possible, the youth's parent(s) or guardian be made aware of the youth's medical status. In the event that a youth is prescribed a psychotropic medication, the need for the prescription shall be reviewed by a physician and/or the personal care nurse on an ongoing schedule to be determined by the prescribing physician or, as a part of the personal care assessment process, not to exceed 90 days.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-340-0030**

**Documentation**

The youth offender foster parent shall keep a record of the youth's medical history while in the youth offender foster home. These records shall be kept current and organized in a manner that clearly shows the medical needs of the youth. The youth's medical history belongs to the youth and his/her legal custodian, and therefore shall be sent with the youth to the next care provider upon leaving the youth offender foster home. A copy of the youth's medical history shall be kept in the medical section of the youth's case record.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-340-0040**

**Requirements for All Prescribed Medications**

(1) All prescribed medications, scheduled or PRN (i.e., as needed), shall be:

(a) Properly labeled as specified per the physician's written order;

(b) Kept in a secured, locked container and stored as prescribed (medication requiring refrigeration shall be kept under refrigeration in a locked box); and

(c) Recorded on an "Individual Youth's Medication Log," or other log. The log shall include:

(A) The name of the youth;

(B) The brand and/or generic name of the medication, including the prescribed dosage and prescribed frequency of administration;

(C) Times and dates of administration or monitored self-administration of the medication;

(D) The name or initial of the youth offender foster parent administering the medication or monitoring the self-administration; and

(E) Documentation why a medication has PRN status.

(2) Psychotropic medication may have PRN status only under the following circumstances:

(a) The physician has ordered PRN status; and

(b) The personal care nurse has issued to the youth offender foster parent written parameters specific to a youth's care per Board of Nursing Administrative Rule 851-047-0010(15).

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-340-0050**

**Psychotropic Medication Requirements**

(1) Psychotropic medications shall be prescribed by a physician through a written order and included in the youth's Behavior Intervention Plan.

(2) Pursuant to ORS 109.675, a youth 14 years of age or older may obtain, without parental knowledge or consent, outpatient diag-

nosis or treatment of a mental or emotional disorder, or a chemical dependency excluding methadone maintenance by a physician, licensed psychologist, nurse practitioner or licensed clinical social worker. If a youth 14 years of age or older in the custody of the OYA is known by the OYA to be diagnosed or treated for any mental or emotional disorder or chemical dependency within seven working days of receiving notice from the youth offender foster parents the OYA shall:

(a) Ask the youth whether he or she consents to disclosure of information regarding the prescription of a psychotropic medication; and

(b) Ask the youth to whom the disclosure shall be given; and

(c) Document on the OYA 1085, placed in the legal section of the youth's case file, the youth's consent or refusal of consent to disclosure of information regarding the prescription of a psychotropic medication, and to whom such disclosure may or may not be made.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0060

##### Balancing Test

The use of medication for the control of behavior, thought processes or mood shall be based on a physician's decision that the harmful effects of the behavior outweigh the potentially harmful effects of the medication. The physician must have a full and clear description of the harmful behavior, thought processes or mood to be addressed, as well as any medication side effects observed. To enable the physician to make this decision, members of the Medication Management Team shall make pertinent information available to the physician.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0070

##### Review and Monitoring

(1) Medications for behavior, thought processes or mood shall be reviewed at a minimum of every 90 days:

(a) By the prescribing physician and/or Medication Management Team for desired responses and adverse consequences; and

(b) To determine the continued need and/or lowest effective dosage in a carefully monitored program.

(2) Every youth who is prescribed psychotropic medication shall be referred to the contracted registered nurse for a personal care evaluation.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0080

##### Notification Timelines for the Youth Offender Foster Parent

For any youth in the custody of the Oregon Youth Authority, placed in a youth offender foster home, youth offender foster parents shall notify the OYA local office within one working day of any new prescription for psychotropic medication.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0090

##### Notification Content for the Youth Offender Foster Parent

The notification from the youth offender foster parent to the branch shall contain:

(1) The name of the prescribing physician;

(2) The name of the medication;

(3) The dosage prescribed; and

(4) The reason the medication was prescribed.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0100

##### Notification Timelines for the Local OYA Office

The local office, within a timely manner, not to exceed seven working days of notification by the youth offender foster parent, shall provide written notification to:

(1) The youth's parent or guardian, if whereabouts is known;

(2) The parent or guardian's attorney, if known;

(3) The youth's attorney, if known;

(4) The youth's court-appointed special advocate.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-340-0110

##### Notification Content for the Local OYA Office

The notification shall contain:

(1) The name of the prescribed psychotropic medication;

(2) The prescribed dosage;

(3) The dosage recommended by the drug's manufacturer or the United States Food and Drug Administration;

(4) The reason the medication was prescribed;

(5) The expected benefit of the medication;

(6) The side-effects of the medication; and

(7) Notice of the right to petition the juvenile court for a hearing if there is an objection to the use of the prescribed dosage of the medication.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 350

### MAINTENANCE AND TREATMENT PAYMENTS

#### 416-350-0000

##### Purpose

These rules govern the payment for maintenance and treatment services for all OYA substitute care placements with certified/licensed providers of care that are funded by the department.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-350-0010

##### Payments: General Guidelines

(1) Foster Care:

(a) Payment by OYA to foster parents for a youth's room, food, clothing, incidentals and cash allowance (known as the board rate for youth in foster care) will be made on a monthly basis, or prorated for portions of a month, after the period during which care has been provided. It will include the day the youth enters the home but exclude the day the youth leaves the home. Costs of special care or service in accordance with a written OYA reformation plan may also be provided if essential for the youth's well being and if specifically authorized by OYA;

(b) Standard foster care rates are established by OYA subject to the availability of funds and are uniformly applied throughout the state. The current rates are available at each OYA office upon request.

(2) Group Care: Payment by OYA to purchase of care providers will be made as stipulated in signed contracts.

(3) Payments Prohibited:

(a) Payment will not be made for two simultaneous 24-hour out-of-home care services, such as foster care, relative care, family group homes, residential treatment, closed custody, at the same time;

(b) Neither payment nor utilization credit will be given for duplicate simultaneous contracted treatment services, such as day treatment and residential treatment;

(c) Any exceptions to the above rules must be approved in writing by the Superintendent of Community Services. Exceptions will be considered only when federal funds will not be claimed.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-350-0020**

**Payment Prior to Placement**

(1) Payment or utilization credit may be made to a purchase of care provider beginning on the agreed upon admission date if the facility is required to reserve a space for the youth. Payment for a reserved space shall be limited to seven consecutive days unless there is further delay due to the actions of OYA. Payments exceeding the seven-day limit must be approved by the responsible OYA program manager.

(2) Purchase of care providers who receive a fixed level monthly payment shall be given utilization credit for services provided under this section.

(3) In the event the youth is currently in care and public funds are being expended for that care, then no payment can be made for the reserved space.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-350-0030**

**Payment for Temporary Absences**

(1) Temporary absences include:

(a) OYA Community Services authorized absences for home visits, vacations, and special activities;

(b) Runaway: When there is agreement between OYA and the provider to return the youth to the placement within seven consecutive days;

(c) Hospitalization: (Hospitalization for medical treatment under Title XIX is not a maintenance or board and room payment.) When 24-hour medical care is required for a short period of time and the provider continues to exercise youth caring responsibilities in anticipation of the youth's return.

(2) Continued payment may be made to a provider during a youth's temporary absence when:

(a) The plan is for the youth to return to the care of the same provider; and

(b) No other provider is receiving a maintenance payment for the youth during the period of the absence.

(3) Program Payment Limitations:

(a) Family Foster Care:

(A) Payment may be authorized by the parole and probation worker for up to seven days after a youth is temporarily absent from the foster home;

(B) Authorization for payment after a youth is absent for more than seven days must be approved by the manager.

(b) Purchase of Care and Family Group Homes:

(A) Routine home visits to parents or foster parents, which do not exceed four days, do not require special authorization;

(B) Absences of five days or more may be approved for payment if:

(i) The provider's contract is fully utilized (family group homes are exempted);

(ii) OYA authorizes the payment no later than the last day of the month in which the absence occurs;

(iii) OYA certifies that payment is necessary to ensure a vacancy will be held open in the provider's facility for the youth's return.

(C) Absences of five days or more may be approved as follows:

(i) Length of Absence — Who Approves;

(ii) 5 to 14 days — Parole and Probation worker;

(iii) Over 14 days — Parole and Probation worker and manager.

(D) Planned Visits to Another Provider. It is the responsibility of the purchase of care provider to reimburse the visiting resource at a reasonable rate agreed upon by both parties. OYA may not make maintenance payment to two providers at the same time;

(E) A purchase of service client invoice must be completed in accordance with OYA/SCF billing procedures.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**DIVISION 360**

**PLACEMENT OF MINORITY YOUTH**

**416-360-0000**

**Purpose**

The purpose of this rule is to ensure that the best interests of minority youth are met by requiring consideration of their racial and ethnic heritage when making out-of-home placements.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-360-0010**

**Definitions**

(1) "Extended Family Member" is a person 18 years of age or older who is a brother, sister, aunt, uncle, or grandparent. Any other person whom the youth's family recognizes as a parenting figure to the youth may be recognized, subject to approval by the department, as an extended family member for purposes.

(2) "Minority" means person(s) having origins in any Hispanic, Black, Asian, or Pacific Islander group. American Indians and Alaskan natives are included when these rules provide a higher standard of care or protection than are provided by the Indian Child Welfare Act (Public Law 95-068) and Administrative Rules 416-160-0000 through 416-160-0070.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-360-0020**

**Placement of a Youth in Substitute Care**

(1) When a youth is being placed in a single family home the department shall place the youth using the following order of preference:

(a) Legal parent(s);

(b) Extended family members;

(c) Persons with knowledge and appreciation of the ethnic heritage of the youth;

(d) Other persons with knowledge and appreciation of the ethnic heritage of the youth.

(2) A determination not to follow the order of placement preference shall be based on grounds that such placement is inappropriate and inconsistent with the best interests of the youth for one or more of the following reasons:

(a) An informed request of the parents or legal guardian that the order of preference not be followed;

(b) Extreme medical, physical or psychological needs of the youth;

(c) Unavailability of families or persons who meet both the placement standards and preference criteria.

(3) When placement does not meet these placement preferences, the reasons must be documented in the youth's record.

(4) When protection of the community precludes following these placement preferences.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-360-0030**

**Consulting With Ethnic Community**

(1) The department will seek and include advice from persons within the youth's ethnic group when making substitute care placement decisions.

(2) The department may request a person(s) from the youth's ethnic group to act as a representative for purposes of advising the department on matters of racial and ethnic heritage when deciding upon a substitute care placement. The representative will:

(a) Assist in the identification and development of placement resources that meet the requirements of these rules for the placement of minority youth;

(b) Assist the department in deciding upon an appropriate placement for the youth placed under these rules;



(c) Advise the department on placement decisions. Pursuant to ORS 418.770, the department may provide information to the representative from records which is pertinent to the planning of an individual youth;

(d) Be subject to all confidentiality laws, rules and penalties as if they were an employee of the department;

(e) Participate in Department Placement Committee meetings, upon request of the department.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-360-0040

##### Training

In cooperation with ethnic communities, the department will develop training programs for department employees to assure ethnic sensitivity.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### DIVISION 380

#### ONE TIME PAYMENTS

#### 416-380-0000

##### Purpose

These rules describe how one-time payments may be used to benefit youth in foster care, family and professional shelter care, youth offender foster care, youth in residential group care, and, youth in non-paid placement such as Oregon State Hospital and DePaul Treatment Center.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0010

##### Definitions

A "One-Time Payment" is a payment for services or supplies described in these rules which are essential to the youth's substitute care and no other resource exists to cover the essential service or supply.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0020

##### Policy

(1) One-time payments shall be limited to the amounts stated in this rule statewide whenever possible. One-time payments will not be made when the youth has full or half-time paid employment or when there is money in a trust account.

(2) Exceptions to these rules may be made by the manager in individual situations. Exceptions must be made prior to purchase and confirmed in writing in the case file.

(3) Clothing:

(a) It is the responsibility of the Department to make certain that clothing needs of youth going into or placed in out-of-home care are met. Both staff and contracted providers shall use reasonable judgment in making clothing purchases. It is expected that a youth in the custody of OYA will be dressed similar to other youth living in the community, but purchases are dependent upon funds available to the Department. Unless an individual exception has been made by the manager, clothing purchases may be authorized only after:

(A) All clothing available and belonging to the youth is obtained from the parent(s), guardian, or provider at the time of placement or change of placement;

(B) Clothing resources such as foster parent organizations or agency volunteer programs, etc., are to be used prior to any purchase of clothing.

(b) New Placements: One-time payment for clothing may be authorized for a youth going into substitute care if clothing is inadequate or insufficient to allow the youth to commence an out-of-home care placement;

(c) Shelter Care: When all resources have been utilized and it is determined that sufficient clothing is still not available, an emergency wardrobe may be purchased;

(d) Ongoing Care:

(A) The service payment to providers includes a clothing replacement allowance. When a youth is placed in ongoing care, the worker is to review the monthly payment for the youth with the provider and explain that they are expected to use the clothing allowance included in the service payment for replacement of clothing. The agency will not purchase replacement clothing except in extraordinary situations;

(B) When a youth moves from one provider to another provider, all of this youth's wearable clothing including clothing purchased for the youth while in substitute care, is to go with the youth. The youth is not eligible for another initial placement wardrobe;

(C) New wardrobes are not to be purchased for a youth in adoptive placement, except to make certain that the youth is properly clothed for presentation to the adoptive parents at the time of placement;

(D) Youth who are in shelter care or ongoing care generally will not be provided a supplemental wardrobe when they leave care temporarily and later return to out-of-home care. A supplemental wardrobe requires an exception.

(e) Maximum Clothing Allowances: Shall be determined by OYA administration and enforced by local managers.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0030

##### Transportation

(1) The Department may pay for non-medical transportation based upon current OYA mileage rates paid to staff:

(a) Payment for school transportation only when the youth is in family foster/shelter care and the school district does not provide transportation;

(b) City bus passes in metropolitan areas may be purchased for youth attending school when the schools do not furnish transportation.

(2) In-state transportation by airline for youth may be approved only if the cost of the air fare does not exceed all the actual costs of transporting the youth by car.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0040

##### Educational Costs

(1) Basic school costs are to be paid by local school districts.

(2) School Costs may be approved by the local manager if sufficient funds are available.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0050

##### Extraordinary Needs

Extraordinary needs for clothing and specific miscellaneous items may be paid for by one-time payments only if the need is documented in the youth's case record, no other funding sources are available, and payment is authorized as an exception prior to the purchase. Total clothing purchases, including an initial and supplemental wardrobes, may not exceed the amount determined by OYA central administration.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0060

##### Payment Method

(1) A OYA 598 (Authorization and Vendor Invoice) must be completed in accordance with instructions and presented to the vendor.

(2) The OYA form will authorize a maximum amount; however, the vendor may only bill OYA for the actual amount of purchase.

(3) A business will be reimbursed after submitting a OYA form which certifies goods and/or services were rendered by the business.

(4) A person or party who has purchased goods or services will be reimbursed upon submitting the completed OYA form along with original receipt(s) for each item purchased.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-380-0070

##### Youth in Non-Paid Placement at Oregon State Hospital and DePaul Treatment Center

(1) OYA has established a procedure to provide personal allowances for youth who are in custody of OYA and are placed in a non-paid placement at Oregon State Hospital (OSH) and DePaul Treatment Center.

(2) Procedure:

(a) Determine if the youth has benefits or resources coming in to his/her account. OYA staff can use the IFDF screen to check and see if the youth has a balance in his/her trust account. If there is money in the trust account, the worker can initiate a OYA Trust Action monthly to receive payment for the youth. Maximum monthly amount is not to exceed the amount defined by OYA Central Administration;

(b) If the youth does not have any benefits or resources coming in, then the allowance payment may be made from "One-Time Payments" using the individual OYA location cost center, and a new object code of 980.092, Personal Care (this is an EAS object code). OYA staff would initiate payment by completing a OYA Administrative Expense Voucher monthly including the youth's case number and person letter.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### DIVISION 400

#### BASIC PURPOSE AND DEFINITIONS

#### 416-400-0000

##### Applicability and Purpose of Rules

(1) These rules apply to all youth incarcerated in Oregon Youth Authority Youth Correctional Facilities.

(2) Purposes of the rules are:

(a) To establish criteria for governing conduct of staff and youth in YCF's, including but not limited to matters of youth confinement, discipline, treatment, education, privileges, etc; and staff discipline, conduct, training, etc.; and

(b) To establish criteria and procedures regarding rights of youth and staff, especially to assure timely and equitable processing by staff of youth violations, detention, grievances, appeals, etc.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-400-0010

##### Definitions

(1) "Attorney": Any licensed attorney or person acting under the professional control and supervision of a licensed attorney, including but not limited to law clerks, paralegal, investigators, and law students.

(2) "Youth Corrections Facility" (YCF): Secure Regional Youth Facilities, Regional Youth Accountability Camps, Regional Residential Academies established by the Oregon Youth Authority to provide custody for youth committed to the Oregon Youth Authority.

(3) "Close Custody": Close custody reeters to youth who are residing in Youth Correctional Facilities.

(4) "Administrative Review Board": Administrative committee or committees which review and are responsible for all major decisions concerning youth who currently reside in Youth Correctional

Facilities. These Committees determine initial placement of youth, length of stay, transfers to other levels of custody and initiates placements on parole, foster care, or to the community.

(5) "Oregon Youth Authority" (OYA): The Department of Youth Authority as established in Senate Bill 1 by the 1995 Oregon Legislative Assembly.

(6) "Committing Court": The court that committed a youth to the custody of OYA for placement at a Youth Correctional Facility.

(7) "Conduct Code": Part of a Resident Code. Explains the behavior and attitudes expected of OYA youth in close custody.

(8) "Contraband": Any substance, thing, device, or article not authorized to be in a youth's possession. A list of examples of contraband items will be posted in each living unit.

(9) "Living Unit": The building within which a youth resides while living at a YCF. This does not include isolation units.

(10) "Living Unit Evaluation System": Refers to the living unit grading system under which youth's overall behavior for the week is evaluated by the review committee to determine whether the youth has earned a "passing" week. Privileges may be raised or lowered within this system, subject to the limitations described in the Incident Code, and youth appeal.

(11) "Security": Staff providing security within the YCF. Security staff assist other staff in the supervision, control and transportation of youth. Security staff may work inside or outside of living units.

(12) "Isolation Unit":

(a) A living unit in the YCF where youth are detained for safety of themselves, others, or for offenses for which such a consequence is described in the incident code. In the Isolation Unit youth receive the program described in Division 460 of these rules;

(b) Youth are also placed in the Isolation Unit temporarily while being evaluated for placement in other living units of for off campus placement. Such temporary placement shall not exceed 72 hours except in extraordinary and unanticipated circumstances. Such youth are placed only in the CORE program in the Isolation Unit unless their behavior poses an imminent physical threat to themselves or others, either before or after they enter the Isolation Unit.

(13) "Disciplinary Action": Consequences applied by the YCF toward youth who do not comply with the Conduct Code. The consequences are described in the Incident Code. Disciplinary Action also refers to sanctions applied to YCF staff for infractions of YCF policy or rules.

(14) "Education Department": Oregon Department of Education program which provides academic and vocational training, essentially to meet the individual and unique educational needs of the youth assigned to the YCF corresponding to the public school education programs.

(15) "Foster Home": A family home other than the youth's own home certified by OYA to provide foster care outside of the YCF to one or more OYA committed youth. Placement into foster care does not transfer legal custody of the youth to the foster parent: Legal custody remains with OYA (See ORS 419.507 (7)).

(16) "Youth Correctional Officer": YCF staff assigned to living units, responsible for care, training and custody of youth while in a living unit.

(17) "Incident Code": Part of Resident Code. Describes types of violations of the Conduct Code, and sanctions which may be imposed upon the youth for each type of violation.

(18) "Juvenile Parole and Probation": Refers to Parole and Probation Officers and their supervisors employed by the Oregon Youth Authority of the State of Oregon. These staff are responsible for supervision of youth on conditional release from close custody programs of the Oregon Youth Authority. If deemed necessary because of a youth's behavior, Juvenile Parole and Probation Officers may initiate revocation proceedings, and return youth to the YCF, subject to limitations described in rules 416-300-0000 through 416-300-0120.

(19) "Lead Shift Supervisor": The staff member responsible for supervising or managing a work shift in a living unit or in security.

(20) "Mail": Any kind of letters, cards, boxes, packages or parcels, regardless of how shipped, carried, or delivered, and whether

coming in for or being sent out by or for YCF youth, or being sent between youth in the YCF.

(21) "Medical Clinic": Located at each YCF. Provides medical services for all youth in YCF's.

(22) "Officer of the Day": A person designated by the Superintendent to perform the duties of the superintendent during nights, holidays and weekends.

(23) "Parole": Conditional release of a youth from close custody subject to potential revocation of parole by the Superintendent of the YCF.

(24) "Probation and Parole Officer": The case manager who works with the youth and His/her family and the community while the youth is under commitment to the Oregon Youth Authority.

(25) "Searches and Shakedown": Clothing and skin searches of youth and searches of any building or property of the YCF.

(26) "Youth": Ordinarily any person committed by a court to the Oregon Youth Authority, including youth of the YCF while away from the YCF on parole, on authorized or unauthorized leave, in a camp, or placed in foster care by OYA staff but also

includes any person transferred to the keeping of the YCF from the Oregon Division of Corrections. The Oregon Division of Corrections resumes responsibility for these latter youth after they are released to the community.

(27) "Superintendent": Manager and director of the YCF. Unless the context of a rule requires otherwise the term "superintendent" includes the officer of the day and the superintendent's designee.

(28) "Trust Account": YCF record of the youths' financial deposits at the YCF.

(29) "Visiting Guidelines": Written instructions for persons visiting the YCF and or youth at the YCF.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 410

### ADMISSION CRITERIA TO YOUTH CORRECTIONAL FACILITIES

#### 416-410-0000

##### Purpose and Scope

Applies only to accessing close custody beds in Youth Correctional Facilities. The legislature, through ORS 183.310-183.550, directed the Director of the Oregon Youth Authority to establish, by administrative rule, rules necessary for the administration of the laws that the Oregon Youth Authority is charged with administering.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-410-0010

##### Definitions:

(1) "Public safety reserve" is a category of beds in Youth Correctional Facilities that are reserved for the most serious offenders.

(2) "Juvenile Policy Committee" is an executive administrative group whose members represent the divisions of the OYA.

(3) "Administrative Review Committee" consists of administrative personnel from Youth Correctional Facilities and Community Services who are responsible for the classification and program placement of committed offenders within the close custody system. They are to assure that offenders are in the most appropriate program to meet their needs and assure community protection. All recommendations for community placement and termination from the Youth Correctional Facilities are considered by this committee.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.014, 420.011

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 14-2002, f. & cert. ef. 10-11-02

#### 416-410-0020

##### Admission Criteria

(1) ORS 419.509 limits close-custody placements to youth who require secure custody, are found within the jurisdiction of the court

under ORS 419.476, and are at least 12 years of age. ORS 420.11 limits the number of youth who can be placed in the OYA close-custody system on a given day.

(2) Subject to these limitations, the Oregon Youth Authority, establishes the following criteria for admission to Youth Correctional Facilities:

(a) Display serious and persistent criminal behavior.

(b) Display a lack of responsiveness to the expectations of the court.

(c) Cannot be safely served by available community resources and are in need of a close-custody placement.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-410-0030

##### Public Safety Reserve

(1) The Juvenile Policy Committee (JPC) will determine the number of beds to be set aside for a "Public Safety Reserve" (PSR) to insure that close-custody beds can be accessed for the most serious offenders. (ORS 420.014)

(a) All youth entering a Youth Correctional Facility (YCF) who have been committed (per ORS 420.011) to the custody of the OYA for the following offenses are eligible for a PSR bed:

(A) Murder, as defined by ORS 163.115;

(B) Attempt to commit murder, as defined by ORS 163.405;

(C) Aggravated murder, as defined by ORS 163.095;

(D) Manslaughter in the first degree, as defined by ORS 163.118;

(E) Rape in the first degree, as defined by ORS 163.375;

(F) Sodomy in the first degree, as defined by ORS 163.405;

(G) Unlawful sexual penetration in the first degree, as defined by ORS 163.411;

(H) Assault in the first degree, as defined by ORS 163.185;

(I) Robbery in the first degree, as defined by ORS 164.415;

(J) Arson in the first degree, as defined by ORS 164.325; or

(K) Kidnapping in the first degree, as defined by ORS 163.235.

(b) Upon conditional release from close custody, youth will be removed from PSR eligibility, except those youth who were committed for the following offenses:

(A) Rape in the first degree, as defined by ORS 163.375;

(B) Sodomy in the first degree, as defined by ORS 163.405; or

(C) Unlawful sexual penetration in the first degree, as defined by ORS 163.411.

(c) If a youth returns to close custody, the youth will occupy a county-allocated bed unless:

(A) The youth is returned to close custody for a new PSR offense; or

(B) The youth was originally committed for the following offenses:

(i) Rape 1, as defined by ORS 163.375;

(ii) Sodomy 1, as defined by ORS 163.405;

(iii) Unlawful sexual penetration in the first degree, as defined by ORS 163.411.

(2) The JPC and a representative from the Juvenile Director's Association will monitor the use of the PSR and alter the eligibility of PSR, as necessary.

Stat. Auth.: ORS 420 & ORS 420A

Stats. Implemented: ORS 420.014

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-1999(Temp), f. & cert. ef. 3-15-99 thru 9-1-99; OYA 2-1999, f. & cert. ef. 9-1-99

#### 416-410-0050

##### Discretionary Beds

The remaining beds will be utilized for youth who do not qualify for PSR beds. These beds are considered "discretionary" and counties are expected to limit their use to beds apportioned to their county.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-410-0060



### Standards of Care and Treatment

The OYA ascribes within budget limitations, to the **American Corrections Association Standards** for Juvenile Institutions:

(1) There will be no more than 25 youth in a living unit. (**ACA 2-9119**)

(2) There will be a counselor or treatment manager for every 25 youth. (**ACA 2-9373**)

(3) There will be a teacher for every 15 youth. (**ACA 2-9338**)

(4) There will be sufficient staff to ensure the appropriate supervision of youth at all times. (**ACA 2-9173**)

(5) Facility staff will identify the collective service needs of the juvenile population at least annually. Special programs will be provided to meet the needs of youth with specific types of problems. (**ACA 2-9375**)

[Publications: Publications referenced are available from the agency.]

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-410-0070

#### Maximum Allowable Population Level

The Director of the Oregon Youth Authority shall determine maximum population levels for each YCF as described in ORS 422.014. The maximum population allowable shall not exceed the design capacity for the facility and shall be determined using design capacity and standards of care described in **American Corrections Association Standards for Youth Correctional Facilities**.

[Publications: Publications referenced are available from the agency.]

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 420

### POPULATION LIMITS IN YOUTH CORRECTIONAL FACILITIES AND COUNTY BASED DIVERSION

### 416-420-0000

#### Purpose

The purpose of rules 416-420-0000 through 416-420-0050 is to describe the methods for controlling admissions to Youth Correctional Facilities, in order to comply with the population limits established by statute in ORS 420.014.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-420-0010

#### Definitions

(1) "Youth Correctional Facility" means the Youth Correctional Facilities and Camps in existence on July 1, 1985.

(2) "Department" means the Oregon Youth Authority.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-420-0020

#### Allocation of Population Limits

(1) The combined legislatively designated population limits of the Youth Correctional Facilities less an administrative reserve shall be allocated to the counties.

(2) Each county will be allocated a percentage of the population limit in section (1) of this rule equal to its percentage of the state's youth population, 0-17 years of age.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-420-0030

#### Allocation of Budget Appropriation

When the legislature appropriates funds to the Division expressly for distribution to counties in support of programs to divert youth from the training schools, such funds shall be allocated based on each county's percentage of the state's child population, 0-17 years of age.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-420-0040

#### Acceptance of Diversion Funds

(1) Counties may join in regional plans to combine their population limits and funding.

(2) A county or region of counties that chooses to accept funds to divert youth from Youth Correctional Facilities shall agree in a contract with Oregon Youth Authority not to exceed its allocated population limit.

(3) The contract shall be based on the county's or region's plan developed in accordance with ORS 420.017 and approved by the CSD Administrator.

(4) The county's or region's plan shall contain:

(a) The method for providing evaluation, including education, diagnostic, and placement services;

(b) A process for handling the disposition of parole violations;

(c) A plan for providing backup to community programs;

(d) The type of programs the county or region will use in order not to exceed its training school allocation limit.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-420-0050

#### Counties Not Accepting Diversion Funds

(1) Children's Services Division shall develop a plan so that the population limit will not be exceeded in those counties that choose not to accept diversion funds.

(2) OYA's plan(s) shall include the same content as required for the county's plan, as listed in OAR 416-420-0020.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 430

### BASIC PROCEDURES

### 416-430-0000

#### Purpose

The OYA provides comprehensive reformation programs and values the provision of service in a fair, respectful and humane manner. These rules describe the process for intake and on-going case management that assures appropriate services are provided to meet the individual needs of offenders in OYA custody

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96, OYA 15-2002, f. & cert. ef. 10-11-02

### 416-430-0010

#### Definitions

(1) There shall be standing committees, made up of OYA staff to govern designated matters affecting offenders.

(a) "Administrative Review Board" is a committee (or committees) that reviews and is responsible for all major decisions concerning offenders who currently reside in OYA facilities. These committees determine initial placement of offenders, length of stay, and transfers to other levels of custody; and initiate placements on parole, foster care, or to the community.

(b) "Detention Committee" consists of one or more administrative persons, or their designee, who meet in the isolation unit each working weekday to make decisions governing offenders in this unit who were placed there for assaultive behavior, runaway behavior, or transferred in as parole violators or placements from other OYA facilities. A member of this committee shall conduct preliminary revocation hearings, if necessary, on any parole violators returned.

(c) "Appeals Committee" consists of three members designated by the Administrator. They must be administrative staff or their designees who were not involved in the disciplinary action(s) taken

toward the offenders having hearings. This committee considers only disciplinary actions taken towards offenders. It determines whether or not the discipline imposed was reasonable, considering the behavior and needs of the offender and the circumstances surrounding the actions taken. It ensures that the disciplinary action does not exceed the limits of the Incident Code and the disposition of the offender is otherwise in accordance with the rules governing conduct of offenders and staff in OYA facilities. Each appeal before the committee shall be treated as a contested case under ORS Chapter 183.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 15-2002, f. & cert. ef. 10-11-02

#### 416-430-0020

##### Initial Placement of Offender

(1) New offenders will be oriented at the facility. During the first 30 days they shall receive medical, dental and psychological evaluation as needed and educational testing and evaluation.

(2) After gathering information from the sending community, together with the reports generated within the facility, the administrative review committee shall assign new offenders to a living unit, an OYA camp or a placement in the community.

(3) The offender shall be informed of his or her right to appeal the decision of the administrative review committee.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 15-2002, f. & cert. ef. 10-11-02

#### 416-430-0025

##### Sensitive Case Descriptor Process

(1) Purpose of case descriptors:

(a) Certain types of offender behavior exhibited prior to or following placement in OYA custody are identified as sensitive and cause a sensitive case descriptor to be attached to a case file. In its policy, the OYA will identify and define each case descriptor that staff may use for this purpose.

(b) The purpose of the descriptor is to alert staff to unique situations that can affect the following areas of case management and program planning.

(A) Safety, security and order of facilities and communities. Awareness of unique situations ensure that staff fully consider placement options (both in the facility living unit and in the community), ensuring that safety, security and order of facilities and communities are maintained.

(B) Offender treatment opportunities. Collection of accurate and consistent information will prompt appropriate assessment to identify unique treatment needs where they exist. Such information notifies staff to link offenders with available programming and spurs the development of new programs to meet offender needs.

(C) Transition planning for offenders: The case descriptor will cue staff to consider specific community services available to support the unique needs of the offender.

(D) Effective networking with stakeholders: The case descriptor will ensure that pertinent and accurate information is passed along to stakeholders when offenders transition in and out of the OYA system, and in response to requests for information from stakeholders.

(E) Agency planning. Accurate definition of populations served by the OYA is necessary to present statistical reports in support of current and future programming.

(2) Application of descriptors:

(a) OYA staff will recommend the application of a descriptor in a written report designed for that purpose, and include information that meets the descriptor criteria, as detailed in OYA policy. This information may be derived from a variety of sources, including but not limited to: the offender case file, offender self-reports, or information provided by other agencies.

(b) A recommendation cannot be approved unless there is clear and convincing evidence that the descriptor should be applied.

(3) Notification process:

(a) OYA staff will notify the offender when a descriptor is attached to the case file. The date and manner by which the notification was provided will be noted in the offender case file.

(4) Review of descriptors:

(a) The descriptor will be reviewed whenever an offender transfers to a different placement setting or when new information is received that causes the OYA to consider applying or removing it.

(b) Discussion of the descriptor will be included in the usual case planning or review process.

(5) Removal of descriptors:

(a) In the event a descriptor is improperly applied or when information is received that indicates the descriptor is not needed, a written request shall be made to remove it. This request shall state the reason the descriptor does not apply to the case.

(b) The OYA shall notice the offender when a descriptor is removed.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 15-2002, f. & cert. ef. 10-11-02

#### 416-430-0030

##### Grievance

(1) Offenders will be noticed in writing of their right to appeal decisions of the OYA, including application of a sensitive case descriptor. Such notice shall include a description of the appeal process and applicable time lines, including but not limited to the following provisions.

(a) Any OYA staff shall, if requested by the offender, assist in preparation of the offender's written request for appeal.

(b) This process shall include a hearing to investigate and determine the facts of the matter. The hearing shall be conducted as soon as possible following the offender's request.

(c) The OYA shall, at the request of the offender, furnish reasonable assistance necessary for the offender to prepare for the hearing and present information.

(d) A staff who is the subject of a grievance shall not sit on the committee hearing the matter, but may testify at the hearing.

(e) The offender shall have the right to be represented at the hearing by an available staff member agreeable to the offender and the OYA.

(f) The offender may present testimony or documentary evidence at the hearing and shall have the right to call witnesses for this purpose.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 15-2002, f. & cert. ef. 10-11-02

#### 416-430-0040

##### Medication

(1) The use of medication shall be solely for the health and welfare of youth. Whether medication is to be used or not used and under what conditions is the sole responsibility of the attending physician, subject to the following:

(a) If a youth is otherwise incapable of giving consent, no psychotropic stimulant or tranquilizing drugs shall be administered to the youth without the youth's informed consent unless withholding of the drug would seriously endanger the youth's health. The fact that the youth gave verbal informed consent shall be noted in the physician's record;

(b) Prescription drugs shall be administered by trained living unit personnel under the delegation of licensed medical professionals;

(c) Pharmacy packaging and dispensing will follow OAR governing pharmacy practice and the Nurse Practice Act;

(d) All prescription orders will be authorized by a physician who is licensed in the State of Oregon;

(e) Intra-muscular (IM) injections shall be administered only by a physician, Registered Nurses (RN), or Licensed Practical Nurses (LPN). If the drug may be given either orally or by IM injection, the youth shall have a choice unless otherwise prescribed by the physician;

(f) Except in an emergency as determined by a qualified physician, prescribed medication shall not be administered IM, unless given in a clinical facility equipped to deal with possible adverse effects from the use of said drugs. On YCF grounds "clinical facility" means the YCF Medical Clinic. The youth administered the drug shall be observed during the duration of the drugs effect, by an RN, LPN or MST familiar with the possible adverse and harmful side effects of the drug used. A written record of the observation shall be kept;

(g) No youth shall receive an IM injection of major tranquilizing drugs unless pursuant to a prescription authorizing the use of said major tranquilizing drugs issued by a qualified physician prior to each injection, except when the physician finds a series of IM injections necessary for treatment; in those cases a new prescription will not be required for each shot, provided that:

(A) If a series of shots are given within any 24-hour period, the youth, at the end of that period, shall be evaluated by the physician to determine whether a transfer to a Mental Health Facility would be in his/her best interests;

(B) A new prescription shall be written for any additional series of shots at the end of each 24-hour period.

(h) Oral administration of psychotropic drugs shall be preferred. Prescriptions for oral dosages shall be reviewed and rewritten at least once a month;

(i) The administration of all oral medications will be monitored for adverse or side effects by such a person and in such manner as may be required by the prescribing physician. Isolation Unit and Living unit staff shall be informed of the symptoms of adverse or side effects of oral medications through a written description posted in each living unit and in the isolation unit. This shall be posed in a manual available to all staff administering medications. Staff shall be instructed to promptly refer to any youth on oral medications showing such symptoms to the health clinic for evaluation;

(j) Routine injections may be authorized by a physician and are not subject to requirements of subsection (f) of this section.

(2) Complete records of all use of prescription drugs or medications shall be made on the appropriate forms, to be placed in the youth's medical record.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-430-0050

##### Visitors to OYA facilities

###### (1) Purpose

(a) The OYA acknowledges the importance of partnerships with community members, knowing that the effectiveness of those partnerships is increased when community members understand the services offered by the OYA. As well, the OYA recognizes the importance of interaction between offenders in its custody with family and members of the community. Such access allows offenders to maintain contact with their families and community, and contributes to effective planning for an offender's treatment needs.

(b) This rule defines the process by which persons may gain entrance to OYA facilities for the purpose of increasing individual knowledge about OYA services or interacting with an offender placed there.

###### (2) Facility entrance

(a) The OYA will control access into and out of facilities that physically house offenders, in order to maintain the security, sound order, and discipline within the facility.

(A) Approval to enter secure facilities is granted by the facility Superintendent/Camp Director. This approval may be delegated according to local procedure.

(B) Requests to enter a secure facility require advance notice, according to OYA policy and local procedure.

(C) All persons who enter OYA facilities will be supervised by OYA staff and individual contact with offenders is prohibited, unless specifically authorized by the facility Superintendent/Camp Director.

(D) Persons must conform to all security and control procedures enforced at the facility. Failure to do so is grounds for refusal of entry or removal if entry has already been gained.

(i) Facility staff will notify persons of all rules, policies, and procedures prior to entry into the facility.

(ii) Persons may be asked to submit to a search of their person (using metal detectors or other electronic devices) or personal property.

(ii) The facility will place limitations on the type of property that is allowed within the secure perimeter of the facility. No cameras or tape recorders are allowed without specific written authorization of the facility Superintendent/Camp Director.

###### (3) Tours

(a) Prior authorization and approval by OYA is required for all facility tours, in compliance with these rules and OYA policy and procedure. Typically, tours are granted to persons interested or involved in juvenile corrections, such as:

(A) Oregon state officials;

(B) Juvenile justice professionals from other agencies;

(C) Students older than age 18, as part of an educational program (exceptions may be approved by the facility Superintendent/Camp Director).

(b) All tours will be supervised by OYA staff. Some parts of the facility may be off-limits, and individual contact with offenders is prohibited.

(d) As part of the approval process, the OYA requires that the names of persons who plan to participate in the tour be provided in advance. Persons must check-in at the designated reception area and present picture identification.

(A) Persons not prior authorized to participate in the tour will be denied access into the facility.

(B) Persons who are on parole/probation status in the community, former OYA offenders, or family members of offenders currently under OYA custody must be individually approved in writing by the facility Superintendent/Camp Director to participate in a facility tour.

###### (4) Visits with offenders

(a) Prior authorization and approval by OYA is required for all persons who request to visit an offender, in compliance with these rules and OYA policy and procedure.

(b) OYA staff will consider all requests from individuals who request to visit an offender and allow or deny the visit on the basis of what would best benefit the offender and in the interests of the security and order of the facility.

(A) When making a determination about whether to allow visitation, OYA staff will consider:

(i) The relationship that exists between the offender and the visitor;

(ii) The offender's case plan;

(iii) The goals for the visit;

(iv) Facility security and order;

(v) The offender's wishes;

(vi) Orders of the court;

(vii) The decision of the Department of Corrections (for adult offenders in the physical custody of the OYA).

(B) Visitation with offenders is limited to those persons who are integral to the offender's case plan. Those persons typically include:

(i) Family members, including but not limited to: parents, siblings, children of offenders, legal guardians, members of step families, surrogate parents, or grandparents;

(ii) Attorney for the offender (subject to OAR chapter 416, division 440);

(iii) Persons involved in treatment planning, including but not limited to mentors, transition resources, or placement options; and

(iv) Other persons, as approved on a case-by-case.

(c) Any person may be denied visitation with an offender for the following reasons.

(A) The person does not have prior authorization to visit an offender.

(B) The person appears to be intoxicated or otherwise behaving in an unlawful or inappropriate manner.

(C) The person has abused or may abuse an offender.



(D) The person has encouraged the offender to violate the law or disobey OYA rules, policies or procedures.

(E) There is reasonable cause to believe the person intends to aid an offender in escaping.

(F) The person has violated OYA rules, policies or procedures.

(G) The person has interfered with the good order, security or operations of the facility and there is reasonable cause to believe he/she will do so again.

(H) The time of the person's visit interferes with daily programming.

(I) The visit interferes with the offender's overall reformation.

(J) The committing court, Department of Corrections, or Community Corrections has ordered that the person not visit;

(K) The offender or his/her parent or legal guardian has requested that the person not visit.

(d) If a request for visitation is denied, the OYA will provide the requestor and the affected offender with a written statement of the determination. An offender may appeal the decision using the grievance process outlined in OAR chapter 416, division 20 and facility procedure.

(e) Persons who visit offenders are subject to the following standards.

(A) Visitors must present picture identification.

(C) Visitors must arrange with facility staff prior to the scheduled visitation if they wish to bring personal items or gifts to the offender.

(D) Visitors less than the age of 18 must be accompanied by a parent or guardian.

(E) Visitors must comply with the visitation schedule for each facility, including the day, time, and length of visit allowed, and check-in at the designated reception area.

(F) The number of visitors will be limited where space, supervision and security require it.

(f) Requests from media representatives to visit an offender are subject to the provisions of OAR chapter 416, division 440.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.011, ORS 420A.010, ORS 420A.125

Hist.: OYA 15-2002, f. & cert. ef. 10-11-02; OYA 1-2003, f. & cert. ef. 1-16-03

## DIVISION 440

### ACCESS TO COURTS AND ATTORNEYS, OFFENDER MAIL, AND MEDIA ACCESS

#### 416-440-0000

##### Purpose

(1) The purpose of these rules is to establish and define offender access to courts and attorneys, offender mail privileges, and media access, in a manner that is consistent with OYA's discharge of its statutory responsibilities and its multi-faceted mission to maintain public safety, to hold offenders accountable, and to provide treatment and reformation services.

(2) It is the policy of the OYA that its rules and policies governing the management and operation of its facilities apply to all offenders confined in those facilities, including but not limited to offenders who have been convicted and sentenced as adults and transferred to OYA physical custody.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C.478, 420A.015, 420.011, 420.014, 420A.025 & 420A.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 8-2001(Temp), f. 11-20-01 thru 5-18-02; OYA 11-2002, f. & cert. ef. 5-17-02

#### 416-440-0010

##### Access to Attorneys and Courts

(1) Offenders will be afforded reasonable opportunities to consult privately with legal counsel, either face-to-face or by telephone.

(a) Attorneys of record who wish to consult face-to-face with offenders will make an appointment in advance.

(b) When an offender requests to telephone an attorney or an attorney attempts to make contact via telephone with his/her client, OYA staff will arrange the call as soon as reasonably practical within normal business hours, and in all cases within 24 hours of the

request, excluding weekends or holidays. In an emergency, the call will be arranged as soon as reasonably practical without regard to normal business hours, weekends or holidays.

(c) Staff will not screen or inquire into the reason for or the purpose of the call, except to determine if an emergency exists.

(2) A copy of the current directory of attorneys in Oregon shall be maintained at each OYA facility.

(3) All offenders may access the courts, without obstruction or interference by OYA staff, in order to challenge unlawful commitments and to seek redress for violations of their constitutional rights.

(4) All offenders will be permitted to retain legal papers and correspondence in a confidential manner. Written correspondence between attorneys and offenders is discussed in OAR 416-440-0020.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C.478, 420A.015, 420.011, 420.014, 420A.025 & 420A.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2002, f. & cert. ef. 5-17-02

#### 416-440-0020

##### Offender Mail

(1) The OYA realizes it is important for offenders in its custody to maintain ties with the community through written correspondence with community members, family, and friends. Within the administration of its facilities and programs, the OYA seeks to balance the positive effects of community contact with the responsibilities and values of the agency's mission.

(2)(a) An offender's right to send and receive mail will be protected unless a legitimate concern exists that the correspondence threatens the preservation of order, security or discipline of a facility/program; poses a threat to the safety of the program, public officials, or the general public; is being used to further illegal activities or; the courts limit individual rights.

(b) When such concerns exist, OYA staff may inspect, read, or reject offender mail, according to the provisions of Oregon statute and administrative rules, and OYA policies and procedures.

(3) Offender correspondence is designated business or personal.

(a) Business correspondence is mail sent to and received from an attorney, court or court official, legal aid bureau or any other agency or person that provides legal services to the offender; the Oregon governor or member of the Oregon legislature; or OYA administration and management. No limits shall be placed on the amount of business mail sent or received. Business mail shall remain sealed.

(b) Personal correspondence is all other mail.

(4) If the offender bears the cost of postage, there is no limitation on the volume of mail sent. OYA facilities will provide up to three stamps per week for personal correspondence, if offenders have no other resources.

(5) Personal mail may be inspected for contraband. If contraband items are found, they will be removed and documented and the mail forwarded to the offender.

(6) All mail will:

(a) Be placed in an envelope or appropriate packaging acceptable by the official mail carrier.

(b) Include a sending and return address on the envelope or package. Offenders may not send or receive mail on behalf of another offender.

(c) Contain appropriate postage.

(d) Be sent via the U.S. Postal Service or official carriers. Business correspondence sent to or received from officials of the OYA or other state agencies or departments may be sent through inter-department or state shuttle systems; offenders shall not use such systems for personal correspondence.

(e) Be given to the offender within 24 hours of receipt for letters, and no more than 48 hours for packages, excluding weekends and holidays.

(6) Prohibited mail is any material that threatens or is detrimental to security, safety, or order within a facility or program, including but not limited to:

(a) Clear and convincing evidence that causes OYA staff to believe that a specific piece of mail contains escape plans, plans to commit a criminal act or to violate facility rules, or the mail constitutes a crime in or of itself or is used in the furtherance of illegal activity;

(b) Sexually explicit material which by its nature or content poses a threat or is detrimental to the security, safety, or order of the facility or program, or facilitates criminal activity;

(c) Mail sent on behalf of another offender;

(d) Contraband items, including but not limited to weapons or explosives, medications, electronic items, or photographs with chemical substances on the back of the photograph;

(e) Unauthorized business transactions, such as promotions given in exchange for purchase or subscription, record or book clubs, requests or applications for credit cards, credit or deferred billing transactions;

(f) Publications not on the facility's approved reading list and/or sent other than from the official publisher; and

(g) Attachments or enclosures that are glued, taped or otherwise affixed to the envelope or package or its contents.

(7) Prohibited mail may be read or rejected by OYA staff.

(a) For offenders placed in OYA facilities, only the Superintendent/Camp Director, or specific designee, may read or reject an offender's mail.

(b) For offenders placed under supervision in the community, only the local Supervisor, or specific designee, may read or reject an offender's mail.

(8) If mail is rejected, both the sender and intended recipient will be notified.

(9) When an offender transfers and an address is available, all letters and packages will be promptly forwarded, unopened to the offender. If no address is available, the mail will be marked "Not at this address" and returned, unopened, to the post office.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C.478, 420A.015, 420.011, 420.014, 420A.025 & 420A.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 11-2002, f. & cert. ef. 5-17-02

#### 416-440-0030

##### Media Access

(1) The OYA will deny media access to OYA facilities, programs, and/or offenders when the purpose of the request is to profile specific offenders. Access to offenders includes interviews conducted in-person or by telephone.

(2) The OYA will consider media access to OYA facilities, programs, and/or offenders when the purpose of the request is to promote an understanding of OYA programs or services, but only when such access benefits the agency, the offender, and/or the community.

(3) When determining whether to approve media access, the OYA will consider the safety, security, and order of its facilities or programs; the effective treatment, rehabilitation, reformation, and education of offenders; and due regard for the mental and emotional well-being of offenders.

(4) Media representatives who wish to access OYA facilities or programs, or interview offenders shall make written application to do so, detailing the name of the organization making the request and the purpose for the access. If access is granted, the following conditions apply.

(a) The OYA will determine which offenders and/or OYA staff are appropriate to be involved.

(b) Offender participation is voluntary.

(c) Offenders will not receive compensation or anything of value for an interview.

(d) Offenders will not be identified by any means, including the use of full name, physical description, photographs, filming, or voice records that might reveal the offender's identity.

(e) Media representatives will make advance arrangements for visits to OYA facilities or programs. Media visits may be suspend-

ed during a facility emergency or when media representatives refuse or fail to adhere to OYA rules and policies.

(5) OYA staff will always provide public information upon request, as provided by statute, rule, policy or procedure.

(6) Offenders may receive and respond to mail from media representatives as provided in OAR 416-440-0020.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 419C.478, 420A.015, 420.011, 420.014, 420A.025 & 420A.105

Hist.: OYA 8-2001(Temp), f. 11-20-01 thru 5-18-02; OYA 11-2002, f. & cert. ef. 5-17-02

## DIVISION 450

### VOLUNTEER SERVICES IN FACILITIES

#### 416-450-0000

##### Purpose

The OYA will utilize volunteers as a means to enhance programs and expand services in its close custody facilities and offices, as defined by this rule.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02; OYA 13-2002, f. & cert. ef. 8-26-02

#### 416-450-0010

##### Definitions

(1) A volunteer is a person who, on a non-paid basis, provides services to the OYA, including:

(a) Mentors: Persons who establish a relationship with a specific offender.

(b) Professionals: Persons who educate offenders or teach particular skills/tasks without establishing a relationship with a particular offender.

(c) Students: Persons enrolled in a college- or university-sanctioned program who earn college credit for their activities.

(d) Religious: Persons who assist with religious programming or services.

(2) Within OYA close custody facilities, persons may apply to serve in any of the volunteer categories described in section (1) above.

(3) Within OYA Parole/Probation or Administrative offices, persons may apply to serve in the student category, as described in section (1) above.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02; OYA 13-2002, f. & cert. ef. 8-26-02

#### 416-450-0020

##### Exclusions

The following individuals are not considered volunteers, and are therefore excluded from these rules:

(1) Individuals under contract to the OYA;

(2) Individuals on official business, such as an attorney for an offender;

(3) Individuals who provide services through an on-site school and are screened, trained, and supervised by school district personnel; and

(4) A guest invited to an OYA facility on a one-time basis for a special program. Such visitors are not allowed contact with offenders out of the sight and hearing of OYA staff.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02

#### 416-450-0030

##### Volunteer Coordinator

(1) Each OYA close custody facility and office will assign a Volunteer Coordinator who is responsible for volunteer activities, including but not limited to volunteer recruitment, selection, utilization, and evaluation.

(2) The Volunteer Coordinator will maintain a system of recording information about volunteers including but not limited to;

(a) Personal information, including references and criminal history clearance.

(b) Training documentation.

(c) Service evaluation.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02; OYA 13-2002, f. & cert. ef. 8-26-02

#### 416-450-0040

##### Application Process

(1) Volunteers will be recruited from all ethnic, cultural, and socio-economic segments of the community.

(2) All volunteers shall be screened and approved by the OYA prior to the provision of service. The OYA holds the ultimate authority to approve or deny a volunteer application or continued volunteer service.

(a) Applications received from persons working within the juvenile justice system shall be reviewed by the OYA to determine whether a conflict of interest may apply.

(b) Applications received from OYA employees shall be reviewed and approved by the OYA Business Services office.

(c) Persons may not serve as volunteers in a facility in which a relative or family friend is detained, unless such applications are approved in writing by the region's Area Coordinator.

(3) All prospective volunteers shall:

(a) Be age 21 or older. Exceptions may be made for students aged 18 or older who are required to participate in such experience to gain a college certificate or diploma or professional licensing; and other applicants aged 18 or older who will not have direct contact with offenders out of sight or hearing of OYA staff. Exceptions must be approved in writing by the region's Area Coordinator.

(b) Complete an OYA application;

(c) Provide criminal offender information in the manner prescribed by these rules and division 800 rules, including an annual review of the person's criminal history;

(d) Complete the appropriate OYA training, as defined by the Volunteer Coordinator; and

(e) Be reviewed annually to ensure continued compliance with approval criteria, service performance, and need for continued service.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02

#### 416-450-0050

##### Criminal History

(1) The standards of OAR chapter 416, division 800 apply.

(2) The OYA shall conduct a criminal history check of all persons seeking or granted volunteer status, as follows.

(a) Fingerprint-based and computerized review at the time of application for those persons seeking to become volunteers on or after Feb. 1, 2002. These persons may not provide volunteer services until the results of both criminal histories are reviewed and approved, according to OAR chapter 416, division 800.

(b) Persons who were granted volunteer status before Feb. 1, 2002 shall submit to a fingerprint-based check and computerized review of their criminal history at or before the date of the first service evaluation following Feb. 1, 2002. If the results of these criminal history checks do not meet the standards defined in OAR chapter 416, division 800, volunteer status will be terminated.

(c) All volunteers shall submit to a computerized check at the time of the annual service evaluation. If the results of these criminal history checks do not meet the standards defined in OAR chapter 416, division 800, volunteer status will be terminated.

(3) Volunteer Coordinators shall notify all prospective and current volunteers of these requirements. If a person refuses to consent to a criminal offender history check as described by these and OAR chapter 416, division 800 rules, the individual shall be disqualified or terminated from volunteer service.

(4) Volunteers shall immediately notify the OYA of all criminal arrests and unlawful use of alcohol and/or drugs.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02

#### 416-450-0060

##### Training and Responsibilities

(1) The OYA may place restrictions upon volunteer service to ensure safety and security of persons and/or facilities.

(2) The Volunteer Coordinator shall ensure that an orientation is provided to each volunteer, including but not limited to:

(a) Safety and security procedures;

(b) Fire safety and emergency evacuation plan;

(c) Responsibilities during any emergency;

(d) Name of person responsible to work with the volunteer and monitor duties, as well as the line of authority in that close custody facility or office;

(e) List of primary rules, policies and procedures associated with the services provided, including, at a minimum: the agency mission, confidentiality, offender rights, and appropriate relationship boundaries;

(f) Time and place to report for duty and whom to contact when unable to report for duty; and

(g) Tour of relevant areas of the close custody facility, office or community where the volunteer will serve.

(3) All volunteers are responsible to follow OYA rules, policies and procedures.

(4) Volunteers may not perform professional services requiring certification or licensing unless active credentials and/or certificates are available and on file in the volunteer's record.

(5) Volunteers shall maintain a professional relationship with offenders.

(6) A volunteer may be terminated at any time for violation of OYA rules and procedures, or when there is no longer a need for the volunteer's services.

(7) Volunteers whose applications are denied, or volunteers who are terminated as a result of performance of duty, may not serve at another close custody facility.

(a) Regional Area Coordinators may approve exceptions to this standard. Such exception will be written and maintained in the volunteer file.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.100 & ORS 420.105

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 2-2002, f. & cert. ef. 1-18-02; OYA 13-2002, f. & cert. ef. 8-26-02

## DIVISION 460

### JUVENILE SEX OFFENDER ASSESSMENT AND TREATMENT

#### 416-460-0000

##### Purpose

Youth sexual offenders characteristically begin their offending behaviors in early adolescence or younger. The sooner intervention can occur in this cycle, the better the offender can be taught to control his/her deviant actions. Because the treatment methods may be of an intrusive nature, these guidelines are set forth to help determine the appropriate type of treatment. These rules apply only to those who have been adjudicated for sex offenses.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-460-0010

##### Definitions

(1) "Behavioral Therapy" means therapy that attempts to decrease deviant sexual arousal and gives the offender tools for self-control.

(2) "Cognitive Ownership" means acceptance of responsibility through verbal, signing, written, etc., means.



(3) "Emotional Ownership" means acceptance of responsibility through the understanding and genuine demonstration of empathy

(4) "Covert Positive Reinforcement" means therapy which attempts to pair the chain of events leading to a sexual assault with a self-initiated interruption scene followed by a reward scene.

(5) "Covert Sensitization" means therapy that attempts to reduce deviant arousal by instantly pairing pre-assault behaviors with highly aversive fantasies.

(6) "Polygraph" means an instrument that simultaneously records changes in such physiological processes as heartbeat, blood pressure, and respiration, and is often used as a lie detector.

(7) "Risk" means the potential for reoffending and for resisting or failing in treatment.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-460-0020

##### Eligibility for Services

Eligibility for Services: Youth under the age of 18 years, in the care, custody, and control of the Oregon Youth Authority, who have been adjudicated for sex offenses.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-460-0030

##### Assessment

(1) Preliminary Assessment. Assessment for treatment planning of youth with sexually aggressive behaviors should proceed only after adjudication has occurred:

(a) The goals of sexual offender specific treatment are:

(A) To stop sexually offending behavior;

(B) To protect members of society from further sexual victimization;

(C) To prevent other aggressive or abusive behaviors which the offender may manifest; and

(D) To promote healthy sexual development.

(b) When juveniles have sexually assaulted family members within their own home, it is strongly recommended that the offending juvenile be placed outside the home in the least restrictive environment that allows for community safety, or where the assessment indicates. Offenders should not be placed in homes where other youth may be endangered. They should be in settings where their behavior can be adequately monitored and controlled.

(c) For the purposes of treatment of sexually aggressive juveniles, it is essential to first evaluate and thoroughly assess each individual and determine the extent of the offending behavior. An assessment must include the following areas:

(A) Victim statements;

(B) Personal and family psycho social history;

(C) History of sexually aggressive behavior;

(D) Dynamics/process of victim selection;

(E) Use of force, violence, weapons;

(F) Spectrum of injury to victim;

(G) Fantasy structure and development;

(H) Obsessive/Compulsive behavior;

(I) History of assaultive behaviors;

(J) Chronic/situational factors;

(K) Mental status with DSM IV diagnosis;

(L) Attention Deficit Disorder;

(M) Behavioral warning signs; identifiable triggers;

(N) Degree of criminal thinking;

(O) Degree of emotional ownership;

(P) Denial or minimization by offender and family;

(Q) Victim empathy, capacity for empathetic thought;

(R) Substance abuse; juvenile sex offender and family;

(S) History of sexual victimization;

(T) Family dysfunction; family strengths;

(U) Parental separation/loss;

(V) Masturbatory patterns;

(W) Impulse control;

(X) Paraphilias;

(Y) Mental status/retardation/developmental disability;

(Z) Organicity/neuropsychological factors;

(AA) Number of sexual contacts;

(BB) Number of victims;

(CC) Measurable outcomes.

(2) Assigning Risk Level. After an assessment has been completed, a determination should be made as to the risk level presented by the juvenile:

(a) Risk is defined as the potential for reoffending and for resisting or failing in treatment. Use Attachment 2, "Risk Assessment Profile," when determining the juvenile's risk level;

(b) The determination of risk for each adolescent offender should be a multidisciplinary decision involving the offender therapist, counselor, OYA supervisor, juvenile department counselor and victim therapist;

(c) If the youth presents low risk according to the "Risk Assessment Profile," treatment should proceed focusing on cognitive restructuring:

(A) Use of the polygraph should be made only with signed, informed consent of the offender and his/her parents/guardians. This informed consent is to be used regardless of whether a court order requiring its usage exists or not;

(B) The polygraph exam shall be administered only by persons licensed or certified by their respective disciplines.

[Attachments: Attachments referenced in this rule are available from the agency.]

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-460-0040

##### Treatment

(1) Treatment in specialized offense-specific peer groups, with individual session follow-ups are the treatment modality of choice. The family should be a key part of the treatment planning. The treatment is to be geared toward the chronological and developmental needs of the offender. Treatment issues to be addressed for all risk categories include the following:

(a) Substance abuse intervention;

(b) Human sexuality education;

(c) Academic assessment;

(d) Social skills training;

(e) Assertiveness training;

(f) Anger and stress management;

(g) Victimization/Survivor issues;

(h) Family therapy;

(i) Cognitive and emotional ownership (includes disclosure);

(j) Values clarification;

(k) Stress management;

(l) Cycle recognition/self-intervention;

(m) Criminal thinking patterns;

(n) Role play.

(2) In addition to the above, if the offender in the medium to high risk category demonstrates assaultive, compulsive, or repetitive acts of sexual offending, then behavioral therapy can be introduced. Also, behavioral therapy can be introduced after cognitive methods have failed.

(3) The decision to utilize aversion therapy should be discussed with the juvenile offender and his/her parent or guardian after other therapies have failed. The rationale for this choice should be documented in the case record. The Director of the Oregon Youth Authority or designee must then provide written consent to proceed. Should the parent/guardian or client refuse to sign, a review hearing should be requested to determine the course of action.

(4) Relapse prevention is an essential component to the juvenile's treatment plan. Whether he/she is placed in or out of the home, the primary parental figures, parole officer, or other significant figure in the juvenile's life should know and understand his/her assault cycle so as to support the offender in learning to intervene in his/her own cycle.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**DIVISION 465**

**BLOOD AND BUCCAL SAMPLES**

**416-465-0000**

**Purpose**

When an offender in the custody of the OYA has been adjudicated or convicted of a subject crime, the OYA shall cause a DNA sample to be collected, as defined by Oregon statute.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 137.076, ORS 161.325 & ORS 419C.473

Hist.: OYA 3-2002, f. & cert. ef. 1-18-02

**416-465-0010**

**Definitions**

(1) "Offender" means:

(a) Youth offenders in the legal and physical custody of the OYA, either in OYA facilities or placed in the community under supervision.

(b) Adult offenders in the legal custody of the Department of Corrections and the physical custody of the OYA in OYA facilities.

(2) "Subject crime" is defined by ORS 137.076.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 137.076, ORS 161.325 & ORS 419C.473

Hist.: OYA 3-2002, f. & cert. ef. 1-18-02

**416-465-0020**

**Sample Population**

(1) The OYA shall obtain a blood or buccal sample from any youth offender in its legal custody who has committed a subject crime when the court has ordered such sample.

(2) Upon agreement with the Oregon Department of Corrections (DOC), the OYA may obtain a blood or buccal sample from any offender in the legal custody of the DOC who is placed in the physical custody of the OYA when such offender has been convicted of a subject crime and the DOC requests that such sample be taken.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 137.076, ORS 161.325 & ORS 419C.473

Hist.: OYA 3-2002, f. & cert. ef. 1-18-02

**416-465-0030**

**Process**

(1)(a) As soon as practical after conviction or receipt of a court order, the OYA shall request that the offender provide a blood or buccal sample.

(b) The offender shall supply the sample upon request.

(c) The offender may be asked to reimburse the agency for the cost of obtaining and transmitting the blood or buccal sample, when so ordered by the court.

(d) At the time the sample is taken, the OYA will ask the offender to provide a thumbprint for identification purposes.

(2)(a) The OYA shall obtain and transmit the sample to the Department of State Police, as defined by agency procedure.

(b) The Department of State Police will notify the OYA if a sample is not adequate for analysis. If this occurs, the OYA will require that the offender provide an additional sample.

(3) A blood sample may only be drawn in a medically acceptable manner by a licensed professional nurse, a licensed practical nurse, a qualified medical technician, a licensed physician or a person acting under the direction or control of a licensed physician.

(4) A buccal sample may be obtained by anyone authorized and trained to do so by the OYA. The OYA shall require that staff obtaining the samples shall follow the collection procedures established by the Department of State Police.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 137.076, ORS 161.325 & ORS 419C.473

Hist.: OYA 3-2002, f. & cert. ef. 1-18-02

**416-465-0040**

**Exceptions**

No sample is required to be obtained if:

(1) The Department of State Police notifies the court or the OYA that it has previously received an adequate sample; or

(2) The court determines that obtaining a sample would create a substantial and unreasonable risk to the health of the offender.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 137.076, ORS 161.325 & ORS 419C.473

Hist.: OYA 3-2002, f. & cert. ef. 1-18-02

**DIVISION 470**

**OREGON YOUTH AUTHORITY YOUTH CONDUCT, INCIDENTS AND PRIVILEGES**

**416-470-0000**

**Youth Conduct**

OYA shall establish and maintain an overall Youth Conduct Code to include the following written codes for youth:

(1) The Conduct Code, which explains the behavior and attitudes expected of youth.

(2) The Incident Code, which describes types of prohibited behaviors and the maximum consequences which may be imposed upon the youth for each type of violation.

(3) The Codes shall be provided and explained to each new youth entering the Youth Correctional Facility, and copies of the codes shall be retained in each living unit for use by youth.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-470-0010**

**Conduct Code**

Introduction to Conduct Code:

(1) An introduction to the Youth Conduct Code shall be provided to each youth.

(2) Each youth shall be provided a description of basic conduct expected of all youth.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-470-0020**

**Incident Code**

Introduction to Incident Code:

(1) Prohibited behaviors and incidents are defined in the Incident Code, which is divided into three levels: Level I, codes in the 100 series (most severe); Level II codes in the 200 series; and Level III codes in the 300 series (least severe).

(2) The Incident Code includes only behaviors and incidents severe enough at their worst degree that they may, in extreme cases only, warrant the actions shown in the "Maximum Consequences" column. Each behavior or incident is assigned a code number for reference defined, and coordinated with potential maximum consequence.

(3) In deciding which consequences to apply, if any, OYA staff shall, to the best of their ability, consider the youth's intent, his/her understanding of Youth Correctional Facility requirements, and the circumstances surrounding the incident. Maximum consequences shall not be imposed for violation of the Incident Code except in those instances where the circumstances clearly merit that action.

(4) All disciplinary actions may be appealed by the youth as provided in OAR 416-430-0030: Grievance Appeal Procedures for Youth.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-470-0030**

**Level I Incidents**

Introduction and Definitions:

(1) Youth may immediately be placed in the Isolation Unit, pending a hearing, if so decided by security staff. A report must be used for all cases where the youth is placed in the Isolation Unit.

(2) Upon return from the Isolation Unit and prior to re-entry into the living unit program, youth's privileges may be reduced to a lower level. This level would be pending the Case Review Committee's

evaluation of the youth's program unless otherwise indicated by administrative review.

(3) "Re-entry," as used in the list of Maximum Consequences, means beginning at that level of Living Unit Program determined to be appropriate by the Case Review Committee.

(4) "Evaluation System" as used in the Maximum Consequences Column refers to the grading system under which a youth's overall behavior for the week is evaluated by the Case Review Committee to determine whether the youth has earned a "passing" week. Privileges may be raised or lowered within this system, subject to the limitations described in the Incident Code, and subject to appeal.

(5) "Restriction" as used in the Maximum Consequences Column means a youth's living unit and facility movements are restricted.

(6) All disciplinary actions may be appealed by the youth, as provided in OAR 416-430-0030.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0040

##### Level I Incident Code

(1) Code 100:

(a) Incident or Behavior: Illicit Possession or Use of Drugs;

(b) Definition: Have in possession, conceal, or use any drug not prescribed by a doctor or medical department. This includes the unauthorized possession or use of dangerous inhalants, toxic substances, or alcohol;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program. Youth involved in Code 100 violations shall have a report sent to the Alcohol and Drug Coordinator for possible intervention and treatment.

(2) Code 101:

(a) Incident or Behavior: Possession of Dangerous Weapon;

(b) Definition: Have on person or in possession, without lawful authority, any instrument, article or substance which under the circumstances in which it is used, attempted to be used or threatened to be used, is readily capable of causing death or serious physical injury, including, but not limited to: blackjack, slingshot, billy club, sand club, metal knuckles, bomb, explosive substances, irk, dagger, knife, pistol, revolver, or other firearm.

**NOTE:** "Serious physical injury" means physical injury which creates a substantial risk of death or which causes serious disfigurement, impairment of health, or loss or impairment of the function of any bodily organ.

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(3) 105:

(a) Incident or Behavior: Unauthorized Absence from a Youth Correctional Facility;

(b) The unlawful departure from custody of a correctional facility. This includes the unauthorized departure or absence from this state or failure to return to this state.

(4) Code 106:

(a) Incident or Behavior: Escape from home or community activities;

(b) Definition: Leaving the presence of approved immediate supervisor (guardian, parents, staff members or their designee) without permission;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program: 15 day cottage restriction unless otherwise ordered by the Superintendent or designee.

(5) Code 107:

(a) Incident or Behavior: Attempted Escape;

(b) Definition: Leaving: Acts which could reasonably be construed as an attempt to escape, including: leaving assigned areas without permission, hiding, running from supervisor, prying locks, breaking windows, making plans to escape;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(6) Code 108:

(a) Incident or Behavior: Jeopardizing Group Safety;

(b) Definition: Behavior endangering the safety of the group or the internal security of the YCF. For example:

(A) Out of bed in dorms without permission;

(B) Bringing combustible material to area specified as hazardous.

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(7) Code 109:

(a) Incident or Behavior: Serious Fight;

(b) Definition: A fight between youth in which one or more of the following occurred: a substantial number of blows are exchanged, some degree of injury was incurred by one or both parties, the staff present were unable to stop the fight with verbal warnings.

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(8) Code 110:

(a) Incident or Behavior: Assault.

(b) Definition: To inflict, or cause to be inflicted, physical injury upon another person. In determining whether to impose the maximum consequences or some lesser consequences, the Administrative Committee shall, based on medical reports consider whether or not the injury was serious, whether or not the injury was intentionally or carelessly caused, and whether or not a dangerous weapon was used.

**NOTE:** "Serious physical injury" means physical injury which creates a substantial risk of death or which causes serious disfigurement, impairment of health, or loss or impairment of the function of any bodily organ.

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(9) Code 111:

(a) Incident or Behavior: Provoked Assault;

(b) Definition: An act, in response to a physical assault, where the amount of physical force used exceeds the amount necessary to defend one's self. Or, aggressive retaliation;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(10) Code 112:

(a) Incident or Behavior: Coercion and intimidation: Threatened Assault: Strong-Arming;

(b) Definition: Threats or actions intended to force someone to do an act not otherwise required: or, to threaten bodily harm for the purpose of intimidation;

(c) Isolation unit prior to re-entry into program.

(11) Code 113:

(a) Incident or Behavior: Harassment;

(b) Definition: To deliberately disturb or irritate another person, to provoke hostility; includes using abusive and obscene language and gestures directed to staff, youth or others;

(c) Maximum Consequences: Isolation Unit and or Evaluation System.

(12) Code 115:

(a) Minor Law Violations;

(b) Definitions: Engaging in any law violation which constitutes a misdemeanor. Includes shoplifting, stealing, unauthorized possession or destruction of property of less than \$200 value, etc.;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program.

(14) Code 120:

(a) Incident or Behavior: Prohibited Sexual Behavior (alone or among Consenting Parties);

(b) Definition: To perform acts of sexual intercourse, sodomy, public masturbation, or public exposure of genitals. "Sodomy" means sexual contact between the sex organs of one person and the mouth or anus of another;

(c) Maximum Consequences: Isolation Unit prior to re-entry into program. Keep under supervision.

(15) Code 125:

(a) Incident or Behavior: Refusal to Obey a Staff Directive;

(b) Definition: To refuse to obey reasonable requests made by staff members;

(c) Maximum Consequences: Isolation Unit or Evaluation System.

(16) Code 127:



(a) Incident or Behavior: Actual Assistance of Level I Code Violators;

(b) Definition: Encourage, support or render help to another for the purpose of breaking Level I Code(s);

(c) Maximum Consequences: Same as for actual Code(s) violated.

(17) Code 130:

(a) Incident or Behavior: Involvement in gang related activity;

(b) Definition: Sagging pants, throwing signs, writing gang graffiti on folders or paper, verbal or physical gestures to opposing sects;

(c) Maximum Consequences: Isolation Unit or Evaluation System. Youth accused of such behavior will have a report sent to the Minority Youth Coordinator for possible intervention and treatment.

(18) Considerations for use of Level I Incident Code Maximum Consequences:

(a) Final assessment of the defined behavior may include a current psychiatric or psychological evaluation prior to assignment of consequences;

(b) Maximum consequences shall not be imposed for violation of the Incident Code except in those instances where the circumstances clearly merit that action.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0050

##### Level II Incidents

Introduction and Definition:

(1) Level II Incidents are less severe than Level I Incidents. Reports need not be used for Level II Incidents unless the youth is placed in the Isolation Unit or receives a medical evaluation.

(2) "Emergency placements" in the Isolation Unit for Level II Incidents shall be subject to the provisions of rule relating to Isolation Units.

(3) "Evaluation System" as used in the Maximum Consequences Column refers to the living unit grading system under which a youth's overall behavior for the week is evaluated by the Case Review Committee to determine whether the youth has earned a "passing" week. Privileges may be raised or lowered within this system, subject to the limitation described in the Incident Code, and subject to appeal.

(4) Maximum Consequences shall not be imposed for violation of the Incident Code except in those instances where the circumstances clearly merit that action.

(5) All disciplinary actions may be appealed by the youth, as provided in OAR 416-430-0030: Grievance-Appeal Procedures for Youth.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0060

##### Level II Incident Code

(1) Code 201:

(a) Incident or Behavior: Smuggling;

(b) Definition: To bring in or have in possession contraband not seen as a serious threat to group management. A list of contraband items will be posted in each living unit;

(c) Maximum Consequences: Evaluation System.

(2) Code 206:

(a) Incident or Behavior: Self Detailing;

(b) Definition: Presence in an unauthorized area. To be in an unauthorized area. To be out of predefined bounds; for example, is assigned to go to maintenance but is found playing around school area. Chronic tardiness or unexcused delay in reporting to a designated area or classroom;

(c) Maximum Consequences: Evaluation System.

(3) Code 207:

(a) Incident or Behavior: Violating Condition of Home Visit, Foster Home Trial Visits or Authorized Absence.

(b) YCF staff will define specific conditions or behavior and conduct to each youth prior to home visits, foster home trial visits, or authorized absences.

(c) Maximum Consequences: Evaluation System and Loss of off campus privileges until approved by the Case Review Committee.

(4) Code 208:

(a) Incident or Behavior: Group Management Disturbances;

(b) Definition: To intentionally harass, incite, instigate, or arouse members of a group to the point where there is imminent danger of personal injury, property destruction or violation of rules;

**NOTE:** If personal injury, unauthorized absence, or damage over \$200 results from this behavior, this offense will be rated as Level I behavior.

(c) Maximum Consequences: Evaluation System.

(5) Code 209:

(a) Incident or Behavior: Actual Assistance of Level II Code Violators;

(b) Definition: Encourage, support or render help to another for the purpose of breaking Level II Code(s);

(c) Maximum Consequences: Same as for actual Codes violated.

(6) Code 210:

(a) Incident or Behavior: Minor Fights;

(b) Definition: Aggressive physical contact stemming from an argument or disagreement between youth. The fight is brief, no apparent attempt to seriously hurt others, and youth cooperates with staff requests to stop;

(c) Maximum Consequences: Evaluation System.

(7) Code 212:

(a) Incident or Behavior: Attempted Suicide or Suicide Gestures;

(b) Definition: To deliberately cause physical harm to one's own person as a suicidal gesture or an attempt to take one's own life. May be characterized by the severity and type of injuries, or by the occurrence of a traumatic event prior to the attempt;

(c) Maximum Consequences: Close supervision in Medical Clinic or Isolation Unit. Youth must receive a medical examination.

(8) Code 213:

(a) Incident or Behavior: Self-Inflicted Marking or Scarring of Body;

(b) Definition: To mark, scar, or cut own body without suicidal intent. Physically destructive game playing;

**NOTE:** If items such as guns, knives, illicit drugs or other objects of a highly dangerous nature are involved, rate as a Level I incident. Code 100 or 101.

(c) Maximum Consequences: Evaluation System. Youth must receive a medical examination at the medical clinic.

(9) Considerations for use of Level I Incident Code Maximum Consequences:

(a) Final assessment of the defined behavior may include a current psychiatric or psychological evaluation prior to assignment of consequences;

(b) Maximum consequences shall not be imposed for violation of the incident Code except in those instances where the circumstances clearly merit that action.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0070

##### Level III Incidents

Introductions:

(1) The Level III incidents (least severe violations) are normally handled by temporary loss of the privilege violated, other appropriate activity related to the violation, and within the daily evaluation system of the basic program.

(2) All disciplinary actions may be appealed by the youth, as provided in OAR 416-430-0030: Grievance-Appeal Procedures for Youth.

(3) Evaluation System as used in the maximum consequences column refers to the grading system under which a youth's overall behavior for the week is evaluated by the Case Review Committee to determine whether the youth has earned a "passing" week. Priv-

ileges may be raised or lowered within this system, subject to the limitation described in the Incident Code, and subject to appeal.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0080

##### Level III Incident Code

(1) Code 300:  
(a) Incident or Behavior: Tobacco Violation;  
(b) Definition: Use of tobacco products;  
(c) Maximum Consequences: Evaluation System and/or loss of privileges.

(2) Code 305:  
(a) Incident or Behavior: Tardiness;  
(b) Definition: Reporting to designated area or classroom after designated time. Chronic Tardiness or unexcused delay exceeding 3 minutes is a Code 206 violation;  
(c) Maximum Consequences: Evaluation System and/or one hour study hall and/or study hour on unit.

(3) Code 306:  
(a) Incident or Behavior: Clothing Violation;  
(b) Definition: To dress in inappropriate attire for any activity. Appropriate attire will be determined facility policy. A dress code will be posted in each living unit;  
(c) Maximum Consequences: Evaluation System.

(4) Code 307:  
(a) Incident or Behavior: Poor Application;  
(b) Definition: Failure to perform assignments or activities;  
(c) Maximum Consequences: Evaluation System and/or satisfactory completion of assignment or task.

(5) Code 308:  
(a) Incident or Behavior: Poor Sportsmanship;  
(b) Definition: To be unfair, discourteous, or unpleasant during recreational activities;  
(c) Maximum Consequences: Evaluation System and/or remove immediately from the activity. Suspension from the following event.

(6) Code 310:  
(a) Incident or Behavior: Excessive Horseplay;  
(b) Definition: Continuous, rough or boisterous play, not resulting in intimidation or harassment;  
(c) Maximum Consequences: Evaluation System and/or suspension of the specific recreational activity.

(7) Code 311:  
(a) Incident or Behavior: Activity Disruption;  
(b) Definition: Actions that disrupt the activities of the group;  
(c) Maximum Consequences: Evaluation System.

(8) Code 315:  
(a) Incident or Behavior: Dishonesty;  
(b) Definition: To lie to another, to con or give false or misleading information: cover for mistakes;  
(c) Maximum Consequences: Evaluation System.

(9) Considerations for use of Level I Incident Code Maximum Consequences: Maximum consequences shall not be imposed for violation of the Incident Code except in those instances where the circumstances clearly merit that action.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0090

##### Procedures When a Level I Incident Occurs

###### Level I Incidents:

(1) As soon as is practicable, but in no case more than 24 hours after a Level I Incident is reported, the youth shall be provided with a written notice of the alleged violation. The notice shall be signed by the staff member making the charge and shall include the name of the complainant(s) if other than the staff member (unless the complainants are other youth, and it is necessary to protect their identity): the part(s) of the code violated; a description of the conduct: Time, place and date of the conduct.

(2) Security Staff or another neutral party shall conduct a preliminary investigation of the alleged violation(s). The youth shall be

allowed full opportunity to present his or her side of the case and to refute the allegations, unless behavior is such that to do so would pose a security problem. If after the preliminary investigation the party conducting the investigation determines there is evidence to support the allegations of a Level I offense, and that the rule violations or behavior are of such a serious nature that the welfare of the youth or the good order and security of the Youth Correctional Facility requires immediate removal and placement in the Isolation Unit, the youth may be placed in the Isolation Unit. The staff member reporting the violations shall sign the report, to indicate concurrence that placement in the Isolation Unit is necessary.

(3)(a) Continued placement in or release of the youth from the Isolation unit shall be decided by the designated staff on duty at the time. The decision shall be based upon the persons' assessment of the youth's needs, behavior, and readiness to return to the program.

(b) The designated staffs decisions may be overridden only by the Superintendent, Officer-of-the-Day, or Administrative Committee. A designee serving on the Administrative Committee may not override these decisions unless this person is qualified to serve as Officer-of-the-Day.

(4) Designated administrative staff shall review any youth in the Isolation Unit who does not already have an assigned living unit in the Youth Correctional Facility, or who is being considered for placement in a long term security unit. These staff shall determine the placement of these youth.

(5) Youth confined to a room shall be granted the option of a Due Process Detention Hearing by the Officer-of-the-Day, to be done within 24 hours of their confinement, if they are to be confined for more than 24 hours.

(6) Youth in the Isolation Unit for more than 24 hours will be granted the option of a hearing before administrative staff. Administrative staff shall conduct a paper review on all youth in the Isolation Unit.

(7) Administrative staff shall see each youth confined in the Isolation Unit for five (5) calendar days, to determine whether or not further confinement is warranted. They will see such youth each five day period they are confined. They may override the designated staff decision, and release such youth at any time they deem necessary.

(8) Any youth, after having exhausted the appeal process indicated above, may appeal to the Superintendent.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-470-0100

##### Basic Living Unit Programs

(1) The Basic Living Unit Program is a system of rights, privileges and responsibilities which apply to the youth while the youth is living in the Youth Correctional Facility.

(2) The Basic Living Unit Program expectations include: completion of school and/or work program goals, compliance with the Conduct Code: achievement of other program goals set in the Reformation Plan for individual youth by the Youth Correctional Facility.

(3) Each youth must be reviewed regularly within the Evaluation System to determine if the youth is satisfactorily meeting the basic program expectations.

(4) A youth's privileges may be temporarily reduced for a Level I violation of the Incident Code pending review by the Case Review Committee.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 480

### RELIGIOUS PRACTICE IN FACILITIES (OFFENDER)

#### 416-480-0000

##### Purpose

(1) The provisions of this rule shall be applied to offenders in OYA custody and placed in OYA facilities.

(2) Federal laws allow all persons to hold individual religious beliefs. Offenders in OYA custody maintain this same right. While the OYA will make every reasonable effort to allow offenders to practice the religion of their choice, the OYA may restrict religious practice when:

(a) There is a compelling interest to do so, including but not limited to legitimate security and operational considerations such as safety, health and order; rehabilitation or treatment-related issues; or limitations of resources; and

(b) The imposed limitation is the least restrictive means of addressing the compelling interest.

(3) The OYA will apply the standards of this rule, and resulting policy and procedures to all faiths to ensure that:

(a) Offenders have reasonable opportunity for religious practice, unless a compelling reason exists to limit such practice;

(b) Religious activities are provided in an orderly fashion through supervision by facility staff, contracted providers, or approved religious volunteers;

(c) Religious programs encourage and foster understanding and respect for the diversity of religious beliefs and practices; and

(d) Religious programs and practices, or any imposed limitations, are consistent with relevant provisions of federal and state regulations.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0010

##### Religious Program Coordinator

Each OYA facility shall designate a Religious Program Coordinator who coordinates religious activities within the facility.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0020

##### Religious Practice

(1) The OYA shall provide offenders the opportunity for reasonable access to religious practice that includes, but is not limited to:

(a)(A) Regular religious services and ceremonies, including access to religious items.

(B) An offender assigned to isolation shall be provided the opportunity to practice religion but may not be permitted to participate in group activities, special ceremonies, or other practices that affect safety or security.

(b) Special ceremonies, holiday services, sacraments, and/or expression including, but not limited to:

(A) Religious requirements relating to head or facial hair consistent with the facility rules on hygiene and grooming.

(B) Wearing or carrying a religious emblem, medal, medallion or other religious item (e.g. medicine pouch, religious medal, rosary, prayer feather).

(C) Burning odor or smoke-producing substances (e.g., sage, sweet grass, and incense).

(c) Individual and group pastoral counseling (in a native language where possible).

(d) Religious or spiritual group meetings.

(e) Religious moral instruction.

(f) Dietary accommodations, including dietary restrictions or special handling of food.

(2)(a) Each OYA facility will notify offenders of the schedule of religious activities.

(b) When possible, the facility will accommodate individual religious practice, including practices that call for particular times and/or calendar of lunar dates.

(3) Tobacco products or alcohol are not permitted within OYA facilities. Exceptions may be requested from the OYA Director.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0030

##### Religious Volunteers

Persons in the community who represent a particular faith or belief may be utilized to provide services within OYA facilities only when prior authorized by the OYA. Such authorization includes, but is not limited to:

(1) Completion of the OYA volunteer application, screening, criminal history review, and training process as defined in OYA rules, policies and procedures; and

(2) Screening of the individual's qualifications to provide religious instruction or activities, including, but not limited to:

(a) Whether the person is ordained, certified, licensed, or equivalent.

(b) Whether the person is affiliated with an established church or religion.

(c) Whether the person has sufficient standing in the religion to provide religious education or guidance.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0040

##### Offender Requests

(1) An offender desiring to participate in a religious activity that is not currently available within the facility may request to do so by submitting to the Religious Program Coordinator a completed request with the following information:

(a) The name of the religion or belief;

(b) The title of religious activity requested; and

(c) A brief description of the religious activity including:

(A) The significance of the activity in the practice of the religion.

(B) How often or under what circumstances the religious activity would be held if it were taking place in the community.

(C) Minimum time and any physical requirements within which the religious activity may take place, including those of any defined segments of the activity.

(D) Any materials that are required for the religious activity and their purpose or use, including a list of any items associated with the religious activity that the offender would retain, if any.

(E) The title (if any), function, and eligibility requirements for participants in the activity.

(F) The name, address and phone number of a religious representative who can verify the above information.

(2) The Religious Program Coordinator shall review the request and consider:

(a) The effects of the request on the safety and security of offenders or staff, and order of the facility.

(b) Available resources to provide the activity.

(c) Alternative means of meeting the request.

(d) Similar practices in other facilities.

(e) Other issues specific to the request.

(3) If no religious representative is available in the facility or among the current group of religious volunteers to conduct a religious activity, the request will be denied until such time as a person becomes available to do so.

(a) The Religious Program Coordinator shall seek out an individual from the community to conduct the religious activity, when necessary.

(b) Offenders will not be permitted to lead religious programs.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0050

##### Religious Designation

(1) Upon intake, an offender may designate any or no religious orientation as a preference.

(2) After this initial declaration of faith, an offender may officially record a change of faith only one time in any subsequent four months.



Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420A.108  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0060

##### Activity Areas

(1) Each OYA facility shall designate an area(s) appropriate for the conduct of approved religious activities.

(2) All areas are subject to search in accordance with OYA rule, policy and procedure, and in a manner that reflects an awareness of and sensitivity to individual religious beliefs and practices.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420A.108  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0070

##### Religious Items

Items required for the conduct of a religious activity may be purchased and supplied by the OYA, or donated by a religious representative, religious volunteer or other approved source at the discretion of the OYA.

(1) All items utilized in religious practices are subject to search by OYA staff prior to introduction into the facility. Staff conducting such search will do so in a manner that reflects an awareness of and sensitivity to the individual religious belief and respect for the objects/symbols used in the religious practice.

(2)(a) Items not approved shall be considered contraband and subject to confiscation.

(b) Supplying contraband is a felony, and the OYA will initiate criminal charges against any person committing such crime.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420A.108  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

#### 416-480-0080

##### Decision Appeal

(1) The Religious Program Coordinator will send a written decision to the offender. A copy shall be sent to the facility Superintendent/Camp Director.

(2) An offender may appeal a decision by submitting a letter to the facility Superintendent/Camp Director within 10 calendar days after receiving the denial. The Superintendent/Camp Director will work with the OYA Program Office and Director to review the matter.

(a) Whenever there is a conflict between a request for a religious practice and a facility interest, the matter will be resolved by the OYA in consultation with affected parties. When necessary, the OYA will consult with appropriate religious representatives and/or other authorities as needed to clarify issues.

(b) The decision of the OYA Director is final.  
 Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420A.108  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 4-2002, f. & cert. ef. 1-18-02

## DIVISION 490

### RESTRAINT AND ISOLATION

#### 416-490-0000

##### General purpose

The OYA values the provision of service in a fair, respectful and humane manner, as the agency accomplishes its mission. Within its close custody system, the OYA provides opportunities for youth offender reformation by providing a treatment environment that challenges and supports offenders to develop skills and build on strengths to change inappropriate patterns of behavior.

In some instances, offender behaviors may require OYA staff to intervene for the purpose of protecting persons and/or the safety, security, or order of the facility. To effectively respond, OYA staff shall assess each individual situation and use the least restrictive

means necessary to diffuse the situation. This assessment shall include consideration of the offender's mental and physical health.

The use of isolation, restraint, and/or physical force are the most intrusive and restrictive means of behavior intervention. As such, OYA staff may only use these techniques when no other means are deemed practical to protect persons or maintain the safety, security or order of the facility.

OYA staff may use isolation, restraint, and/or physical force only as the result of careful deliberation by staff who have sufficient knowledge of the individual offender and situation, and are trained to employ such interventions.

Stat. Auth.: ORS 420A.025  
 Stats. Implemented: ORS 420A.105 & ORS 420A.108  
 Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 8-2000(Temp), f. 9-28-00, cert. ef. 9-28-00 thru 2-26-01; OYA 2-2001, f. & cert. ef. 2-27-01

#### 416-490-0010

##### Isolation, Restraint, and Physical Force

(1) Definitions:

(a) "Intervention" is the means by which an offender's inappropriate behavior is redirected to a more acceptable level. Staff interventions are designed to alter the environment to allow the individual offender to gain self-control and choose the way in which to change. The type of intervention used shall directly correlate to the type of behavior needing change.

(A) "Least restrictive intervention" means the type of intervention that causes the least intrusion upon the offender but results in the desired behavior change.

(B) The OYA prohibits the use of intervention techniques or devices that are designed to inflict physical pain, undue physical discomfort, or to restrict blood circulation or breathing.

(b) "Isolation" is any activity that separates an offender from the general population for the purpose of giving the offender an opportunity to modify behavior.

(A) "Time-out" is the separation of an individual offender from the general population for the purpose of resolving minor offender misbehaviors. Such practice includes the placement of an offender at a day room location (chair or table) or sleeping area until an offender is able to manage his/her behavior.

(B) "Room restriction" is the removal of an offender from the general population and places him/her in an individual room (either the offender's individual room or a multi-purpose room maintained on the living unit) for the purpose of resolving more troublesome offender behavior. Exit from this room is barred by verbal order from staff, giving the offender an opportunity to self-regulate his/her behavior.

(C) "Locked room restriction" means the placement of an offender in a room (either the offender's individual room or a multi-purpose room maintained on the living unit) with exit barred by mechanical room lock.

(D) "Special program placement" is the removal of an offender from his/her typical housing unit or program to a more restricted program until the offender is able to manage his/her behavior and safely interact in the general population.

(E) "Seclusion" is the removal of an offender from the general population by placing him/her in a secure room designed for the purpose of resolving destructive offender behavior that threatens the safety of persons and/or the security of the facility.

(c) "Restraints" are devices designed to restrict and/or control an individual's movement, including:

(A) Chemical agents which, when used, will disable individuals. The OYA prohibits its employees from using chemical restraints.

(B) "Security restraints" include handcuffs, leg irons, and belly chains designed to restrict and control individual movement for the purpose of preventing escapes during transports or escorts.

(i) Temporary or disposable restraint devices shall not be used in everyday practice. Such devices may only be used as an alternative to security restraints in emergency situations when it is necessary to supplement supplies of security restraints, or in medical situations on the recommendation of medical staff.

(ii) Emergency situations are those in which significant numbers of offenders must be evacuated from the facility or moved, such as during an environmental situation or major disturbance, and the available supply of security restraints cannot meet the demand.

(iii) If temporary or disposable restraint devices are used, staff shall stay in the presence of offenders and closely monitor their safety until the devices are removed.

(C) "Therapeutic" restraints specifically designed for medical or mental health treatment or behavior modification applications.

(i) Therapeutic restraints may be used within seclusion rooms, as defined in this rule.

(d) "Physical force" means taking hold of or holding a person or causing a person to move, stop, stay or be still, or be under immediate physical control of another person.

(2) Exemptions: The following types of procedures are part of ordinary and customary supervision of offenders and are not subject to this rule:

(a) Security restraints used to escort offenders between units within a facility or to transport outside the secure perimeter of the facility.

(b) Administrative detention which separates an offender from the general population for reasons other than behavioral intervention. Examples include protective custody, intake processes, investigation or area searches, medical purposes, or because of offender behavior related to OAR chapter 416, division 470 (Oregon Youth Authority Youth Conduct, Incidents, and Privileges). However, whenever offenders are placed in administrative detention, staff shall follow facility procedures to ensure the safety and well-being of offenders, including the conditions in isolation identified in this rule.

(3) Assessment of situation:

(a) All staff shall monitor the living environment within the facility, be alert for possible signs of impending unrest, and use early interventions to prevent behavior problems.

(b) The purpose of staff intervention is to:

(A) Provide opportunity for the offender to self-regulate his/her behavior and learn pro-social behavior skills; and

(B) Protect persons or the safety, security and order of the facility.

(c) When intervention is necessary, staff shall assess the situation to determine the most appropriate type of intervention. This assessment process includes:

(A) A determination of the likelihood for harm to persons, including violent behavior that puts persons or facility security at immediate risk;

(B) The risk of physical harm and/or discomfort to the offender accompanying the method of intervention, including the offender's mental health status and/or medical condition;

(C) The offender's reaction to intervention methods; and

(D) A team approach that represents offender treatment and facility security components working together.

(4) Isolation:

(a)(A) The goal of this intervention is to give the offender an opportunity to self-regulate his/her behavior and return to the group as soon as possible.

(B) Isolation may not be used as punishment, as a convenience or substitute for staff supervision, or a substitute for individualized treatment.

(b) When staff assess that isolation is necessary to control a situation, they shall use only the least restrictive type of isolation for only so long as necessary for the offender to regain self control and return to a less restrictive setting. The types are as follows.

(A)(i) Time-outs are designed to separate an offender from the general population for short periods of time. Staff may direct offenders to sit at a day room table or chair within sight of the group population, or place offenders in the sleeping area out of sight of the group population.

(ii) The decision to place an offender on time-out status is left to the discretion of staff, but requires the following actions: Staff shall monitor offenders every 15 minutes if an offender is placed out of sight of the group population, and document findings.

(B) Placement of the offender in a special program which removes the offender from his/her typical housing unit or program

and places the offender in a more restricted program until the offender is able to safely and responsibly interact in the general population.

(C) Placement of the offender on room restriction, which confines an offender to an individual room, either the offender's own room or a multi-purpose room maintained on the living unit.

(i) Staff may keep the door unlocked, to allow the offender an opportunity for self-control of behavior. This intervention shall be used only when an offender is not able to participate in a group setting without significant staff intervention. The decision to place the offender on room restriction (door unlocked) is left to the discretion of staff, but requires the following actions.

(I) Staff shall monitor the offender every 15 minutes and document findings.

(II) Staff shall complete a Special Incident Report.

(ii) Staff may lock the door. The decision to place the offender on room restriction (door locked) is left to the discretion of staff, but requires the following actions.

(I) Staff shall monitor offenders every 15 minutes and document findings.

(II) Staff shall complete a Special Incident Report.

(D) Seclusion placement removes an offender from the general population and confines him/her to a secure room to resolve an offender's self-destructive behavior that threatens the safety of persons (including self) and/or the security of the facility.

(i)(I) The facility Superintendent/Camp Director shall designate certain staff with the authority to place an offender in seclusion. These staff will consider whether or not less restrictive alternative consequences would be more appropriate in light of the offender's conduct, and the effect of the offender's behavior on persons in the area where the offensive behavior was committed.

(II) If possible, the staff responsible for the decision to place the offender in seclusion shall interview the offender prior to placement to get his/her version of the incident. If it is not practicable to do this prior to a seclusion placement, in all cases the designated staff shall grant the offender an interview after placement.

(ii) If staff determine a seclusion placement is unavoidable, the following actions are required.

(I) Staff shall request that the offender go voluntarily.

(II) Staff shall constantly monitor the offender and conduct in-person checks every 15 minutes and record the findings. If an offender is placed in seclusion due to suicide risk, staff shall follow the OYA suicide prevention policy standards for monitoring.

(III) Daily health evaluations by qualified health care professionals to check for injury and mental status, and to determine whether the individual offender needs more frequent staff contact.

(IV) Evaluations by qualified health care professionals including interview and assessment of disturbances in mental status for prolonged seclusion for two hours or more.

(V) Offenders shall be removed from seclusion within 24 hours, except in extreme circumstances in which in the judgment of designated staff the offender remains a serious and imminent threat to self or others in spite of appropriate efforts by a designated staff. The nature of the offense and/or the offender's prior history shall not be the sole criteria for confinement.

(VI) After 24 hours, qualified health care professionals shall evaluate the offender, approve continued seclusion or generate a written plan for urgent mental health assessment by a qualified mental health profession and/or the use of alternatives to seclusion.

(VII) Staff shall inform offenders of a due process hearing, if offenders are to be confined to a room for 24 hours or longer. If requested, the hearing will be conducted within the first 24 hours of seclusion by staff so designated by the facility Superintendent/Camp Director.

(VIII) Staff shall complete a Special Incident Report including the time, date, and reasons for seclusion placement. This report shall be reviewed by facility administration. If there are any incidents that seem excessive or inappropriate, administrative staff shall investigate or order than an investigation be completed.

(E) In some situations, staff may assess that the appropriate level of intervention requires the placement of the offender in restraint devices. Only therapeutic restraints may be used within seclusion, as defined by this rule.

(i) In all instances the following restraint devices or techniques are prohibited within OYA facilities:

(I) The placement of an offender in a prone position with arm(s) and leg(s) restrained behind the back ("hogtie" position);

(II) Body positions or techniques that are designed to inflict physical pain, undue physical discomfort, or to restrict blood circulation or breathing.

(III) Restraint in unnatural positions;

(IV) The use of restraint to punish offenders, or as a convenience to or substitute for staff supervision.

(ii) The facility Superintendent/Camp Director shall designate certain persons within the facility who are authorized to make the decision to place an offender in restraints. Such placement requires the following additional actions.

(I) Staff shall keep offenders under constant visual supervision and record findings every 5 minutes.

(II) Within the first 15 minutes of restraint placement, as well as each additional 15 minutes following, staff shall conduct medical checks for circulation and/or nerve damage, or airway obstruction.

(III) Offenders shall be released within 30 minutes of application, unless otherwise approved by qualified personnel for each additional 30 minute period in restraints. A qualified mental health professional shall develop a plan for alternative interventions.

(IV) Restraints shall not be used longer than 2 hours unless approved by the facility Superintendent/Camp Director, or designee, and qualified mental health professional.

(V-a) Log entries shall be made listing the name of the offender, date and time of restraint, offender's behavior at the time, who authorized the restraint, and notation of all visual checks. This documentation shall be placed in the offender file.

(V-b) Each facility shall also maintain a chronological log of restraint application, listing the name of the offender, time and date of restraint.

(VI) Staff shall complete a Special Incident Report. Facility administration and medical staff shall review these reports. If there are any incidents that seem excessive or inappropriate, administrative staff shall investigate cause an investigation to be completed.

(c) The OYA shall approve all restraint devices or techniques prior to their use within OYA facilities.

(d) Conditions during isolation:

(A) Offenders shall be afforded the same opportunity to maintain health and dignity as afforded offenders in the general population consistent with requirements for the program, including the following.

(i) Food: Except under special diet, offenders shall receive food as the same quality, from the same menu, and as nearly as possible on the same schedule, as that provided to all other offenders. At no time shall food be withheld as a punishment or disciplinary action.

(ii) Clothing: Offenders shall be provided with clean clothing of the appropriate size and in good repair. Safety clothing may be substituted only when staff believe standard clothing poses a threat to the offender.

(iii) Bedding: Offenders who stay in isolation overnight shall be provided with standard bedding; safety bedding may be substituted when necessary.

(iv) Medical services: Offenders shall not be denied medical care while in isolation.

(v) Personal hygiene: Offenders shall be provided the use of a toothbrush, toothpaste, hand towel, comb, toilet paper. These items shall be replenished on an as-needed basis. Offenders shall have the opportunity to shower daily. Room sanitation and neatness standards shall be the same as those required throughout the facility.

(vi) Mail: Offenders shall be allowed to read, receive and retain mail in their rooms.

(vii) Personal visits: Visitation is permitted subject to the provisions of OAR 416-430-0020.

(viii) Reading materials: Each offender may be issued reading materials. Reading materials shall not be exchanged between offenders.

(ix) Recreation: Unless a physician orders otherwise, each offender shall be allowed daily opportunity for large muscle exer-

cise outside, in a gym, or in a swimming pool. Offenders will not be restricted from this activity unless they pose a danger to themselves or others.

(x) Religious services: A religious representative may visit the offender, as time allows, unless visits are declined by the offender. Offenders shall be allowed to attend religious services conducted in the unit unless the offender is determined to be a threat to self or others.

(xi) Education: Offenders shall be offered an educational program that is similar to that offered to offenders in the general population and appropriate to any Individual Education Program requirements.

(xii) Work: Offenders for whom a work assignment would be beneficial may be assigned work.

(xiii) Searches: Upon entering seclusion, the offender shall be subject to search. All contraband shall be turned in to facility security.

(I) Every item of material or equipment (books, magazines, etc.) shall be inspected.

(II) All rooms shall be searched upon staff belief that search is warranted, and before and after each occupancy; unauthorized items shall be removed.

(B) Exceptions:

(i) Offenders may be denied an article of clothing, bedding, hygiene supplies, mail, or reading material only under the following conditions.

(I) It is abused or misused; or

(II) There exists a substantial threat of imminent misuse; or

(III) It is considered by staff to pose a threat to the offender.

(ii) Staff have a continued obligation to assure basic hygiene, sanitation, and offender dignity despite the removal of items.

(5) Physical force:

(a) The following types of physical force are prohibited:

(A) The use of force as coercion, punishment, or retaliation; and

(B) Physical force techniques that are designed to inflict physical pain, undue physical discomfort, or to restrict blood circulation or breathing.

(b)(A) Recognizing that out-of-control behavior generally escalates, staff will identify offenders who are having difficulty and provide early interventions.

(B) Before using physical force, OYA staff shall attempt to gain control of the offender by non-forceful methods. Whenever possible, staff shall delay the use of physical force until another staff is able to assist.

(c) OYA staff may consider the use of physical force:

(A) In defense of self or others, or to prevent imminent injury to persons or substantial property damage; or

(B) To prevent escape; or

(C) When an offender refuses to obey a direct order, cooperate with staff, or refuses to move to another area and it is imperative, for facility order/safety, to move the offender to another area and all other less intrusive and restrictive interventions have proven ineffective in controlling the situation.

(c) If staff apply physical force, staff shall ensure that:

(A) Offenders are examined by a medically trained person as soon as safely practical, whether or not injury is visible. Medical staff shall immediately provide a written summary and photograph, in color, any visible injury.

(B)(I) A report is immediately made by each staff member using the force, including staff witnessing the situation.

(II) The facility Superintendent/Camp Director and medical personnel shall review all reports. If there are any incidents that seem excessive or inappropriate, administrative staff shall investigate or cause an investigation to be completed.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.105 & ORS 420A.108

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 3-2000(Temp), f. 5-26-00, cert. ef. 5-26-00 thru 9-15-00; OYA 7-2000, f. & cert. ef. 9-22-00; OYA 8-2000(Temp), f. & cert. ef. 9-28-00 thru 2-26-01; OYA 2-2001, f. & cert. ef. 2-27-01; OYA 7-2001(Temp), f. & cert. ef. 11-16-01 thru 5-15-02; OYA 10-2002, f. & cert. ef. 5-16-02



**DIVISION 510**

**CERTIFICATION STANDARDS FOR  
PRIVATE YOUTH CARING AGENCIES**

**416-510-0000**

**Purpose**

(1) These rules set forth the Oregon Youth Authority (OYA) standards to be used for reviewing, and if appropriate, certifying those private agencies offering residential care programs, youth offender foster home placement and supervision, or day treatment programs for youth.

(2) These rules define standards of practice for agencies. It is recognized that the highest standards of youth corrections practice are achieved when agencies have skilled professional staff, who have the capacity to determine the individual needs of a youth, and the creativity and flexibility to plan to meet these needs in the best manner.

(3) OYA has the duty and function to attempt to obtain and consider criminal offender information on certain employees and volunteers of private youth-caring agencies in order to protect the best interest of youth.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

**416-510-0010**

**Definitions**

For the purpose of these rules the following definitions apply:

(1) "Criminal history check" refers to the process used by the OYA to conduct criminal offender/criminal records background checks on persons pursuant to these rules and OAR chapter 416, divisions 530 and 800, including computerized and fingerprint-based processes.

(2) "Employee" means an individual applying for a salaried position with a youth care agency or having a salaried position and being considered for an assignment within a youth care agency.

(3) "Special certificate" is a conditional certificate of approval that limits the youth offender foster care home to care and supervision for a specific offender, or care for other offenders under specific conditions.

(4) "Volunteer" means an individual applying for or requesting to work on assignments for a youth care agency on an unsalaried basis.

(5) "Youth care agency" means any agency, society, institution, organization or group under private management and organized in whole or in part for the temporary or continued care of offenders in a residential facility or placement of offenders in foster homes.

(6) "Youth offender foster care" includes care, food, and lodging provided on a 24 hour basis for offenders in a home approved by the youth care agency and the OYA, as defined in OAR chapter 416, divisions 530, 550, and 800.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

**416-510-0020**

**Certificate of Approval**

(1) No private youth care agency shall provide youth offender foster care services in Oregon without a current, valid certificate of approval issued by the OYA, as defined in these rules and OAR chapter 416, divisions 530, 550, and 800.

(2) The OYA will partner with youth care agencies who wish to provide foster care services to determine whether a foster care applicant meets the provisions, requirements, standards, and conditions of state law and OYA rules to provide foster care services. As part of this determination, the OYA may examine the records and files of the youth care agency; inspect and observe the physical premises of the foster home; interview offenders, youth care agency staff, foster parents, and persons in the community; and shall require a criminal history check of the applicants, as defined by OAR chapter 416, divisions 530 and 800.

(3) If the applicant meets the standards discussed above, the OYA will issue a special certificate of approval to the applicant to operate a foster home under contract with a youth care agency. This certificate of approval shall specify the type of care and/or service to be provided, the address of the premises to which the special certificate applies, the name of the youth care agency under which the special certificate is activated, and other information deemed necessary.

(4) This certificate shall automatically terminate upon the closure of the youth care agency or when the contract between the youth care agency and the youth offender foster parent is terminated. The youth care agency shall immediately notify the OYA in writing when either of these situations occur and the OYA will take necessary action to terminate the special certificate.

(5) If a special certificate is suspended or revoked, or the contract between the youth care agency and foster parent is terminated, payment to the foster parent will be terminated effective the date of suspension, revocation, or termination of contract.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

**416-510-0030**

**Administration of Youth Care Agency**

(1) In addition to compliance with the requirements of statute and Oregon Administrative Rule, youth care agencies shall comply with the following provisions. Any exceptions to these provisions require notification to and written approval of the OYA.

(a) Licensing standards of the Oregon Department of Human Services.

(b) Contractual agreements between the youth care agency and the OYA.

(c) Inter-governmental agreements between the OYA, the youth care agency, foster parents, and other agencies, as applicable.

(2) There shall be written policies for the youth care agency Administrator and staff, which shall include:

(a) Board of Directors' functions;

(b) Agency organizational charts;

(c) Agency purpose;

(d) Program details and operational procedures;

(e) Personnel policies and procedures;

(f) Position descriptions for all employees.

(3) Youth care agency employees or volunteers shall be responsible, mature persons who demonstrate the knowledge and ability to care for offenders within the generally accepted professional standards of juvenile corrections.

(4) In disciplining offenders, employees and volunteers shall not use harsh punishment. Harsh means spanking, belting, physical/mental abuse acts designed to humiliate, degrade, or undermine an offender's self-respect, punishment in the presence of a group, deprivation of parental visits, or placing the offender in lock-up for punishment.

(5) Private youth care agencies shall utilize employees or volunteers whose presence does not jeopardize the health, safety or welfare of offenders.

(6) Employment:

(a) The youth care agency or its board of directors will not deny employment, promotion, assignment, or assignment as a volunteer to a person solely for the reason that person has been convicted of a crime, but will consider the relationship of the facts supporting the conviction to the specific occupational requirements of the job assignment;

(b) In determining a person's suitability for employment, or as a volunteer, the youth care agency or its board of directors will consider facts relating to any crime, particularly convictions of abuse, offenses against persons, such as homicide, assault, kidnapping, sexual offenses (rape, sodomy, sexual abuse); offenses against family, such as incest, abandonment of a person, neglect, prostitution, and related offenses; or other offenses against public health and decency, offenses involving narcotics and dangerous drugs, including distribution of controlled substances to minors. The youth care agency

will take this information into consideration in judging a person's fitness to work with offenders and their inclination to behave in such a way as to endanger the welfare of offenders;

(c) If a person has been arrested or charged with one of the above crimes, with final disposition of the arrest and charge not yet reached, the youth care agency or its board of directors may withhold its decision to hire or assign the person pending the outcome of the arrest or charge;

(d) If a person was involved in a crime other than those listed above, or the charge on one of the above crimes was dismissed, all intervening circumstances and other background information will be considered in judging a person's fitness to work with offenders and their inclination to behave in such a way as to endanger the welfare of offenders;

(e) The youth care agency or its board of director's refusal to hire or assign a person will be based upon records from the court(s) of original record;

(f) Any refusal to hire, or assign a person by the youth care agency and its board of directors under these rules will be subject to the same rights and procedures of appeal as otherwise pertain to employees or volunteers.

(7) OYA has the duty and function to obtain and consider criminal information, including but not limited to state police files; on applicants for position as administrators and on current administrators at the time of annual certification; and on current administrators when OYA believes an arrest has occurred:

(a) Criminal offender information will be available only to the OYA section responsible for certifying private youth-caring agencies, in accordance with the Oregon State Police rules and procedures relating to criminal offender information;

(b) OYA will advise the youth care agency or its board of directors if applicants or the current administrator have criminal records.

(8) The administrator of the youth care agency will be responsible for obtaining background information on its employees who have contact with, care for, or oversee offenders. OYA will obtain criminal offender information on an employee, applicant, or volunteer at the request of the administrator, its Board of Directors or the certification unit of OYA.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

#### 416-510-0040

##### General Provisions for Foster Parents

(1) The youth care agency shall ensure that its foster parents meet the standards of OAR chapter 416, divisions 530, 550, and 800.

(2) Upon failure of the youth care agency or the foster parent to meet standards or correct deficiencies, the OYA may revoke, suspend, deny or refuse to renew a special certificate, according to the provisions of OAR chapter 416, division 530 and 800. The youth care agency may appeal the decision of the OYA, according to the provisions of OAR 416-530-0090.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

#### 416-510-0060

##### Youth Offender Foster Home Requirements

The youth care agency shall ensure that its youth offender foster homes meet the standards of OAR chapter 416, divisions 530, 550, and 800.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

#### 416-510-0050

##### Youth Offender Foster Parent Applicants' Requirements in Relation to Youth

(1) Youth offender foster parent applicants shall agree to meet the standards described in OAR Chapter 416, Divisions 530 and 540;

(2) Provide one responsible adult (over 18) for direct supervision of youth, or on-call at all times;

(3) Provide opportunity for the youth to attend religious services of the youth's choice, if the youth so desires;

(4) Provide the youth an ample, well balanced and nutritious diet, as determined by each youth's needs;

(a) If milk other than pasteurized or from a licensed raw milk dairy is used by youth (such as milk from family cows or goats), parents shall obtain a signed form from a licensed veterinarian and/or animal technician, verifying that TB and brucellosis tests administered within the previous year were negative.

(5) Not require a youth to do work which is hazardous to his health, interferes with his education, or places unreasonable limitations upon his recreational opportunities;

(6) Not administer severe or harsh punishment, or otherwise abuse a youth;

(7) Not reveal information about the youth or his family except when authorized by the private youth care agency by which they are approved;

(8) Have sufficient income to meet their family's needs without the maintenance payment made for the youth, and agree to use the youth offender foster care maintenance payment for the youth's needs;

(9) Have the time, competence, stamina, and motivation to meet the needs of the youth placed with them;

(10) Be available and accessible to the youth care agency workers for contacts.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-510-0060

##### Youth Offender Foster Home Requirements

(1) Youth offender foster homes shall meet the requirements of OAR Chapter 416, Divisions 530 and 540;

(2) The youth offender foster home shall furnish sleeping facilities which:

(a) Provide the youth with a well-ventilated, heated, and well-lighted bedroom with an outside window, and within call of a responsible adult;

(b) Provide sufficient bedroom space to assure that youth of the opposite sex over age 6 do not occupy the same bedroom, except as prior authorized by the private youth care agency staff person, such as when care of handicapped youth may necessitate otherwise;

(c) Provide each foster youth with an individual bed, except as prior authorized by the youth care agency staff person, when siblings of the same sex may share a double bed temporarily;

(d) Insure that sleeping quarters of youth over age 2 shall not be in the same room with an adult except in case of a youth's illness when special care is necessary, or as prior authorized by the youth care agency staff person.

(3) Youth offender foster homes shall provide:

(a) Individual drawer space and sufficient closet space for the youth's clothing and possessions;

(b) Space for study as appropriate to the youth's age or school needs;

(c) A safe area for indoor play appropriate to youth's age or needs;

(d) Adequate screening for fireplaces and open-faced heaters;

(e) Protection of youth from guns, drugs, poisons, disinfectants, plastic, or other potentially dangerous materials;

(f) Sleeping and eating facilities for youth attached to the main house;

(g) A telephone unless exception is authorized by the youth care agency.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-510-0070

### Combination of Care

(1) The youth care agency or its youth offender foster homes shall not combine the care of offenders in OYA custody with boarding, day care, nursing, foster, or convalescent care for adults or children, except as prior authorized in writing by the youth care agency, the OYA, and other relevant agencies.

(2) If such combination of care is approved, the provisions of inter-agency agreements shall be met in addition to the applicable statutes, administrative rules, and policies of all agencies involved.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

### 416-510-0080

#### Youth Care Agency Requirements Related to Youth Offender Foster Home Applicants

(1) The youth care agency shall ensure that youth offender foster homes meet the OYA standards as defined in OAR Chapter 416, Divisions 530 and 540.

(2) The youth care agency shall obtain and personally contact references of such number and nature to be satisfied as having enough reference information to make a judgment whether to deny or approve an applicant.

(3) The youth care agency may request reports on any member of the family/household who has received mental health services or for whom the youth care agency requests a mental health evaluation.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

### 416-510-0090

#### Enforcement

(1) In order to ascertain continued compliance with these standards, the OYA shall have right of entry, privilege of inspection, and access to staff and all records of the youth care agency and the youth offender foster home.

(2) If serious abuse, dereliction or deficiencies are found in any youth care agency, OYA shall advise said agency in writing of the nature of the complaint; and further, shall specifically set forth the condition(s) which must be remedied or corrected.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 16-2002, f. & cert. ef. 10-11-02

## DIVISION 520

### STANDARDS FOR PRIVATE RESIDENTIAL SCHOOLS

### 416-520-0000

#### Purpose

(1) These rules are the Oregon Youth Authority's standards to be used for reviewing and, if appropriate, certifying those private schools or other organizations offering residential programs for youth which are subject to the provision of ORS 418.327.

(2) OYA has the duty and function to attempt to obtain and consider criminal offender information on certain employees and volunteers of a private residential school in order to protect the best interest of youth

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-520-0010

#### Definitions

(1) "Criminal Offender Information" Records and related data received and compiled by the Bureau of Criminal Identification of the Oregon State Police or other law enforcement agencies or courts for purposes of identifying criminal offenders and alleged offenders, including records or arrests and the nature and disposition of criminal charges, including dismissals, sentencing, confinement, release or probation.

(2) "School and Residential School": Private (i.e. non public operated) school which assumes responsibility for the residential care of all or any youth during the non school hours. "Responsibility for" includes providing, administering, or supervising the residential quarters. The terms "School" and "Residential School" include any persons or private or parochial facilities or other entities which offer planned, scheduled academic or vocational course work or practice, for the purposes of educating persons under age 18 in subjects and course work or practice would be generally accepted by the public or private schools, colleges, or universities in this state as resulting in or contributing to the certificates, diplomas, or degrees generally offered by such public or private schools, colleges or universities: but the terms do not include any facility exempted by subsection (8) of ORS 418.327 or any recreational camp affiliated with a national organization including, but not limited to, the Boy Scouts of America, the Girl Scouts of America, the YMCA or the YWCA.

(3) "Staff" an individual applying for a salaried position with a private residential school, or having a salaried position and being considered for an assignment within a private residential school.

(4) "Volunteer" an individual applying for or requesting to work on assignments for a private residential school on an unsalaried basis or practicum students.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-520-0020

#### Certificate

(1) No person or organization shall operate a residential school without a current, valid Certificate of Approval issued by the Oregon Youth Authority or the State Office for Services to Children and Families.

(2) Upon finding that a residential school meets the Department's standards for the physical health, care, and safety of youth as set forth in OARs 416-520-0020 through 416-520-0060, Oregon Youth Authority or State Office for Services to Children and Families shall issue a Certificate of Approval.

(3) The certificate of approval shall specify the location and type of school authorized to provide residential care. All certificates expire on June 30 of each year unless sooner suspended or revoked, except as provided in ORS 418.327.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### 416-520-0030

#### Administration

(1) OYA shall review all Articles of Incorporation or other legal materials describing the school and its stated purpose. After review, the Department shall determine when a school shall be classified as a residential school, or some other appropriate category of residential care for youth.

(2) There shall be written policies for the administrator and staff which shall include:

(a) Personnel policies and procedures;

(b) Program details and operational procedures; and

(c) Emergency procedures shall be kept current and be made easily accessible to all staff.

(3)(a) School staff and volunteers shall be responsible, mature persons who demonstrate the knowledge and ability to care for youth within the generally accepted professional standards of youth care;

(b) In disciplining youth, school staff and volunteers shall not use harsh punishment. Harsh means spanking, belting, physical/mental abuse, acts designed to humiliate, degrade, or undermine a youth's self-respect, or punishment in the presence of a group, deprivation of parental visits, or placing the youth in lock-up for punishment;

(c) School staff shall utilize staff and volunteers whose presence does not jeopardize the health, safety, or welfare of youth;

(d) Board of Directors:

(A) The board of directors or school will not deny employment, promotion, assignment, or assignment as a volunteer, to a person solely for the reason that person has been convicted of a crime, but



will consider the relationship of the facts supporting the conviction to the specific occupational requirements of the job assignment;

(B) In determining a person's suitability for employment or a volunteer, the board of school will consider the facts relating to any crime, with particular concern to convictions of youth abuse, offenses against persons, such as homicide, assault, kidnapping, sexual offenses (rape, sodomy, sexual abuse); offenses against family, such as incest, abandonment of a youth, neglect, prostitution, and related offenses, or other offenses against public health and decency, offenses involving narcotics and dangerous drugs including distribution of controlled substance to minors. The board of directors or school will take this information into consideration in judging a person's fitness to work with youth and their inclination to behave in such a way as to endanger the welfare of youth;

(C) If a person has been arrested or charged with one of the above crimes, with final disposition of the arrest and charge not yet reached, the board of directors or school may withhold its decision to hire or assign the person pending the outcome of the arrest or charge;

(D) If a person was involved in a crime other than those listed above, or the charge on one of the above crimes was dismissed, all intervening circumstances and other background information will be considered in judging a person's fitness to work with youth and their inclination to behave in such a way as to endanger the welfare of youth;

(E) The board of directors or schools' refusal to hire or assign a person will be based upon records from the court(s) of original record;

(F) Any refusal to hire, assign a person by the board of directors or school under OAR 416-520-0020 will be subject to the same rights and procedures of appeal as otherwise pertain to employees or volunteers.

(4) Criminal Offender Information:

(a) OYA has the duty and function to obtain and consider criminal information, including police files, on applicants for administrator and current administrator of the school at the time of annual licensing, or when OYA believes an arrest has occurred:

(A) All criminal offender information received from the State Police will be available only to the OYA section responsible for certification of private residential schools, in accordance with applicable State Police rules and procedures relating to criminal offender information;

(B) OYA will advise the board of directors or school of applicants or current administrator that have criminal records.

(b) The administrator will be responsible for obtaining background information on school employees who have contact with, care for, or oversee youth. OYA will obtain criminal information on an employee or applicant at the request of the administrator, its Board of Directors, or the certification unit of OYA.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-520-0040**

**Social Living**

(1) Youth shall be grouped as much as possible according to age.

(2) The youth's religious faith shall be respected.

(3) Residential supervision shall be provided as follows:

(a) Ratio of youth care staff in living units shall be at least one staff member to 20 youth;

(b) During sleeping hours, one staff member must be readily available, if needed, and at least one other person available for back-up in case of emergency.

(4) No staff shall be hired or retained if there is known history or incidence of youth abuse, youth molestation, or unconventional behavior which might have a detrimental effect on a youth.

(5) There shall be no harsh punishment of youth. Harsh means unacceptable punishment that in the determination of OYA exceeds the norms of commonly acceptable discipline that might be used by a family. Harsh punishment includes:

(a) Slapping, spanking, belting, marching, standing rigidly in one spot, or any physical abuse.

(b) Acts designed to humiliate, degrade, or undermine a youth's self-respect (including ridicule, shaming, name calling, or punishment in the present of the group).

(c) Deprivation of parental visits.

(d) Isolation or lock-up.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-520-0050**

**Health and Safety**

(1) Each school shall post written directions for dealing with medical or other emergency problems with emergency phone numbers posted at all phones. All staff shall be familiar with these.

(2) A licensed physician shall be available on reasonable notice for care of residents.

(3) Medical consent forms shall be obtained from parents or guardians for all residents, which are acceptable to physicians and hospitals. Such forms must be readily available to staff.

(4) Youth who become ill and require nursing services shall be provided such service at the school, or transferred without delay to an appropriate facility.

(5) At least one staff shall hold a current advanced American Red Cross First Aid Card or its equivalent.

(6) A standard 24 unit First Aid Kit shall be placed in all living areas, offices, and vocational shops.

(7) Fire drills shall be conducted at irregular times, at a minimum of once a month in all buildings. A written record of drills shall be maintained.

(8) The Oregon Safety Code for Places of Employment shall be complied with.

(9) A staff training safety program shall be conducted on a regular basis.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-520-0060**

**Living Units**

(1) All new construction or major remodeling floor plans of living quarters shall be submitted to OYA Central Office for review and approval of items listed in this rule prior to construction.

(2) Living and dining areas in each unit shall be provided large enough to accommodate all residents at one time. Such room(s) must have mechanical ventilation or a window which can be opened.

(3) There shall be outdoor recreational space for all youth with equipment suitable for the ages and number of youth.

(4) There shall be indoor recreational space, including area(s) for arts and crafts, with a minimum of 100 sq. ft. per youth.

(5) A private or semi-private room shall be provided each youth, or dormitory-type rooms may be used with prior approval of OYA Central Office.

(6) When common sleeping areas are used, it is recommended that not more than 20 youth be together. In no case shall the number exceed 25.

(7) All sleeping rooms for youth shall be outside rooms with adequate sleeping space, ventilation, and lighting as required by public health standards. Each youth shall have a separate bed, with no less than 60 square feet per youth, excluding closet space, with at least three feet between beds. Individual closet and storage for personal belongings shall be provided for each youth in his sleeping room.

**NOTE:** Exceptions to the 60 square feet per youth space requirement will be reviewed by OYA Central Office and allowed if crowding is not evident and other living space is available which can substitute.

(8) When youth's sleeping rooms are on more than one floor or in more than one building, a proportionate number of toilets, hand washing sinks, and bathing facilities shall be on each floor and in each building.

(9) Bathroom facilities, aside from meeting specific public health requirements, shall provide at least one toilet, bathtub or shower,

or wash basin for each seven youth in the unit, with suitable provision for privacy:

(a) There shall be hot water at all shower and hand washing facilities;

(b) Toilet and shower rooms shall have walls and floors of impervious material and shall be adequately ventilated. If toilet room windows can be opened they shall be operational;

(c) Use of wooden racks over shower floors is prohibited. If impervious mats are used they must be cleaned and dried daily;

(d) Bath and toilet rooms shall be properly lighted, measuring no less than ten foot candle power;

(e) In gang-type lavatories, paper towels or air blowers shall be provided. In shower rooms, soap and personal towels shall be provided each youth. Soap shall be provided for each lavatory;

(f) Toilet seats shall be open front or U-shaped and made of non-absorbent materials, with easily cleanable finish. All seats, hinges shall be maintained in good repair.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0070

##### General Requirements for Buildings

(1) All buildings shall comply with state and local codes, including structural, electrical, plumbing, water, sewage, solid waste, and zoning.

(2) All existing buildings having sleeping areas must be equipped with fire alarm and particles of combustion detection systems as specified in the **National Fire Protection Association (NFPA) Standards No. 72A and 72E, 1974 editions**. The required fire detectors shall be installed in all sleeping areas and paths of exit travel.

(3) Prior to use, all new or remodeled facilities shall be equipped with fire alarm and detection systems, as specified in section (2) of this rule.

(4) Plans and installations of the above required systems shall be approved by the State Fire Marshal or his designated representative.

(5) All buildings having sleeping areas in them shall be equipped with emergency exit lighting. Emergency lighting shall be composed of an electrical circuit(s) used only for exit illumination with two independent electric sources so on failure of one the other will operate automatically. One source shall be a public utility or similar outside power source and the other an approved storage battery, automatically charged. Unit devices with individual batteries providing the same functions as above are acceptable. In the event of utility failure, there shall be emergency lighting available for at least one half hour of one foot-candle measured at the floor of exit systems.

(6) Plans for new or remodeled buildings shall be approved by the State Building Department, State Department of Environmental Quality, and OYA Central Office before contracts are let or construction begun.

(7) Both new and existing buildings shall be of sound and durable construction, well maintained, with special attention to fire-resistant materials, fire prevention systems and protective devices, and with furnishing of comfortable design.

(8) The buildings shall be ventilated by natural or mechanical means and have a heating capacity of maintaining a mean temperature of 68 degrees F at a point 24 inches above the floor of rooms.

(9) Window screens shall be no less than 16 meshes per linear inch.

(10) All screen doors shall be equipped with self-closing devices which do not restrict exit ways.

(11) There shall be no exposed light bulbs in permanently wired fixtures.

(12) Exposed non-current carrying metal parts of cord-and-plug connected equipment shall be grounded with a grounding conductor in the flexible cord terminating in a grounding plug.

(13) Flexible cord shall not be used as a substitute for fixed wiring of a building.

(14) Each disconnecting means for motor and appliances and each service feeder or branch circuit shall be legibly marked to indicate its purpose.

(15) Floors shall be clean and in good repair, so slipping is minimized at entrances or other areas when wet. All interior surfaces shall be readily cleanable.

(16) Corridors shall be kept unobstructed; storage of supplies in corridors is prohibited.

(17) Stairs shall be in good repair, with handrail. Storage on stairs or stairwells is prohibited.

(18) Storage for combustibles shall be separated from other areas and be free from sources of ignition.

(19) All dangerous cleaning supplies, pesticides, solvents, medicines, shall be stored in well-labeled containers in a locked area, away from food supplies and inaccessible to youth.

(20) There shall be no painting with lead paint in kitchen or food storage areas.

(21) All equipment and furniture shall be clean and in good repair.

(22) All clean linen shall be stored in clean cupboards with soiled linen in a separate area, away from food preparation and storage areas.

[Publications: Publications referenced are available from the agency.]

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0080

##### Food Services

(1) Requirements of State Sanitary Code for Eating and Drinking Establishments shall be met in the preparation, storage, and service of food.

(2) All resident activities in food preparation areas shall be under the direct supervision of the staff.

(3) A food service plan, including daily menus, shall be written at least one week in advance. Meal records of the previous three weeks shall be kept for OYA inspection.

(4) Meals shall be nutritionally adequate, according to current dietary allowances of Food & Nutrition Board of National Research Council adopted January 11, 1975.

(5) Serving of raw milk is prohibited.

(6) No home-canned vegetables, meats, or fish shall be stored or served by the facility. This does not prohibit freezing of produce nor canning of fruit, jams, and jellies, nor commercial canning other homegrown food.

(7) All utensils, including dishes, glass, and silverware, shall be properly cleaned and sanitized after each use, and protected from dust or other contamination.

(8) All kitchen equipment for food preparation shall be of easily cleanable construction. All surfaces shall be smooth and impervious.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0090

##### Site and Grounds

(1) Grounds shall be kept free of litter, solid waste, and refuse. Site shall be free of debris, ditches, or other conditions presenting a potential physical hazard.

(2) Barbed wire fencing is prohibited.

(3) Maintenance equipment shall be stored in a secure location.

(4) Bicycle racks shall be in a safe place separate from auto parking areas.

(5) There shall be barriers between the outdoor activity area and traveled roads, drainage channels, or any other existing hazards.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0100

##### Health

(1) Water:

(a) Maintenance of source, supply, and distribution system shall be in compliance with State Health Department rules on construction, operation, and maintenance of community and public water supply systems;

(b) Water of drinking fountains shall be of sufficient volume that persons using it do not come in direct contact with the orifice guard;

(c) No kitchen or bathroom sink, bathroom tub, or shower shall be used for disposal of cleaning waste water.

(2) Sewage:

(a) All sewage shall be disposed of in accord with the State Department of Environmental Quality rules;

(b) Subsurface sewage disposal systems shall be maintained and operated in accordance with Department of Environmental Quality rules and regulations governing such disposal.

(3) Garbage:

(a) All solid waste shall be disposed of in accord with the State Department of Environmental Quality rules and regulations, and stored in water-tight, non-absorbent, and easily washable containers, with close-fitting lids;

(b) Kitchen waste shall not be saved for eventual use as swine food unless the collector is licensed by the State Department of Agriculture to use cooked kitchen waste.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0110

##### Education

(1) Residential schools must provide a comprehensive educational program which meets the minimum standards required of public educational institutions, and/or provide an educational program suitable for the individual youth in residence, as determined by the State Department of Education.

(2) School buildings shall be adequate in size and arrangement for the program offered:

(a) Conventional classrooms for elementary schools shall be not less than 30 square feet per student, exclusive of storage space;

(b) For junior high and high schools, not less than 40 square feet per student, exclusive of storage and preparation areas.

(3) Plans for non-traditional classrooms, when submitted for Youth's Services Department Central Office approval, shall include explanation of program for which they are intended.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-520-0120

##### Enforcement

(1) In order to ascertain continued compliance with these standards, Youth's Services Department shall have right of entry, privilege of inspection, and access to staff and all records of work with youth.

(2) Upon failure to meet standards and correct deficiencies, the Youth's Services Department may revoke, suspend, or refuse to renew the Certificate of Approval. Any revocation, suspension, or refusal to renew by the Department shall be subject to the provisions of ORS Chapter 183.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 530

### YOUTH OFFENDER FOSTER CARE CERTIFICATION

#### 416-530-0000

##### Statement of Purpose

(1) The Oregon Youth Authority (OYA) works in partnership with communities to protect the public, hold youth offenders accountable, and provide opportunities for reformation.

(2) Persons certified as youth offender foster parents provide temporary care (supervision, food and lodging) for youth offenders as they progress through their reformation plan.

(3) These rules — as well as OAR Chapter 416, Divisions 510, 540, and 550 — govern the certification process for youth offender foster parents and state the requirements and expectations for families seeking to provide temporary care to youth offenders.

(4) The certification process is aimed at building a partnership between the prospective youth offender foster parent and the OYA. The process allows the applicant to ask questions of the OYA, to learn the requirements, and to become better prepared to supervise youth offenders. This is also an opportunity for the OYA to assess the willingness and abilities of the family to work effectively in partnership with the OYA to meet the specific needs of youth offenders needing placement.

(5) These standards establish parameters for the certification of youth offender foster parents. By these rules, OYA seeks to ensure that the safety and best interests of youth offenders, under the custody of the OYA, are served. The privilege of certification is granted based upon the qualifications of the applicants. A family may meet certification requirements, but it is OYA's responsibility to exercise discretion and judgment in the selection of homes for specific youth offenders.

(6) The OYA has a responsibility to Oregonians to manage its resources within available funds. When the OYA Director or designee determines that funding for these resources is jeopardized or otherwise not available, the OYA Director may suspend recruitment of new youth offender foster parent resources in areas where the need for youth offender foster homes exceeds the need for placements.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-530-0010

##### Authorization

These rules are authorized by ORS Chapter 420 and 420A.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.888 – ORS 420.892

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 5-2002, f. & cert. ef. 1-18-02

#### 416-530-0020

##### Indian Child Welfare Act

The **Indian Child Welfare Act** gives federally recognized Indian tribes the authority to select homes for youth offenders protected by the Act. Tribes and Alaskan Native Regional Corporations may license, approve or specify a youth offender foster home for youth offenders protected by the Act. The tribe also decides which process to use when selecting a placement, or whether to request OYA certification of the home. Indian youth offenders placed in relative homes (licensed, certified or selected) by the tribe are eligible for youth offender foster care payments when OYA has legal custody. Preference shall be given for placement with:

(1) A member of the Indian youth offender's extended family;

(2) A youth offender foster home licensed, approved, or specified by the Indian youth offender's tribe.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-530-0030

##### Selection

(1) The OYA will certify individuals who demonstrate the abilities and commitment to carry out the responsibilities set forth in these rules and who can meet the OYA's specific need for youth offender foster homes. The OYA will determine which applicants will undergo a complete certification study, which applicants will be certified, and which homes are qualified to best meet the needs of a particular youth offender.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96



**416-530-0040****Definitions**

For the purpose of these rules, the following definitions apply:

(1) “Applicant” means a person who applies for a certificate of approval, issued by the OYA, to operate and maintain a youth offender foster home, including persons who seek certification according to OAR chapter 416, division 510 rules.

(2) “Certificate” is a certificate of approval, issued by the OYA, to operate a youth offender foster home.

(3) “Criminal history check” refers to the process used by the OYA to conduct criminal offender/criminal records background checks on persons pursuant to these rules and OAR chapter 416, division 800, including computerized and fingerprint-based processes.

(4) “Denial of certification” is the refusal of the OYA to issue a certificate of approval to operate a youth offender foster home for youth offenders, because the OYA has determined that the home is not in compliance with one or more of these administrative rules.

(5) “Discipline” means an educational process by which youth offender foster parents assist youth offenders to develop the self-control and self-direction necessary to assume responsibilities, make daily living decisions, and learn to live in conformity with accepted levels of social behavior.

(6) “Employee” is any person being paid by youth offender foster parents to assist in the care and supervision of youth offenders placed in the home.

(7) “Home study” is the assessment process for the purpose of determining the youth offender foster family’s strengths to provide temporary care (food, lodging) and supervision to the youth offenders that OYA has available for placement.

(8) “Household pets” are any of various animals domesticated so as to live and breed in a tame condition. Examples of domestic animals are dogs, cats, and horses.

(9) “Information required” means all information requested by the OYA for processing criminal history checks, including fingerprints.

(10) “Mechanical restraint” is any apparatus, device or contraption applied or affixed to the person to limit movement.

(11) “Members of household” are any persons living in the home or assisting in the home to enrich the care provided to youth placed in the home by tutoring, providing recreation, relief care or other services such as household chores, whether paid or unpaid. It also means a member of the household under 18 years of age if there is reason to believe that member may pose a risk to youth placed in the home.

(12) “OYA” is the Oregon Youth Authority.

(13) “Physical restraint” is the holding of a person to prevent harm to that individual, others, damage to property, or to remove the person from a scene of danger.

(14) “Provisional certificate” is a youth offender foster home certificate of approval that may be issued by the OYA effective for a period of up to 90 days, and which may be renewed for one additional period of up to 90 days, annually, to allow the home to come into compliance with necessary standards, or while awaiting results of the fingerprint-based criminal history check.

(15) “Protective holding” is the physical restraint by holding a person to prevent harm to the person, others, damage to property, or to remove the person from a scene of danger.

(16) “Psychotropic medications” are drugs that have an effect upon the mind to modify mental activity.

(17) “Punishment” is the intentional infliction of physical or emotional pain.

(18) “Reformation plan” is the goal-oriented, time-limited, individualized program of reformation for a youth offender.

(19) “Regular certificate” is a youth offender foster home certificate of approval issued by the OYA, for a period of one year, when all youth offender foster care standards have been met.

(20) “Respite care” means a temporary arrangement of 12 hours or more, to allow the foster parent(s) time away from the youth offender.

(21) “Respite provider” means an individual approved by the OYA who temporarily assists with supervision of youth offenders when the youth offender foster parent is not available

(22) “Revocation of a youth offender foster home certificate” is the action taken to rescind a youth offender foster home certificate of approval after OYA determines that the youth offender foster home is not in compliance with one or more administrative rules.

(23) “Special certificate” is a conditional certificate of approval that limits the youth offender foster care home to care and supervision for a specific youth offender, or care for other youth offenders under specific conditions. This certificate is also issued to youth offender foster homes that operate under contract or agreement with licensed youth care agencies, as described in OAR chapter 416, division 510.

(24) “Suspension of a youth offender foster home certificate” is a temporary withdrawal of the youth offender foster home certification after the OYA determines that the youth offender foster home is not in compliance with one or more administrative rules.

(25) “Volunteer” is any person assisting in a youth offender foster home without pay to help with the supervision of youth offenders and other activities such as, food preparation, household chores, relief care, etc.

(26) “Youth care agency” means any agency, society, institution, organization or group under private management and organized in whole or in part for the temporary or continued care of youth offenders in a residential facility or placement of youth offenders in foster homes.

(27) “Youth offender” refers to a youth offender under the custody and supervision of the OYA, who is placed in a certified youth offender foster home.

(28) “Youth offender foster home” refers to any youth offender foster home, shelter home, or youth offender group home, which is certified by the OYA and maintained and lived in by a person who cares for any youth offender for the purpose of providing the youth with supervision, food and lodging.

(29) “Youth offender group home” is a specialized youth offender foster home certified by the OYA to provide specific services to a group of 4 to 8 youth offenders who have similar serious social and/or behavioral maladaptive characteristics. The atmosphere of the youth offender group home is that of a family setting where at least one youth offender foster parent is employed full-time as a provider.

(30) “Youth offender group home provider” is certified by the OYA and provides group home services and demonstrates special competence to supervise young people with serious social and/or behavioral maladaptive characteristics.

(31) “Youth offender foster care maintenance payment” is the monthly payment sent to the youth offender foster parent to pay for the youth offender’s room, board, clothing, allowance, personal incidentals, transportation, respite provider, educational supplies, etc.

(32) “Youth offender foster agreement” means a written contract stating mutual expectations of the parties providing 24-hour care (food, lodging) and supervision of youth offenders.

(33) “Youth offender foster provider” is a person who has been issued a certificate of approval by the OYA to operate a youth offender foster home per OAR chapter 416, division 530 and includes youth offender treatment foster care per OAR chapter 416, division 550 and private youth caring agencies per OAR chapter 416, division 510.

(34) “Youth offender foster home” means any home certified by the OYA and maintained by a person to provide supervision, food and lodging to a youth offender. The youth offender must unrelated to the person by blood or marriage and unattended by the youth offender’s parent or guardian.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.888 – ORS 420.892

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 5-2002, f. & cert. ef. 1-18-02; OYA 16-2002, f. & cert. ef. 10-11-02

**416-530-0050****Qualifications of the Family**

(1) General requirements for certification and re-certification:

(a) Applicant(s)/youth offender foster parent(s) shall participate in certification and re-certification studies as required by the OYA, and in the ongoing monitoring of their homes. Applicants will give

all information required by the OYA to verify compliance with all the rules including change of address and change of number of persons in the household such as relatives, employees or volunteers.

(b) Applicants for certification and re-certification will complete all necessary OYA application forms.

(c) Information provided by the applicant(s) shall include:

(A) Name(s), sex, address, birth date, social security number, and driver's license number of applicants and all persons residing in the home including the children of the youth offender foster parents.

(B) Names and addresses of at least four persons, three of whom are unrelated, who have known the applicant(s) for two years or more and who can attest to their ability to provide care and supervision to youth offenders. In addition, the OYA may contact schools, employers, and other persons, including adult children, as references.

(i) If the applicants are a couple applying for joint certification, each person shall provide at least two references who are unrelated, who have known the applicant for two or more years, and who can attest to his/her ability to provide care and supervision to youth offenders. In addition, the OYA may contact schools, employers, and other persons, including adult children, as references.

(C) A statement as to whether the applicant(s) has ever operated or currently is operating a licensed/certified care facility or foster home for youth offenders or adults, and reasons for any termination of such license or certification.

(D) Reports of all criminal or juvenile delinquency charges, the dates of offenses, and the resolution of those charges for all persons living in the home including all employees, volunteers and youth offender foster parents' minor youth.

(E) Reports of all allegations of abuse and neglect, with dates, locations and resolutions of those allegations for all persons living in the home including all employees and volunteers.

(F) Demonstration of income sufficient to meet their needs and to ensure the stability and financial security of the family, independent of the youth offender foster care maintenance payment.

(d) Applicant(s) must be at least 21 years of age. However, an applicant who is an "Indian," as defined in the Indian Child Welfare Act, may be 18 years of age or older.

(e) The OYA will determine suitability of applicant(s), youth offender foster parent(s) and members of the household based on a criminal history check process defined in these rules and chapter 416, division 800.

(A) The OYA may require a criminal history check, including fingerprints, for applicants, any member of the household or other adult having regular contact with youth offenders placed in the youth offender foster home, or on members of the household under 18 if there is reason to believe that member may pose a risk to youth offenders placed in the home.

(B) The OYA will conduct criminal history checks at the time of certification and re-certification; at the time a foster home certified by another agency wishes to serve OYA youth; and when the OYA deems it necessary for the safety of youth placed in the youth offender foster home.

(C) The OYA may require that the applicant(s)/youth offender foster parent(s)/member(s) of the household provide processing fees for the purpose of a criminal history check.

(D) A finding of suitability based on the results of a criminal history check is only one factor OYA will use to determine whether or not to certify or re-certify a youth offender foster home.

(E) No applicant for certification or re-certification as a youth offender foster parent will be provisionally certified prior to completion of a computerized criminal history check process.

(i) If the applicant has been approved for certification or re-certification but is awaiting the results of the fingerprint-based check, the OYA may grant a provisional certificate until the results of the fingerprint-based criminal record check are received and reviewed. Upon clearance of the fingerprint-based record check, the OYA shall grant a regular certificate. Persons wishing to operate a youth offender foster home under a licensed youth care agency will be issued a special certificate, as described in OAR chapter 416, division 510.

(f) If the applicant is an OYA employee, the application and supporting study must be reviewed by the Assistant Director, Program Office who will decide if a certificate can be issued.

(g) Upon completion of the application and submission of the supporting documentation to determine compliance with certification rules, a decision will be made by the OYA Regional Supervisor to grant or to deny certification. The application may be denied if the supporting materials are not submitted within 90 days from the date of application. One additional provisional certificate of up to 90 days may be approved by the OYA Regional Supervisor; however, full certification must be approved or denied within a maximum of 180 days. Applicants awaiting the results of the fingerprint-based criminal history check may be provisionally certified until the results of the check are received and reviewed by the OYA.

(h) A person whose application has been denied may request an appeal from the OYA office that issued the denial (see OAR 416-530-0090).

(2) Personal Qualifications:

(a) Youth offender foster parent(s) shall be responsible, stable, emotionally mature adults who exercise sound judgment and have the capacity to meet the mental, physical and emotional needs of youth offenders placed in youth offender foster care.

(b) Youth offender foster parent(s) shall understand the behaviors of youth offenders in youth offender foster care as well as ensuring the safety of the community.

(c) Youth offender foster parent(s) shall have knowledge and understanding of non-punitive discipline and ways of helping a youth offender build positive personal relationships and self-esteem.

(d) Youth offender foster parent(s) shall be able to respect persons with differing values, lifestyles, philosophies, and cultural identity and heritage.

(e) Youth offender foster parent(s) shall be able to realistically evaluate which youth offenders they can accept, work with, and integrate into their family.

(f) Youth offender foster parent(s) shall have supportive ties with family, friends, neighborhood and community.

(g) Youth offender foster parent(s) shall be able to respect persons with differing values, lifestyles, philosophies, and cultural identity and heritage.

(3) Health Qualifications:

(a) Applicant(s)/youth offender foster parent(s) and employees, volunteers, and other adults in the household supervising youth offenders shall be physically and mentally able to perform the duties of youth offender foster parents as prescribed in these rules. The OYA may require a medical statement from a physician verifying that no person suffers from a communicable disease, specific illness or disability which would interfere with the person's/family's capability to care for youth offenders in youth offender foster care.

(b) The applicant(s)/youth offender foster parent(s) shall supply psychological, medical or physical, sex-offender, drug and alcohol, and psychiatric reports and evaluations to the OYA when requested either during the application process or while certified. The OYA may require that a release of information be signed. In the case of alcoholism or substance abuse, the applicant(s)/youth offender foster parent(s) and others in the household must be able to demonstrate that they have been substance-free and sober for at least two years prior to making application for certification.

(4) Youth Offender Group Homes. Youth Offender Group Homes are contracted resources and are to be certified youth offender foster homes that comply with the youth offender group home requirements as specified in OAR 416-530-0110.

(5) Disqualifications:

(a) The OYA will not issue or renew a certificate if prospective applicants or youth offender foster parents falsify (including by act of omission) the application or supporting documents. The OYA will act to revoke a certificate if falsification is discovered after certification, or if the youth offender foster parent fails to inform the OYA of any disqualifying condition that arises after certification.

(b) The OYA will not issue or renew a certificate if any fire safety rule is not met.

(c) The OYA will not issue or renew a certificate if the applicant does not meet the criminal history check standards outlined in this rule and in chapter 416, division 800.

(d) If the OYA refuses to issue or renew a certificate, the applicant(s)/foster parent(s) may appeal the decision using the procedure described in OAR 416-530-0090.\*

(6) Exceptions. OYA may allow exceptions to some certification requirements.

(a) Generally:

(A) Exceptions will be granted by the Regional Supervisor, Area Coordinator or the Assistant Director, Program Office. Exceptions to rules marked with an asterisk (\*) require the approval of the Assistant Director, Program Office or an Area Coordinator. The Regional Supervisor's approval for an exception is required on those rules where such approval is specified. The Area Coordinator or Assistant Director, Program Office may grant exceptions on all other rules.

(B) Exceptions shall be in writing, shall state the need for the exception, shall be signed by the required decision-maker and filed in the certification file. Exceptions shall be accompanied by a written plan showing how the safety of the Youth in placement will be ensured while the exception is in effect.

(C) Each request for an exception will be evaluated on its own merits. Granting an exception does not set a precedent that must be followed by the OYA when evaluating subsequent requests for exceptions.

(D) An exception is not effective until granted in writing.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.888 – ORS 420.892

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 5-2002, f. & cert. ef. 1-18-02; OYA 16-2002, f. & cert. ef. 10-11-02

#### 416-530-0060

##### Professional Responsibilities of Youth Offender Foster Parents

(1) Training and Development:

(a) Youth offender foster parent(s) shall complete a minimum of 12 hours of pre-service training prior to a regular certification being issued.\* (Exceptions may be given for prior equivalent training);

(b) Youth offender foster parent(s) shall participate in training provided or approved by the OYA. Such training shall include educational opportunities designed to enhance the youth offender foster parents' awareness, understanding and skill to meet the special needs of youth offenders placed in their home. Each youth offender foster parent shall participate in a minimum of 10 hours of approved training per year prior to the issuance of an annual, regular certificate;

(c) The home may be closed if no youth offenders are currently in placement and the annual training requirements have not been completed. If there are youth offenders placed in the home and annual training hours have not been completed, the certificate shall be converted to a special certificate for these youth offenders. No additional youth offenders will be placed until the training hours are completed.\*

(2) Relationship with the OYA:

(a) Youth offender foster parent(s) shall participate as team members in reviewing and revising the reformation plan and in case reviews for the youth offenders placed in their home;

(b) Whenever possible, youth offender foster parent(s) shall notify the OYA in advance of changes likely to affect the life and circumstances of the youth offender foster family;

(c) Youth offender foster parent(s) shall notify the OYA within 24 hours of an injury, illness, accidents, or any circumstances which may have a serious affect on the health, safety, physical or emotional well being of the youth offender;

(d) Youth offender foster parent(s) shall sign and abide by the responsibilities described in the "Youth Offender Foster Home/Shelter Home Contract" which is to be signed prior to a youth offender being placed by the OYA in the home, and annually thereafter;

(e) Youth offender foster parent(s) shall allow the OYA reasonable access to their home and to the youth offender(s) placed there.

(3) Accepting Youth Offenders for Care:

(a) Youth offender foster parent(s) shall accept no more than five youth offenders in youth offender foster care and shall care for no more than eight youth offenders including their own children.\*

Any exception will take into consideration the ratio of adult to youth offender, the level of supervision available, the skill level of the youth offender foster parents, and the needs of the other youth offenders in placement;

(b) Youth offender foster parent(s) shall not care for unrelated adults on a commercial basis nor accept children for day care at the same time they are certified as youth offender foster parents;\*

(c) Youth offender foster parent(s) providing youth offender foster care services shall not accept any youth for placement from any source other than OYA without prior written approval from the OYA Office responsible for the youth offender foster home certification.\*

(4) Relationship with the Youth Offender's Family:

(a) In accordance with the reformation plan:

(A) Youth offender foster parent(s) shall respect and support the youth offender's relationship with his/her family members;

(B) Youth offender foster parent(s) shall assist OYA staff in planning visits with the youth offender and his/her parent(s) and family members;

(C) Youth offender foster parent(s) shall allow youth offenders reasonable opportunities to communicate with their family.

(5) Confidentiality:

(a) The youth offender foster family shall treat personal information about a youth offender and the youth offender's family in a confidential manner. Confidential information may be disclosed only when necessary to provide for the safety and well-being of a youth offender or other youth offenders in the home. The information shared is to be only about the youth offender and only enough information to ensure the youth offender's safety and well-being;

(b) In maintaining youth offender's records:

(A) Youth offender foster parent(s) will maintain records on the youth offender's health, immunizations, and educational and placement progress for the duration of the youth offender's placement.

(B) Youth offender foster parent(s) shall keep such written records for each youth offender foster youth in a manner that ensures their confidentiality.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-530-0070

##### Reformation and Supervision of Youth Offenders

(1) Youth Offender Foster Home Activities:

(a) Daily Living:

(A) Youth offender foster parent(s) shall provide structure, accountability and supervision designed to promote the physical, social, intellectual, spiritual and emotional development of the youth offenders in their home, as well as provide for community protection;

(B) Youth offender foster parent(s) shall help the youth offender placed in their home to develop skills and perform tasks that promote independence and self-sufficiency.

(C) In accordance with the reformation plan, the youth offender foster parent shall ask youth offenders placed in their care to assume work responsibilities appropriate to the youth offender's age and ability and commensurate with those expected of their own children;

(D) Youth offender foster parent(s) shall not use mechanical restraints on youth offenders other than car seat belts;\*

(E) Each youth offender in placement shall be treated with respect and dignity. The youth offender foster family shall:

(i) Respect the youth offender's family, cultural heritage and ethnic identity;

(ii) Provide reasonable and meaningful opportunities for the youth offender to develop relationships and practices with others of similar cultural and ethnic background;

(iii) Help ensure regular contacts and private visits or phone calls with the supervising parole and probation officer;

(v) Provide the youth offender with reasonable access to a telephone and to writing materials.

(b) Youth Offender Respite Provider:



(A) When the youth offender foster parent(s) are absent overnight, a person of at least 21 years of age, capable of assuming youth offender foster care responsibilities, shall be present. (Youth Offender Respite Providers must be approved by the OYA as having met qualifications set forth for "Youth Offender Foster Parents" as described in these rules);

(B) When youth offender foster parent(s) are absent for 72 hours or longer, the OYA must be given advance notice. This notice shall include dates of absence, telephone number where the youth offender foster parent(s) can be reached, and the name, telephone number, home address and qualifications of the Youth Offender Respite Provider.

(c) Food and Nutrition:

(A) Youth offender foster parent(s) shall provide three (3) well-balanced daily meals, and appropriate snacks;

(B) Youth offender foster parent(s) shall provide for any special and/or cultural dietary needs of the youth offenders placed in their homes, including those ordered by a physician.

(d) Clothing and Personal Belongings:

(A) Youth offender foster parent(s) shall provide each youth offender with his or her own clean clothing which is appropriate for the youth offender's age, sex, and individual needs;

(B) Youth offenders shall be allowed to participate in choosing their own clothing;

(C) Youth offender foster parent(s) shall allow youth offenders to bring and acquire appropriate personal belongings.

(e) Discipline and Guidance. Some youth offenders come into youth offender foster care because they have suffered physical abuse and severe punishment. Youth offender foster parents must use positive discipline and guidance to help youth develop responsible behaviors:

(A) Youth offender foster parent(s) shall train and discipline youth with kindness and understanding holding youth accountable for personal behaviors;

(B) Youth offender foster parent(s) shall set clear expectations, limits and consequences of behavior through use of adequate and appropriate structure and supervision.

(f) No youth offender foster youth or other person(s) in a youth offender foster home shall be subjected to physical abuse, sexual abuse, sexual exploitation, neglect, emotional abuse, mental injury or threats of harm as defined in ORS 418.740. Sexual abuse and sexual exploitation include all sexual acts defined in ORS Chapter 163 and 167;

(g) Youth offender foster parent(s) will provide positive discipline and guidance but shall not punish youth offender foster youth. Punishments include but are not limited to:

(A) Physical force or threat of physical force inflicted in any manner upon the youth offender;

(B) Verbal abuse, including derogatory remarks about the youth offender or his or her family;

(C) Denial of food, clothing, or shelter;

(D) Assignment of unreasonably strenuous exercise or work;

(E) Punishment for bed-wetting;

(F) Delegating or permitting punishment of a youth offender by another youth offender; and

(G) Use of cold shower as punishment.

(h) Health Care:

(A) Medical and Dental:

(i) Youth offender foster parent(s) shall cooperate with the OYA to plan the medical and dental care for the youth offenders in care;

(ii) Youth offender foster parent(s) shall work with the OYA to ensure that all health care needs of a youth offender placed in their home are met, including making and arranging transportation to medical, dental and counseling appointments as needed;

(iii) Youth offender foster parent(s) shall be responsible for keeping immunizations current for youth offenders placed in the home;

(iv) Youth offender foster parent(s) shall report to the OYA any corrective or follow-up medical or dental care the youth offender needs and participate in obtaining necessary care;

(v) Youth offender foster parent(s) shall obtain prior consent from the OYA for medical treatment that is not routine, including surgery;

(vi) Youth offender foster parent(s) shall obtain necessary emergency medical care for Youth placed in their home.

(B) Medication:

(i) Youth offender foster parent(s) shall give youth offenders prescription medications only in accordance with a physician's prescription or authorization. All medications must be stored and kept in a manner which prevents unauthorized access;

(ii) Youth offender foster parent(s) shall dispense and record the exact amount of any medication prescribed for a youth offenders by a physician or dentist;

(iii) Youth offender foster parent(s) shall inform the OYA within one working day of any psychotropic medications prescribed for a youth offender in placement.

(C) Smoking. Youth offender foster parent(s) shall not provide tobacco products in any form to youth offenders placed in their home. (It is unlawful for any person under 18 years of age to possess tobacco products.) Youth offender shall not be exposed to second-hand smoke in the youth offender foster home.

(2) Other Activities:

(a) Religious, Ethnic and Cultural Heritage:

(A) Youth offender foster parent(s) shall recognize, encourage, and support the practice of religious beliefs, ethnic heritage, cultural identity and language of a youth offender and his/her family;

(B) In accordance with the reformation plan youth offender foster parent(s) shall participate with the OYA to arrange transportation to religious services or ethnic events for a youth offender whose beliefs and practices are different from their own;

(C) Youth offender foster parent(s) shall not require a youth offender to participate in religious activities or ethnic events contrary to the youth offender's beliefs.

(b) Education:

(A) Within five (5) days of placement, the youth offender foster parent will enroll the youth offender in an appropriate educational or vocational program as outlined in the youth's reformation plan;

(B) Youth offender foster parent(s) shall be actively involved in educational programs appropriate for the youth offender's age, abilities, and in accordance with the reformation plan;

(C) Youth offender foster parent(s) shall plan with school personnel when there are issues with the youth offender in school, and report to the OYA serious situations which may require OYA involvement.

(c) Recreation/Community:

(A) Youth offender foster parent(s) shall provide opportunities for recreational activities appropriate to the age and abilities of the youth offender;

(B) Youth offender foster parent(s) shall encourage the youth offender's participation in community activities both with the family and on their own in accordance with the youth offender's reformation plan.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-530-0080

##### Health and Fire Safety

(1) Youth Offender Foster Home Location. The home shall be accessible to schools, recreation, churches, medical care and community facilities.

(2) Exterior Environment:

(a) The home shall be comparable in appearance to other homes and premises of the community in which it is located;

(b) The premises shall be free from objects, materials and conditions which constitute a danger to the occupants;

(c) Recreation Area and Equipment;

(d) Swimming or Wading Pools:

(A) Youth offender foster parent(s) who have swimming pools, hot tubs and wading pools shall maintain them in a safe and clean condition;

(B) Youth offender foster parent(s) shall make swimming, wading pools and hot tubs inaccessible to youth offenders in youth offender foster care except when responsibly supervised.

(3) Interior Environment:

(a) Kitchen:

(A) Youth offender foster parent(s) shall have the necessary equipment for the safe preparation, storage, serving and cleanup of meals;

(B) Youth offender foster parent(s) shall maintain all cooking and refrigeration equipment in working and sanitary condition;

(C) Youth offender foster parent(s) shall prepare and serve meals in a safe and sanitary manner that minimizes the possibility of food poisoning or food infection.

(b) Living or Family Room. The home shall have sufficient living or family room space that is comfortably furnished and accessible to all members of the family;

(c) Bedrooms used by youth offenders in care:

(A) Shall be safe and have adequate space for each youth offender;

(B) Shall have windows which open and provide sufficient natural light and ventilation;

(C) Shall have no more than four youth offenders to a bedroom;\* and

(D) Shall have a bed for each youth offender and clean bed linens, blankets (as appropriate to the season) and pillows;

(E) Youth offender foster parent(s) shall not permit youth offenders of different sexes in the same room;

(F) Youth offender foster parent(s) shall provide each youth offender with adequate storage space for personal belongings and a designated space for hanging clothes in or near the bedroom occupied by the youth offenders;

(G) Youth offender foster parent(s) shall allow flexibility in the decoration of sleeping areas for the personal tastes and expressions of the youth offenders in care;

(H) A room used as a bedroom for a youth placed in a youth offender foster home must be finished, attached to the house, and shall be used only as a bedroom.\*

(d) Bathrooms:

(A) The home shall have a minimum of one flush toilet, one wash basin with running water, and one bath or shower with hot and cold water;\*

(B) Youth offender foster parent(s) shall provide each youth offender individual items necessary for personal hygiene and grooming.

(4) General Safety:

(a) The youth offender foster parents shall protect the youth offenders from safety hazards;

(b) The home shall be well-heated and well-ventilated;

(c) Youth offender foster parent(s) shall have a working telephone and service;\*

(d) Youth offender foster parent(s) shall store all medications, poisonous chemicals, and cleaning materials in a way that prevents access by youth offenders;

(e) Youth offender foster parent(s) shall restrict youth offenders' access to potentially dangerous animals. Only domestic animals shall be kept as pets. They shall be properly cared for and supervised. Youth offender foster parents shall ensure that household pets subject to rabies have had all required rabies shots as per local ordinances. Proof of rabies vaccination shall be available to OYA upon request;

(f) Youth offender foster parent(s) shall take measures to keep the house and premises free of rodents and insects;

(g) Youth offender foster parent(s) shall store any ammunition and unloaded and operable firearms in separate locked places. The youth offender foster parent(s) shall notify OYA if firearms are stored at the home and, within one working day, whenever a firearm is brought to the premises for storage;\*

(h) Loaded firearms shall not be carried in any vehicle that is transporting a youth offender in youth offender foster care. Ammunition shall be kept in a locked container while transporting such a youth;\*

(i) Youth offender foster parent(s) shall have first aid supplies in a place easily accessible to adults;

(j) Bedroom doors for youth in care shall not have locks, and there must be emergency access to any other room which has a lock;

(k) Stairways shall be equipped with handrails;

(l) Youth offender foster homes caring for one or more developmentally disabled, mentally retarded, or physically impaired youth offender shall make all necessary provisions, including changes to the physical structure of the home, as determined by the OYA in consultation with the appropriate building code official, deputy fire marshal or inspector, and/or other relevant professionals.\*

(5) Fire Safety:

(a) Youth offender foster parent(s) shall install and maintain working smoke alarms in every room in which a youth offender foster youth sleeps and at least one on each floor of the home;

(b) A youth offender foster home shall have as a minimum at least one class 2-A-10BC rated fire extinguisher in the house;

(c) Youth offender foster parent(s) shall have a written home evacuation plan and shall practice it with each youth offender at the time of placement and at least once a year to make sure all youth offenders understand the procedures. The plan, including evacuation diagram, shall be posted;

(d) Use of space heaters is limited to electric space heaters equipped with tip-over protection that are plugged directly into the wall. No extension cords are to be used with such heaters or in place of permanent wiring. No kerosene space heaters shall be used in the youth offender foster home;

(e) Youth offender foster homes shall have two unrestricted exits in case of fire. A sliding door or window that can be used to evacuate youth offenders can be considered a usable exit. Barred windows used for possible exit in case of fire must be fitted with operable quick release mechanisms;

(f) Bedrooms in basements and above the second floor used by youth offenders in care shall have safe and direct exit to the ground;

(g) A youth offender foster home shall have a safe and properly installed and maintained operational heating system.

(6) Sanitation and Health:

(a) Youth offender foster parent(s) shall keep the home clean and free of hazards to the health and physical well being of the family;

(b) The youth offender foster home shall have a continuous supply of safe, clean drinking water. Private water sources and septic tank systems shall be safe and operable. The youth offender foster parent shall have private water sources tested and approved by an appropriate official upon OYA request;

(c) The youth offender foster parent(s) shall use only pasteurized or powdered milk for family consumption;

(d) The youth offender foster parent(s) shall keep all plumbing in working order;

(e) The home shall have an adequate supply of hot water for bathing and dish washing. Hot water heaters shall be equipped with a safety release valve and an overflow pipe that directs water to the floor or to another approved location;

(f) Any garbage/refuse must be stored appropriately, pending weekly removal. There shall be no accumulation of garbage, debris, or rubbish which emits offensive odors.

(7) Transportation Safety:

(a) Youth offender foster parent(s) shall provide or arrange with the OYA safe transportation for youth offenders in placement;

(b) All vehicles used for transporting youth offenders in the custody of OYA, shall have liability insurance coverage;

(c) Youth offender foster parent(s) shall have all motor vehicles owned by them and used for transporting youth offenders insured to include liability;

(d) Only licensed drivers who have a current and valid driver's license shall transport youth offenders in motor vehicles;

(e) When transporting youth offenders in youth offender foster care, the driver shall ensure that all passengers use seat belts or appropriate safety seats. (ORS 418.005 – 418.640)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-530-0090**

**Inactive Referral Status; Termination; Suspension; Revocation**

(1) Inactive Referral Status, Provider Initiated:

(a) Youth offender foster parents may request up to 12 months of inactive referral status. In such cases there can be no outstanding issues relating to non-compliance with certification rules;

(b) Youth offenders will not be placed in the youth offender foster home during a youth offender foster parent's inactive referral status;

(c) Youth offender foster parents shall be in compliance with all certification rules, including training requirements, prior to a return to active status.

(2) Inactive Referral Status, OYA Initiated:

(a) The OYA may require that a youth offender foster parent go on inactive referral status. Inactive referral status could be required because of changes in the family such as death, divorce, relatives moving in with the family and similar circumstances that put additional stress or pressure on the family. This change in status must be in writing, be time limited, and be discussed with the youth offender foster parent prior to the change being made;

(b) There may be no conditions in the home that may compromise the safety of the youth offenders already placed in the home;

(c) OYA initiated inactive status can be for up to 180 days during which time no additional youth offenders will be placed in the home;

(d) A mutually agreed upon plan shall be developed to address the issues which led to the OYA request for inactive status;

(e) Youth offender foster parents shall be in compliance with all certification rules, including training requirements, prior to a return to active status.

(3) Effect of termination of contract with licensed youth care agency

(a) Special certificates issued under OAR chapter 416, division 510 shall terminate automatically upon the closure of the youth care agency or when the contract between the youth care agency and the youth offender foster parent is terminated. The youth care agency will immediately notify the OYA in writing when either of these situations occur and the OYA will take necessary action to terminate the special certificate.

(4) Suspension of Certificate

(a) The OYA may suspend a youth offender foster home certificate because of violations of one or more certification rules or because of conditions in the home that render it uncertifiable. A notice of suspension must be in writing and must list the violations, along with the actions necessary to reach compliance, and OYA services available to assist the youth offender foster parent(s) to reach compliance.

(b) A certificate may be suspended for up to 180 days. Youth offenders in placement will be removed from homes with suspended certifications. No additional placements will be made during the period of suspension.

(c) Within 30 days of the effective date of the suspension, the youth offender foster parent(s) shall submit a written corrective action plan to OYA. This plan must list the steps that will be taken to reach compliance and the services and agencies that will be used. This action plan must be signed and approved by both the youth offender foster parent(s) and OYA. Failure to submit a plan will constitute a withdrawal from certification.

(d) At the end of the suspension period or when the youth offender foster parent complies with the plan to remedy the conditions that led to the suspension, the Assistant Administrator of Community Programs may:

(A) Reinstate the certification for the term of the original certification;

(B) Issue a new certificate;

(C) Deny a reapplication for certification; or

(D) Notify the youth offender foster parent(s) of the intent to revoke the certificate.

(5) Revocation

(a) The OYA will revoke a youth offender foster home certification only after one or more of the above steps have been attempted or when youth offender or public safety concerns warrant an

immediate revocation. A notice of revocation shall be in writing and shall state the reasons for revocation.

(b) Youth offender foster parents whose certificate has been revoked may not reapply for certification for five years after the date of revocation.

(6) Appeal

(a) Youth offender foster parents may appeal the denial, suspension or revocation of their certificate by making a written request for a hearing on the matter to the office which issued the denial, suspension or revocation. The right of appeal for youth offender foster homes operating under a special certificate issued under OAR chapter 416, division 510, is held by the youth caring agency under which the youth offender foster home operates.

(b) The request for hearing must be received by the OYA office within 10 calendar days from the date the notice of denial, suspension, or revocation was mailed to the applicant.

(c) If the request for hearing is not received within the 10-day period, the applicant's right to a hearing is considered waived. However, the applicant may nevertheless be entitled to a hearing if he/she can show that failure to timely request a hearing was beyond the person's control.

(d) If a hearing is requested, the OYA will notify the applicant of the time and place of the hearing, and provide information on the procedures, right of representation, and other rights of parties relating to the conduct of the hearing.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420A.010, ORS 420.810, ORS 410.815, ORS 420.840

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 16-2002, f. & cert. ef. 10-11-02

**416-530-0100**

**Youth Offender Group Home — Statement of Purpose**

The Youth Offender Group Home program was developed to meet the needs of youth offenders in OYA custody who, because of emotional and/or behavioral characteristics, require a group living situation more structured than a youth offender foster home, but less structured than a Youth Correctional Facility. The purpose of the youth offender group home placement is to improve the youth offender's ability to accept responsibility for actions at home and in the community, to improve the youth offender's relationship with his or her family, and to improve the youth offender's ability to successfully solve the problems of daily living. The youth offender group home provider shall be a certified youth offender foster care provider, who contracts with OYA to provide group home services.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-530-0110**

**Youth Offender Group Home Requirements**

(1) Youth Offender Group Homes shall contract for a minimum of four and a maximum of eight of youth offenders. Youth offenders being transitioned to youth offender foster care shall be counted toward the total number of youth offenders in the home.

(2) Youth offender group homes shall not provide emergency or shelter care for youth offenders.

(3) Youth offender group homes shall establish intake procedures for youth offenders being placed. The intake procedure must include consultation between the OYA Parole and Probation worker (placement worker) and the provider to discuss the youth offender being referred.

(4) Reformation Plans:

(a) Within 30 days of placement, the assigned group home liaison, placement worker, and the provider shall review and revise, where needed, the Reformation Plan on each youth offender;

(b) Reformation plans will be goal-oriented and time-limited. Each plan shall identify desired behavior changes and shall estimate when the reformation goals will be achieved. Each treatment shall state and prioritize reformation goals, identify reformation services that will address each goal, and shall include the OYA's recommendations for reformation and after-care placement.

(5) The youth offender group home will establish procedures for reviewing the youth offender's reformation plan and after-care plan.



(a) Each element of each youth offender's reformation plan shall be reviewed by the provider, the assigned group home liaison, and placement worker at least every three months after the development of the plan. The reformation plan shall be revised or modified as necessary;

(b) The after-care plan shall be reviewed by the provider, the assigned group home liaison, and placement worker at the time of each treatment plan review, and the after-care plan shall be revised or modified as necessary.

(6) Terminations:

(a) When a youth offender has completed his or her treatment program, they will be moved to the after-care resource in accordance with the after-care plan;

(b) If the youth offender needs to be moved before they have completed the reformation plan, the provider, the assigned group home liaison and placement worker shall agree when and to where the youth offender shall be moved. If an agreement cannot be reached, OYA shall decide when to move a youth offender and where.

(7) The youth offender group home will establish performance criteria, with input from the youth offender, assigned group home liaison, and placement worker, for evaluating the needs of youth offenders served by the program. The performance criteria will be used to measure the goals set for the youth offender and how well the youth offender was able to meet the expected outcomes.

(8) Staffing:

(a) A youth offender group home will be staffed on a family-based model of care. (See Youth Offender Foster Home Activities under OAR 416-530-0070);

(b) There shall be a minimum of one adult to every five youth offenders in residence. If there are more than five youth offenders in residence, staffing shall be proportional. Example: If there are eight youth offenders in residence, there should be 1.6 adults. The additional .6 full-time equivalent adult shall be in the home during critical hours of youth offender group home operation, usually after school until bed time.

(9) Youth offender group home parents must plan for a minimum of 48 hours per month away from youth offender care responsibilities. Youth offender group home providers shall prepare a written plan for the provision of respite care.

(10) At the beginning of each contract year, youth offender group home providers will prepare a financial plan of expenditures for the coming year.

(11) The OYA will conduct a quality assurance review of every youth offender group home at least every two years in accordance with the established program evaluation outline.

(12) Each youth offender group home provider shall participate in 30 hours of professional training each year. The OYA and the youth offender group home provider will agree upon a written training plan.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 550

### YOUTH OFFENDER TREATMENT FOSTER CARE

#### 416-550-0000

##### Purpose

Youth offender treatment foster care is a program for youth and their families whose out-of-home treatment needs can be met through services delivered by youth offender treatment foster parents, and/or professional staff trained, supervised and supported by an agency. These rules set standards for the operation of a youth offender treatment foster care program. All agencies under contract with OYA to provide this service, or proposing to provide this service, must adhere to these rules.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-550-0010

##### Definitions

For the purpose of these rules:

(1) "After care" means the plan which outlines the services and resources that will be needed when the youth leaves the youth offender treatment foster care program.

(2) "Agency" means a public or private organization which contracts with OYA to provide youth offender treatment foster care services.

(3) "Agency staff" means a person employed by the youth offender treatment foster care program that gives support to the treatment foster parent or the youth/family, (for example, the treatment specialist or clinical supervisor).

(4) "Clinical supervisor" means a person employed by the youth offender treatment foster care program who provides support, supervision and consultation to the treatment specialist and/or the youth offender treatment foster parent.

(5) "Crisis-on-call" means 24-hour-a-day, seven-day-a-week availability, either by phone or in person, for the provision of emergency and/or back-up services.

(6) "Matching" means the process of placing the youth in a home that can specifically meet the individual reformation needs of that particular youth. These needs include, but are not limited to, a foster parent's ability to speak the language of the youth, the home's proximity to the youth's family, and same race, ethnicity and culture.

(7) "Respite care" means a temporary arrangement of 12 hours or more, to allow the treatment foster parent(s) time away from the youth.

(8) "Respite provider" means an individual approved by the OYA who temporarily assists with supervision of youth offenders when the youth offender foster parent is not available.

(9) "Treatment" means the coordinated provision of services designed to produce a planned outcome in a person's behavior, attitude or general condition. Treatment is based on a thorough assessment of factors contributing to the attitude, condition or behavior.

(10) "Youth offender treatment foster care" means the model of care in which a youth receives treatment in the foster home from the foster parent who is under the supervision and support of a professional therapist of an identified program.

(11) "Youth offender treatment foster care program" means a separately identifiable unit of a larger agency or an independent agency itself that has been certified by the OYA to provide youth offender treatment foster care services.

(12) "Youth offender treatment foster parents" means in-home treatment providers of a youth offender treatment foster care program certified by the OYA who implement reformation strategies identified in the reformation plan in addition to carrying out their regular foster care responsibilities.

(13) "Reformation plan" means a course of individualized treatment which considers the youth's needs and is developed by the youth offender treatment foster care program in conjunction with the youth offender treatment foster parent(s) and the OYA.

(14) "Treatment specialist" means a person employed by the youth offender treatment foster care program who provides training, supervision, support and consultation to the youth offender treatment foster care foster parent.

(15) "Treatment team" means those people concerned with the care and treatment of the youth. The team may be comprised of, but is not limited to, the youth offender treatment foster parent(s) and the treatment specialist.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-550-0020

##### Overview

Youth and youth appropriate for youth offender treatment foster care have serious emotional and/or behavioral disorders. The level of supervisory treatment and family intervention needs of these youth

is comparable to those served in residential treatment facilities. Youth offender treatment foster care consists of:

- (1) A youth offender treatment foster care agency with staff who give support to the treatment foster parent and the youth/family; and
- (2) Treatment foster families who implement treatment strategies identified in the reformation plan in addition to carrying out their regular foster care responsibilities.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000

#### 416-550-0030

##### Youth Offender Treatment Foster Care Program

A youth offender treatment foster care program must be a separately identifiable unit of a larger agency or be an independent agency itself:

- (1) Eligibility:

(a) The program must meet standards as defined in OAR Chapter 416, Divisions 530 and 540 to be eligible to be a youth offender treatment foster care program;

(b) Selection of a youth offender treatment foster care program will be made by the Oregon Youth Authority based on current need and ability to fund the program.

(2) Administration. The program must designate an individual who is responsible for the provision and oversight of all essential tasks and services described in these rules.

- (3) Staff:

(a) Clinical supervisor's responsibilities/qualifications include:

(A) Clinical Supervision. The supervisor provides regular support, consultation and guidance to the treatment specialist. The supervisor to treatment specialist ratio must not exceed one to five;

(B) Treatment Planning. The supervisor takes ultimate clinical responsibility for the development of a comprehensive treatment plan based on a thorough case assessment for each youth admitted to the program. This plan must be congruent with and supportive of the Reformation Plan developed by the Oregon Youth Authority. She or he supervises ongoing treatment planning and implementation for each youth, evaluating all progress reports and treatment plan updates;

(C) Treatment Team. The supervisor oversees and supports the treatment specialist as leader of the treatment team and shares ultimate responsibility for team plans and decisions;

(D) Crisis On-Call. The program provides coordination and back-up to assure that 24-hour on-call crisis intervention services are available and delivered as needed to treatment parents, youth, youth and families;

(E) Qualifications. The supervisor must have a graduate degree in a human service field plus a minimum of two years' experience in the placement/treatment of youth and families. The supervisor must be familiar with clinical research and practice. If the education and experience of the supervisor are not recognized, additional clinical consultation shall be provided. Clinical consultants must be licensed or otherwise recognized as qualified by the state in the human service field.

(b) Treatment specialist's responsibilities/qualifications include:

(A) Treatment Team. The treatment specialist takes primary day-to-day responsibility for leadership, training, support and consultation to the treatment team. The treatment specialist organizes and manages all team meetings. If the treatment specialist is prevented from participation in a team meeting by a crisis or personal leave reasons, the supervisor takes over that responsibility. As team leader, the treatment specialist manages team decision-making regarding the care and treatment of the youth and services to the youth's family;

(B) Treatment Planning. Under the supervision of the clinical supervisor, the treatment specialist takes primary responsibility for the preparation of each youth's written comprehensive treatment plan and of quarterly written updates of the plan. The treatment specialist signs off on treatment plans and updates. The treatment specialist seeks to inform and involve other team members in this process including treatment parents, the youth and the youth's family;

(C) Support/Consultation to Treatment Parents. The treatment specialist will provide regular support and technical assistance to treatment parents in their implementation of the treatment plan and with regard to other responsibilities they undertake. The treatment specialist will provide at least weekly contact in person with the treatment parent of each youth on his/her caseload. The treatment specialist will visit the treatment home to meet with at least one treatment parent no less than once monthly;

(D) Caseload. The maximum number of youth that may be assigned to a single individual is 10;

(E) Contact with Youth. The treatment specialist or other program staff shall regularly spend time, outside the presence of the treatment foster family, with youth in care to allow them the opportunity to communicate special concerns, to make a direct assessment of their progress, and to monitor for potential problems in the current placement. Such face-to-face contact must occur at least twice monthly;

(F) Support/Consultation to the Families of Youth. The treatment specialist will arrange for and encourage regular contact and visitation between youth and their parents and other family members and provide for or coordinate treatment or training to the family as specified in the treatment plan. The treatment specialist will seek to involve the youth's parents when appropriate, in treatment team meetings, plans and decisions and to keep them informed of the youth's progress in the program;

(G) Community Liaison and Advocacy. The treatment specialist will determine which community resources are required and how they may be used to meet the objectives of the youth's reformation plan. The treatment specialist will advocate for and coordinate the provision of such services and will provide technical assistance to community service providers as needed to maximize the benefit of these services to the youth;

(H) Crisis On-Call. The treatment specialist or other professional staff, as designated by the agency, will be on-call to treatment parents, youth and their families on an around-the-clock, seven-day-a-week basis;

(I) Qualifications. The treatment specialist shall have at a minimum a B.A. or B.S. degree in a human service field plus two years direct experience working with youth and families, or an A.A. degree with three years experience working with youth and families.

(4) Staff Training and Support: Liability Insurance. Professional staff shall be covered by liability insurance.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00

#### 416-550-0040

##### Treatment Foster Parents

Treatment foster parents serve as in-home treatment agents implementing strategies specified in a youth's treatment plan including support of the youth's family relationships:

- (1) Qualifications and Selection:

(a) Treatment foster parent(s) must be certified as a OYA foster homes as defined in OAR chapter 416, divisions 530 and 800; and

(b) Treatment foster parent(s) must be employees of, or have a contract with, a youth offender treatment foster care program;

(c) Prospective applicants, foster parent(s) and members of the household 18 years of age and older shall consent to a criminal record check by the agency. OYA may require a criminal record check for any employee, volunteer, or other adult having regular contact with youth placed in the foster home. OYA may require a criminal history on members of the household under 18 years if there is reason to believe that member may pose a risk to youth placed in the home. OYA may require that the applicant(s)/foster parent(s)/member(s) of the household provide fingerprints and processing fees for the purpose of a criminal record check following procedures outlined in OAR chapter 416, division 800.

(d) Language. At least one treatment parent must demonstrate effective communication in a language of the youth in the treatment family's care, and in a language of the program/treatment team with which they work;

(e) Age. Treatment parents must be at least 21 years of age;

(f) Health. The physical health of treatment parents must be equal to the stress inherent in the care of a special needs youth as evidenced by a physician's statement to that effect;

(g) Transportation. Treatment parents must have access to reliable transportation. If using a car, they must have a valid driver's license and document ownership of liability insurance as required by law;

(h) Physical Discipline. Treatment parents must agree not to use physical discipline with youth placed in their care and to adhere to the agency's policies regarding the use of discipline generally.

(2) Responsibilities:

(a) List of Responsibilities. Prospective treatment parents must be provided with a written list of duties clearly detailing their responsibilities both as treatment parents and as foster parents prior to their approval by the program;

(b) Treatment Responsibilities:

(A) Treatment Planning. The treatment parent shall assist the treatment specialist and other team members in the development of treatment plans for the youth or youth in their care. These treatment plans must be congruent with the reformation plan developed by OYA;

(B) Treatment Implementation. The treatment parent shall assume primary responsibility for implementing the in-home treatment strategies specified in the youth's initial and comprehensive treatment plans and revisions thereof;

(C) Treatment Team Meetings. The treatment parent shall work cooperatively with other team members under the leadership of the treatment specialist and attend team meetings, training sessions and other gatherings required by the program or by the youth's treatment plan;

(D) Record Keeping. The treatment parent shall systematically record information and document activities as required by the agency and the standards under which it operates.

(E) Contact with Youth's Family. The treatment parent shall assist the youth in maintaining contact with his/her family and work actively to support and enhance these relationships, unless contraindicated in the youth's treatment plan;

(F) Community Relations. The treatment parent shall develop and maintain positive working relationships with service providers in the community such as schools, departments of recreation, social service agencies, and mental health programs and professionals;

(G) Advocacy. The treatment parent, in concert with the agency treatment specialist and other staff, shall advocate on behalf of the youth to achieve the goals identified in the youth's treatment plan, to obtain educational, vocational, medical and other services needed to implement the plan, and to assure full access to and provision of public services to which the youth is legally entitled.

(H) Notice of Request for Youth Move. Unless a move is required to protect the health or safety of the youth or other treatment family members, the treatment parent shall provide at least 14 day's notice to program staff if requesting a youth's removal from the home so as to allow a planful and minimally disruptive transition. OYA shall be notified of such change.

(c) Foster Parent Responsibilities. Youth offender treatment foster parents must fulfill the responsibilities of foster parents as defined in OAR chapter 416, division 530.

(3) Youth Offender Treatment Foster Parent Training:

(a) Training of treatment parents shall be a systematic, planned and documented process which includes competency-based skill training and is not limited to the provision of information through didactic instruction;

(b) Preservice Training. Prior to the placement of youth in their homes, all treatment parents must satisfactorily complete 20 preservice hours of primarily skill-based training consistent with the agency's treatment methodology and the service needs of the youth;

(c) Inservice Training. A written, agency approved, professional development plan shall be on record in each agency which describes the content and objectives of inservice training for all agency treatment parents. All treatment parents must satisfactorily complete a minimum of 40 hours of inservice training annually based on the training needs identified in the agency's professional development

plan and the specific services treatment parents are required to provide. Inservice training should emphasize skill development, as well as knowledge acquisition, and may include a variety of formats and procedures including in-home training provided by agency casework staff;

(d) Evaluation of Training. All treatment parents must be provided an opportunity to evaluate mandated training.

(4) Treatment Parent Support:

(a) Information Disclosure. All information the youth offender treatment foster care program receives concerning a youth to be placed with a treatment family shall be shared with and explained to the prospective family prior to placement. Agency staff will discuss with the prospective treatment parents the youth's strengths and assets, potential problems and needs, and initial intervention strategies for addressing these areas. As full treatment team members, treatment parents have access to full disclosure of information concerning the youth. With this access goes the responsibility to maintain agency standards of confidentiality;

(b) Respite. Treatment parents shall have access to both planned and crisis respite care for their treatment foster youth by providers who have been selected and trained by the program in providing respite care. Respite providers must be informed of the youth's treatment plan and supervised in their implementation of the in-home strategies it specifies;

(c) Counseling. Treatment parents and their youth shall have assistance in finding counseling when requested, for personal issues/problems caused or exacerbated by their work as treatment parents. Such issues may include, for example, marital stress, or abuse of their own youth by a youth placed in their care by the youth offender treatment foster care program;

(d) Support Network. The youth offender treatment foster care program shall facilitate the creation of formal or informal support networks for its treatment parents as, for example, through the coordination of parent support groups or treatment parent "buddy" systems;

(e) Financial Support. Agency financial support to treatment parents must cover the cost of care as well as payment for the difficulty of care associated with their treatment responsibilities and the special needs of the youth they serve;

(f) Damages and Liability. The program must have a written plan concerning compensation for damages done to a treatment family's property by youth placed in their care. This plan must be given and explained to prospective treatment parents as part of their pre-service orientation. The agency must provide or assist treatment parents in obtaining liability coverage. Treatment parents are required to document that they carry home/apartment, automobile (if they have a motor vehicle), property and liability insurance themselves in addition to any liability and damage coverage provided by or through their youth offender treatment foster care program.

(5) Treatment Home Capacity. The number of youth offender treatment foster care youth placed in one treatment home shall not exceed two. The total number of youth living in a treatment foster home, including the foster parents' own youth, will not exceed five. Exceptions to the total number of youth including the foster parents' own youth will be granted to foster homes who provided youth offender treatment foster care prior to July 1, 1992. Treatment parents have the right to refuse placement of any youth they feel is inappropriate for the home or endangers the safety of youth currently in the home. On a case-by-case basis, a youth offender treatment foster care youth may be eligible to remain in the youth offender treatment foster care home as an on-going foster care placement upon completion of the youth offender treatment foster care program if there is special justification and it is in the best interests of the youth. At no time will there be more than one on-going foster care placement in a youth offender treatment foster care home with two youth offender treatment foster care youth.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 420.888 – ORS 420.892

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 1-2000, f. & cert. ef. 4-4-00; OYA 7-2002, f. & cert. ef. 1-18-02



**416-550-0050**

**Youth and Their Families**

**Placement and Support:**

(1) Matching. Placement of a youth will be made only after careful consideration of how well the prospective treatment family will meet the youth's needs and preferences and will represent a reasonable "match" for the youth.

(2) Assessment. To achieve sound placement decisions and planning for relevant treatment services to youth, program staff must receive and review the following case material prior to a youth's admission: current case plan(s), legal documents and relevant police records, etc., social history information, previous and current (within a year of referral date) psychological assessments if available, school information, medical information, previous placement history and outcomes, potential problems and information on the youth's/youth's skills, interests, talents and other assets.

(3) Records. For youth admitted to Youth Offender Treatment Foster Care, an individual case record will be kept which includes the above information as well as the following:

- (a) Personal identifying information;
- (b) A pre-admission psychological evaluation;
- (c) A youth social and family history;
- (d) Educational history including school reports and available standardized test results;

(e) Medical information including sight, hearing and dental exam reports, current medications and allergies, youth's physical description, immunization records, medical history and Medicaid/SSI number, if applicable;

(f) Authorizations for routine and emergency medical care, dental care and other medical procedures;

(g) Other required authorizations such as authorization for out-of-state travel, participation in special activities, publicity releases, etc.;

(h) Correspondence with/from agencies involved with the youth, including a copy of the Reformation Plan developed at intake to the OYA as well as any revisions and additions;

- (i) The initial treatment plan;
- (j) The comprehensive treatment plan;
- (k) Progress reports;

(l) Case notes including contacts with the youth's family/extended family;

(m) Incident logs or records on serious behavior problems, police and relevant juvenile court records and reports when possible, illnesses or injuries.

(5) Youth's Access to Agency Staff. Treatment foster youth/youth shall have access to designated program staff at all times to discuss concerns including any problems they are experiencing with their treatment family. Provider staff will provide regular one-to-one contact with each youth on at least a twice monthly basis.

(6) Youth-Family Contact/Relationships. Unless specifically proscribed by court or custodial agency decision, treatment foster youth/youth shall have access to regular contact with their families as described in the treatment plan.

(7) Rights of Youth in Youth Offender Treatment Foster Care. Youth in Youth Offender Treatment Foster Care have the same basic rights as all foster youth including the right to privacy, to humane treatment, to adequate shelter, clothing, nutrition, essential personal care items and allowances, and access to religious worship services of their choice. The program shall explain to each youth what his/her rights are in a manner consistent with the youth's level of understanding, and make this information available to the youth in writing.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-550-0060**

**Treatment**

(1) Initial Treatment Plan. An initial written treatment plan shall be completed by the time of the youth's admission to the program. The plan shall describe specific tasks to be carried out by the treatment team during the first 45 days of placement. It shall describe

strategies to ease the youth's adjustment to the treatment home and to directly assess the youth's strengths, skills, interests and needs for treatment within the home. The initial plan should assess short-term goals for the first 45 days of placement, identify potential problems likely to be encountered with the youth and specify how the treatment team is to respond to them.

(2) Comprehensive Treatment Plan. A written comprehensive treatment plan shall be completed for each youth admitted within 45 days of admission addressing the long-term goals of treatment including criteria for discharge, projected length of stay in the program, projected post-YOTFC setting and aftercare services. It shall be congruent with the Reformation Plan developed by the OYA. The plan shall identify and build on the youth's strengths and assets as well as respond to presenting problems. The comprehensive treatment plan shall include proactive short term treatment goals which are measurable and time-limited along with specific strategies for promoting and regularly evaluating progress.

(3) Quarterly Progress Reports/Updates. Each youth's treatment plan shall be specific, reviewed via quarterly reports and revised as necessary. Quarterly reports shall document progress on specific short term treatment goals, describe significant revisions in goals and strategies, and specify any new treatment goals and strategies initiated during the period covered. The quarterly progress report shall summarize progress and note changes regarding long-term placement and treatment goals. The interagency team members will be invited to participate in the process to review and approve the quarterly report.

(4) Aftercare Plan. All planned discharges from Youth Offender Treatment Foster Care will be reviewed and discussed by the treatment team, including the parole and probation worker and youth. An approved aftercare plan shall be ready for implementation prior to the youth's planned departure from the program. The plan shall specify the nature, frequency and duration of aftercare services and designate responsibility for service delivery. The YOTFC program shall provide these aftercare services directly or provide consultation to the person/agency assuming responsibility for working with the youth following discharge from the program. An aftercare plan also shall be developed in a timely fashion for youth whose discharge is not planned, with follow-up services provided or assisted as described here.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-550-0070**

**Program Statement**

All Youth Offender Treatment Foster Care programs shall have a written program statement which describes its mission, organizational structure, services, policies, record-keeping and evaluation procedures. The program statement shall describe:

(1) The agency's treatment philosophy and the specific treatment modality(ies) it employs.

(2) The services the program provides.

(3) The youth it is designed to serve with regard to age, gender, geographic service area and types of special needs the program is prepared to address. Clients served must exhibit an identifiable special need.

(4) A staffing pattern which allows for the intensity of service required in Youth Offender Treatment Foster Care and designates the individual responsible for program administration.

(5) How the services to be provided will reflect the cultural diversity of the community and be responsive to the needs of the community.

(6) A policy assuring that the program staff and treatment parents adhere to practices that respect and promote positive cultural or ethnic identity.

(7) A policy on discipline and physical restraint which includes a description of acceptable methods.

(8) A policy on the use of physical restraint prohibiting the use of mechanical restraint or seclusion (e.g., in a locked room) and stating that passive physical restraint is justified only to protect the youth or others from injury or to prevent serious damage to property. The

policy shall further state that if necessary and justified, physical restraint will be used only by persons who have been trained in its use and will not be employed as a punishment.

(9) The plan for crisis intervention procedures.

(10) The protocol for investigating, responding to and reporting allegations of misconduct and/or abuse by treatment parents, program agency staff, or their youth.

(11) The policy advising youth and parents of their rights and the grievance procedures available to them.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-550-0080

##### Program Evaluation

(1) Documentation of Service Delivery. A Youth Offender Treatment Foster Care program must clearly document delivery of all services described in its program statement as well as compliance with all minimum operating standards described above.

(2) Individual Treatment. Youth Offender Treatment Foster Care programs must document the implementation of all treatment plans and track progress on all long and short-term treatment goals throughout each youth's tenure in care.

(3) Performance Evaluations. Programs will provide to treatment parents and professional staff written performance evaluations at least annually which include descriptive assessments of their performance of specific job responsibilities and goals for improved performance.

(4) Program Evaluation. YOTFC programs shall have a program evaluation plan which describes information to be collected, summarized and analyzed at least annually. The plan will identify who will have access to the evaluation and how it will be used. The evaluation shall include demographics on current youth, youth and their families, treatment families and professional staff; aggregated information describing in-program events such as placement disruptions; and a summary of information collected through follow-up tracking of youth/youth discharged from the program. The plan also will provide for periodic evaluations of program services by treatment parents, youth/youth and their families.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### DIVISION 600

#### HIV TESTING OF YOUTH IN OREGON YOUTH AUTHORITY CUSTODY

#### 416-600-0000

##### Purpose and Scope

The purpose of these rules is to set forth procedures and criteria which the Oregon Youth Authority to use when testing youth for HIV. HIV Testing is an intrusive medical procedure which can have serious social consequences, OYA will subject youth in its custody to this procedure only if it is medically indicated. When a youth in OYA custody is tested for HIV, informed consent procedures shall be followed and the results of the test held in strictest confidence.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-600-0010

##### Definitions

(1) "HIV" is the acronym for human immunodeficiency virus. This is the current name for the virus which causes AIDS.

(2) "Acquired Immune Deficiency Syndrome (AIDS)" is a disorder in which a person's immune system is severely suppressed. It is caused by the human immunodeficiency virus (HIV). In order for a person to be diagnosed as having AIDS the virus, immune system suppression, and an opportunistic infection or other condition stipulated by the U.S. Centers for Disease Control must all be present.

(3) "HIV Positive" means that a blood test has indicated the presence of antibodies to HIV. This means that the person has been

infected by the virus and the immune system has responded by producing antibodies. An exception is infants of HIV-infected mothers. They have been exposed to the mother's antibodies in utero and carry these antibodies in their blood for a number of months after birth. A series of tests is necessary to determine if these infants are themselves infected with HIV.

(4) "HIV Infection." People who have been tested and found to have the antibody are referred to as having HIV infection. At this writing, persons with HIV infection have a very high (greater than 50%) chance of developing AIDS within the next 10 years following the positive test result. These people are capable of transmitting the virus through risk behaviors, as described below.

(5) "High Risk Behaviors/Group" means the following:

(a) Having shared a needle with an intravenous drug abuser since 1977;

(b) For a man, having had sex with another man or men since 1977;

(c) Having been sexually active in an area where heterosexual transmission is believed to be high — notably central Africa;

(d) Persons with hemophilia;

(e) Having been the sexual partner of a person in one of the previous categories;

(f) Being born to a woman whose history has put her in one of these other categories.

(6) "Counseling" means group and individual counseling, emotional support groups, one-on-one emotional support, AIDS education, and/or information services.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-600-0020

##### HIV Antibody Testing

(1) For youth in OYA custody, the HIV antibody test is to be done only to facilitate the medical care of the youth if clinically indicated after a thorough medical evaluation by a doctor knowledgeable about HIV infections. The test is not to be used to screen individuals in high risk behavior or any other groups, nor to satisfy the curiosity of OYA staff or contracted providers.

(2) Under the direction of a physician, infants born to OYA youth known to have engaged in high risk behaviors may be tested for the presence of antibodies to HIV. The presence of HIV infection in an infant can be determined only after the mother's antibodies are gone from the child's bloodstream.

(3) OYA shall not license any private child-caring agency whose admission criteria include a mandatory HIV test.

(4) OYA shall not contract with any service provider whose admission criteria include a mandatory HIV test.

(5) OYA shall provide court ordered HIV tests when youth are in custody in any Youth Correctional Facility.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-600-0030

##### Informed Consent

(1) No person shall submit the blood of an individual to an HIV test without first obtaining informed consent or ascertaining that informed consent is obtained. As legal custodian and guardian of the youth, OYA may grant medical consent and authorize medical treatment. OYA must have a medical statement that the HIV test is necessary for care and treatment before ordering or arranging for a test. If OYA orders or arranges for an HIV test, informed consent procedures must be followed.

(2) A minor of any age may consent to a HIV test; and when the minor's consent is given, the consent of the minor's parents or guardians is not necessary for diagnosis, care or treatment. However such consent must be informed consent.

(3) OYA staff are responsible to assure that informed consent is obtained when youth in OYA custody are to be given an HIV test. If the medical provider does not obtain the informed consent, OYA staff shall do so or arrange for it to be done prior to the test.

(4) Informed consent shall be obtained in the following manner, giving consideration to the youth's age and ability to understand:

(a) Provide the person for his/her retention a copy of the CSD 990, HIV Test Informed Consent;

(b) Orally summarize for the person the substance of the statements in the OYA Informed Consent Form and specify alternatives to the HIV test in the particular instance, and if the test information will be disclosed to others, who those others will be;

(c) Explain the risks from having the HIV test. This shall include a description of Oregon law pertaining to the confidentiality of information about an individual having the test and that individual's test results; a statement that there may be circumstances under which disclosure might be permitted or required without consent; and a statement of the potential consequences in regards to insurability, employment, and social discrimination if the HIV test results become known to others;

(d) Inform the youth that he or she has the right to request additional information from a knowledgeable person before giving consent;

(e) Ask the youth to be tested whether he/she has any further questions, and if so, provide a full and complete opportunity to ask those questions and receive answers from a person who is sufficiently knowledgeable to give accurate and complete answers about AIDS, HIV tests and the consequences of being tested or not tested;

(f) Have the person sign the OYA Informed Consent Form, HIV Test Informed Consent, after having had an opportunity to read it;

(g) Maintain the signed OYA Informed Consent Form for at least seven years.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-600-0040

##### Counseling

A youth being referred for HIV antibody testing must be referred for pre- and post-test counseling.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-600-0050

##### Confidentiality

(1) Many of OYA records are exempt from disclosure or strictly confidential under the public records exemptions or confidentiality status. All medical records are privileged information. AIDS and/or HIV test results are specifically designated highly confidential by statute (ORS 433.045) and Health Division Administrative Rule (333-012-0270(1)–(9) and must be held in the most strictly observed confidence possible to avoid consequences of casual or inappropriate disclosure of information.

(2) Before consultation with the physician, the worker shall not inform any party that a youth has AIDS or is HIV positive. The worker shall consult with the physician who recommended the test or the local health department when appropriate, regarding who, beyond those directly involved in case planning, needs to be informed that a youth is HIV positive or diagnosed as having AIDS, and how to adequately meet the needs of that youth. The worker and/or supervisor shall then provide this information to the Administrative Office. Following this consultation, an HIV positive result or diagnosis of AIDS and other necessary medical information shall only be disclosed based on the physician's recommendation or recommendation of county health department or State Health Division when OYA Administration determines that such disclosure is in the best interests of the youth and necessary to administer Oregon Youth Authority services.

(3) Each person who subsequently gains access to this information must keep it in the strictest confidence, (ORS 433.045 (3)). The worker shall advise all persons who have access to the medical information of their duty to safeguard the confidential nature of the information.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

## DIVISION 610

### TITLE XIX AND GENERAL ASSISTANCE MEDICAL ELIGIBILITY

#### 416-610-0000

##### Purpose and Scope

The purpose of these rules is to set forth procedures and criteria which the Oregon Youth Authority will use to make Title XIX medical eligibility determinations for youth in substitute care who are in the care and custody of Oregon Youth Authority, and to make such determinations for those youth who do not meet the financial eligibility criteria for Title XIX who would otherwise be eligible for the General Assistance Medical Program. Both of these programs are administered by the Office of Medical Assistance Programs. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0010

##### Definitions

As used in this Division, the following definitions apply:

(1) "AFS": Adult and Family Services Division.

(2) "Assistance Standards": Amount of entitlement determined by AFS taking into consideration the need for food, shelter, utilities, clothing, personal incidentals and household supplies. Need is determined for individuals by comparing available income and resources to the ADC assistance standards.

(3) "Custody": Legal custody and guardianship, as defined in ORS 419.519 and 419.521.

(4) "Earned Income": Income received from earnings of the youth who is either working full time or part time.

(5) "Full-Time Employment": 160 hours per month.

(6) "Full-Time School Attendance": Number of hours as defined by each individual school.

(7) "G.A.": General Assistance with no federal match.

(8) "Paid Substitute Care": Oregon Youth Authority is making a payment on behalf of the child.

(9) "Resources": All real and personal property, automobiles, life insurance and trusts, including cash, savings, checking accounts or trust and agency (T&A) accounts.

(10) "OYA": Oregon Youth Authority.

(11) "Unearned Income": Refers to income to the youth in the youth's own right, such as Social Security benefits, Veteran's benefits, child support payments or other entitlements. It does not include the OYA foster care payment.

(12) "OMAP (Office of Medical Assistance Programs)": Refers to the official state Title XIX (Medicaid) agency located in the Office of the Director, DHR. Most DHR-wide Title XIX functions are handled by OMAP, but a few functions are retained by AFS. OMAP was formerly a part of AFS.

(13) "Spend Down": Refers to the use of excess monthly income over the AFS assistance standard that is used to pay for medical expenses which enables a client to be Title XIX eligible. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0020

##### Title XIX Policy Determinations Required

(1) Each youth in substitute care whose care is paid by OYA or another public agency must have a determination of Title XIX eligibility before the issuance of a medical care ID card is authorized by OYA. Eligibility will not be presumed. In order to determine this eligibility the form "Individual Eligibility Determination for Title XIX Medical Coverage" must be completed, dated, signed by either a OYA worker or their designee, and filed in the youth's case record. The following youth are potential candidates for Title XIX coverage:

(a) Youth in shelter or foster home placements or, in a licensed child care agency, group home, or residential care placement, or a non-profit public drug and alcohol treatment facility;



(b) Youth in placements listed above when the care is paid by another public agency including county juvenile departments.

(2) Youth admitted to the hospital prior to entering substitute care or newborns released from the hospital into substitute care. Title XIX eligibility is effective the date that OYA obtains custody of the child and the child is determined eligible.

(3) Youth on runaway status who would otherwise be in care. Eligibility for Title XIX resumes at the time they are located as long as OYA retains custody and the youth would continue to be in substitute care and Title XIX eligible if not on runaway status. OYA is not responsible for medical bills incurred while a youth is on the run if the youth is not replaced in care.

(4) Youth in subsidized Independent Living.

(5) Youth receiving SSI. An application for Title XIX must be completed to establish initial eligibility. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0030

##### Eligibility Factors Assistance Standard

(1) In order to be eligible for Title XIX coverage while in foster care, a child must meet the income level in one of five ways:

(a) Through the ADC payment standard for one in a household of one, or (AFS Rule 461-004-0915);

(b) Through the Medically Needy standard for one in a household of one;

(c) Through the Medically Needy with spend-down standard;

(d) Eligible for and receiving Title IV-E foster care payments;

(e) Receiving (SSI) Supplemental Security Income.

(2) Unearned Income: All unearned income that the child is entitled to receive must be counted in determining Title XIX eligibility. Income must be used to determine eligibility even if the agency has not begun to receive the benefits as long as that income has been awarded to the child. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0040

##### Earned Income

Treatment of earned income in determining eligibility for Title XIX will be handled solely on the basis of the child's student status as follows:

(1) The following youth will have their earnings disregarded:

(a) Full-time students (as defined by the school) attending grade 12 or below, or attending a course of vocational or technical training, or GED classes in lieu of high school or planning to return to school or vocational training; or

(b) Part-time students who are not employed full time and are attending grade 12 or below, or attending an equivalent level of vocational or technical training or GED classes, or planning to return to school or training;

(c) Youth earning income under the Job Training Partnership Act (JTPA) programs (except Job Corps payments).

(2) A youth who is attending school part-time and employed full-time, or not attending school will have his/her earnings partially disregarded. The first \$90 of earned income will be disregarded. The earnings will be computed on an OYA form to determine the youth's eligibility for Title XIX. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0050

##### Resources

(1) Total resources for a youth may not exceed \$2,000 in order to be eligible for Title XIX. If a youth has a motor vehicle, the first \$1,500 of equity value of that vehicle is exempt. The equity value over \$1,500 will be counted towards the \$2,000 resource limitation.

(2) Youth receiving SSI are always eligible for Title XIX. If the youth's assets (OYA Trust Account) exceed the limitation for SSI eligibility, it must be reported to the Social Security Administration.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0060

##### Citizenship and Alienage

(1) To be eligible for Title XIX the child must be:

(a) A United States citizen; or

(b) An alien lawfully admitted under provisions of Section 203(a) (7) before April 1980, 207(c), 208, 249, 584(a), 101, Section 207(c) (after March 31, 1980) or Section 212(d) (5) of the Immigration and Nationality Act as a paroled or conditional entrant; or aliens granted immigrant status according to the Amerasian Homecoming Act;

(c) An amnesty alien with permanent or unexpired temporary status admitted under **Section 245A, 210, or 210A** of the **Immigration and Nationality Act**.

(2) In order to authorize benefits, there must be proof that a youth is a U.S. citizen, or in the country legally. Birth certificates, or citizenship papers, alien registration cards, permanent visas, Cuban and Refugee registration cards may be used.

(3) To authorize Title XIX benefits, there must be proof that the youth is in the country legally. Individuals completing and signing the OYA application swear that they have reported the youth's citizenship honestly. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0070

##### Social Security Number

The youth must have a social security number (SSN) or verification that an application for an SSN has been made. When a youth does not have an SSN, verification of application for the social security number must be documented in the case file. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0080

##### Retroactive Eligibility

Children receiving GA medical due solely to the lack of an SSN are eligible for Title XIX retroactive to the date of placement once verification of an application for an SSN from the Social Security Administration has been obtained. An AFS 148 form titled "Recipient Subsystem, Claims Processing, Addition/Correction" must be completed on each case and sent to the Client Maintenance Section, AFS, P.O. Box 17150, Salem, OR 97305, for retroactive claiming of Title XIX. Title XIX eligibility retroactive to the date of placement must also be entered into the OYA Information System. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0090

##### Assignment of Medical Benefits

(1) All known or potential health insurance benefits or resources and all other third-party medical benefits, including casualty insurance available to the child, must be assigned to the Adult and Family Services Division.

(2) The worker, or their designee as guardian of the child, may sign the OYA form assigning these benefits.

(3) An AFS 415-H, "Medical Resource Report Form," must be completed and sent to AFS, Recovery Resource Section, P.O. Box 14023, Salem, OR 97309, for every child with health insurance coverage. If the child is covered by private health insurance such as Kaiser or another Health Maintenance Organization plan or Physician Care Organization (HMO/PCO), and is placed outside of a 30-mile radius, a statement of "accident injury policy only" must be written in the comment section of the AFS 415-H form. This exception statement will allow the foster parents the freedom to obtain medical care for the youth within their local area.

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0100**

**Lump Sum Benefits**

If all or part of a lump sum (any income received as a one-time payment) is spent during the month it is received in OYA, Accounting Services, so that the ending Trust and Agency balance is less than the Medically Needy resource limit of \$2,000, Title XIX medical eligibility may continue. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0110**

**Title XIX Coverage**

If a youth leaves paid substitute care, Title XIX eligibility exists for the remainder of the calendar month the youth was in care as long as the youth was eligible the day the medical card was issued. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0120**

**Reviews**

(1) Each youth's eligibility for Title XIX must be reviewed every 12 months unless the youth is receiving SSI. A review is not required for a youth receiving SSI unless the SSI is terminated.

(2) When there is a change in income or resources, the OYA form must be completed in the month the change occurs in order to update the medical eligibility for the following month.

(3) When it has been determined that a youth was incorrectly shown as Title XIX eligible for prior months, an AFS 148 will be completed to retroactively correct the youth's computer file. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0130**

**Cooperation with AFS Quality Control**

(1) As the State Title XIX agency, DHR is responsible to review cases covered by these rules for compliance with federal law and regulations. AFS performs this function.

(2) All cases to be reviewed will be requested through the OYA Financial Resource Unit. All case material (eligibility and service records) will be forwarded by OYA to AFS upon request. The cases will be selected for review by a systematic random sample each month from a universal listing of Title XIX-eligible cases. Title IV-E cases are not included in cases to be reviewed. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0140**

**GA Medical Policy**

(1) All youth in paid substitute care who do not meet the eligibility requirements for Title XIX, will be eligible for General Assistance(GA) medical through OMAP.

(2) An OYA form will reflect eligibility for GA medical when it has been determined there is no eligibility for Title XIX. These cases will be reviewed every 12 months in order to determine possible change in income and/or resources which may change the youth's eligibility for Title XIX.

(3) Infrequently a non-relative foster care provider is the designated payee for a foster child's benefits. Until payee status is transferred to the agency and a foster care maintenance payment is made, the youth is eligible for GA medical as long as their income is less than the standard cost of foster care for their age level.

(4) Youth in non-subsidized Independent Living are eligible for GA medical unless their income exceeds the standard cost of foster care for their age level. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0150**

**Non-paid Relative Placements**

(1) Youth living with relatives in non-paid care and living in the state must be referred to AFS for a cash grant and/or Title XIX coverage. OYA cannot issue a GA medical card to youth in non-paid relative care. The worker will advise the family to pursue medical coverage for the youth through AFS.

(2) A youth placed in a relative's home out-of-state will be referred to the Title XIX agency in that state for a Title XIX determination. If that state determines there is no Title XIX eligibility, OYA may issue a GA medical card only when the youth's income is below the foster care rate. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0160**

**Title XIX Eligibility Under COBRA for Out-of-State Placements**

(1) The Consolidated Omnibus Reconciliation Act (COBRA) of 1985 provides for Title XIX coverage in the state of residence for youth receiving Title IV-E foster care payments.

(2) All youth receiving Title IV-E foster care payments from other states moving to the State of Oregon must be referred to the AFS office in the county of residence for a Title XIX eligibility determination. Under no circumstances is OYA to authorize the issuance of a Medical Care Identification (MCI) for youth in the custody of another state. In addition, all youth who are Title IV-E eligible in Oregon and move to another state are eligible for Title XIX in the state of residence. The MCI will be issued by the state of residence.

(3) Youth receiving SSI payments and moving outside the State of Oregon are eligible for Title XIX in their state of residence. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0170**

**Children in Custody of County Juvenile Departments**

(1) Youth in the care and custody of the County Juvenile court in a substitute care placement may be eligible for Title XIX coverage from OMAP. County Juvenile Departments will submit applications to the Financial Resource Unit for Title XIX eligibility determinations. Approved applications will be forwarded to AFS. If a youth is not eligible for Title XIX, he/she is not eligible for any medical coverage through OMAP.

(2) To be eligible for Title XIX coverage from AFS, the youth must:

(a) Be under 21 years of age; and

(b) Have income less than the ADC Medically Needy (no spend down) payment standard for one person; and

(c) Be placed in a shelter, foster, group home or residential treatment facility, or in a subsidized Independent Living Program. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0180**

**Youth in Close Custody**

Youth held in a county or state juvenile detention facility or under arrest and/or in official custody are ineligible for Title XIX or GA medical coverage. Payment for emergency medical services only for youth in close custody and OYA custody may be made from the OYA "Other Medical" budget. (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

**416-610-0190**

**Youth in Residential Care with Payment by Another Public Agency**

(1) Youth in substitute care approved by a public agency of this state, and for whom a public agency of this state is assuming some financial responsibility, may be eligible for medical coverage.

(2) Youth in the care and custody of OYA and placed in residential care paid by another public agency whose income does not exceed the ADC Medically Needy (no spend down) payment standard for one person may be eligible for Title XIX. Others will be eligible for GA medical coverage.

(3) To issue medical care identification to youth in the care and custody of OYA and in non-paid residential care funded by another public agency, the following must be entered on the OYA Information System:

- (a) Medical eligibility after completion of a CSD 190;
- (b) An SRES non-pay service;
- (c) The youth's address (ORS 418.005).

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

#### 416-610-0200

##### Temporary Medical Card Issuance

The AFS-1086, "Temporary Medical Care Identification Card (MCIC)," may be issued when a youth requires medical care prior to receiving the computer generated MCIC (Medical Care Identification Card, OMAP 1417). The temporary MCIC may also be issued when the youth is placed, moved to a new placement, or when the MCIC is lost and medical care is needed before a new card will be issued. (The eligibility data must be entered into the system at the time of issuance in order for the provider to be paid.) (ORS 418.005)

Stat. Auth.: OL Ch. 422, 1995

Stats. Implemented: OL Ch. 422, 1995

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96

### DIVISION 630

#### ADMINISTRATION AND CONTROL OF MEDICATION

#### 416-630-0000

##### Purpose and Scope

There are standard medical orders given in the administering of non-prescription and prescription medications. This rule provides for consistent practice of storage, control and administration of medication by non-medical personnel within Youth Correctional Facilities. Training will address all standards needed to ensure state and federal mandatory compliance, specifically OAR 851-045-0011.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-630-0010

##### Definitions

(1) Primary Staff: The staff permanently assigned to a living unit, having completed prescribed training in the administration of medication.

(2) "Medication Administration Record (MAR)." The record in which all medication administration is recorded.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-630-0020

##### Storage of Medication

All medication is to be kept in the staff office, in a separate cupboard or drawer, under lock and key.

(2) Oral and injectable medication shall be stored separately from external medications.

(3) A primary staff should be designated per shift to oversee the control and administration of medication.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-630-0030

##### Administration of Medication

When administering medication staff shall:

(1) Call youth to the designated location for the administration of medication and verify that:

- (a) The right youth is present.
- (b) The right medication is identified for administration.
- (c) The right dose is being administered.
- (d) The right form of the medication is being administered: i.e. tablets, liquid, caplets, etc.
- (e) The medication is being administered at the right time.
- (2) Leave the medication in the package until ready to administer to the youth.
- (3) Require the youth to do the following:
  - (a) Open Mouth.
  - (b) Lift tongue.
  - (c) Pull cheeks away from teeth.
- (4) Check water cup to make sure medication has not been returned to the cup.

(5) If problems persist with a youth, staff should:

- (a) Recheck the youth's mouth.
- (b) Notify medical staff.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-630-0040

##### Signing for Medication

(1) Staff shall initial the Medication Administration Record before moving to the next youth.

(2) Staff shall not sign the Medication Administration Record before actually administering the medication.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-630-0050

##### General Guidelines

(1) Youth are to be called individually for medication.

(2) No other business should take place to distract attention from dispensing medication.

(3) Prescription medicines that are not consumed shall be returned to the pharmacy at the earliest time frame.

(4) Any medical information received from a physician must be entered in each youth's permanent medical record. Medication information is to be forwarded to the medical clinic serving the Youth Correctional Facility.

(5) All youth medications must be tracked on the Medication Administration Record (MAR). These records must be forwarded to the appropriate medical facility at the end of each month. This record includes all topical prescription medications ordered.

(6) Non-prescription oral medications are tracked via a 30-day medication record log. This log is to be maintained for 30 days past the last entry.

(7) Staff should familiarize themselves with the drug information sheet for each medication.

(a) The drug information sheet should be located in the RX manual on each living unit.

(b) Staff should note any unusual, uncommon, and/or severe side effects and then contact the medical clinic or prescribing physician in the community.

Stat. Auth.: ORS 183.10 – ORS 183.550

Stats. Implemented: ORS 422

Hist.: OYA 2-1996, f. 6-26-96, cert. ef. 8-1-96

### DIVISION 640

#### ADMINISTRATIVE MEDICAL EXAMINATIONS

#### 416-640-0000

##### Purpose

The purpose of this rule is to describe the administrative medical examinations and reports authorized by the Oregon Youth Authority for youth in its custody who are or are potentially Medicaid-eligible (see OAR 416-610-000 through OAR 416-610-0200 for discussion of Medicaid eligibility).

Stat. Auth.: ORS 422

Stats. Implemented: ORS 422



#### 416-640-0010

##### Definitions

As used in this Division, the following definitions apply:

(1) Administrative Medical Examination: An examination, evaluation, and/or copies of medical records from a OMAP-enrolled medical provider for the purpose of casework planning.

(2) Medicaid: A federal and state-funded medical assistance program established by Title XIX of the Social Security Act. The Medicaid program pays for medical and remedial care provided to eligible Oregonians.

(3) OMAP: The Office of Medical Assistance Programs of the Oregon Department of Human Resources. OMAP is the state agency responsible for coordinating Oregon's Medicaid program.

(4) Substitute Care: An out-of-home placement directly supervised by the Oregon Youth Authority or other agency, including placement in a foster family home, group home, or other youth-caring institution. Substitute care does not include care in a detention facility or an Oregon Youth Authority youth correctional facility, youth accountability camp, work/study camp, or residential academy.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 422

Hist.: OYA 3-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-640-0020

##### Administrative Medical Examination Authorization

(1) Administrative Medical Examinations must be authorized by the local OYA supervisor or designee prior to the medical service. Authorizations must done on a Form OMAP 729.

(2) Authorization for Administrative Medical Examinations will be made only to licensed medical service providers or polygraphers. The provider must be a licensed physician, psychiatrist, psychologist, registered clinical social worker, a licensed medical facility or other medical provider, or a licensed polygrapher enrolled by OMAP for participation in the Medicaid (Title XIX) Program. Providers must have an assigned active provider number from OMAP in order to receive payment for their services.

(3) Authorized amounts for Administrative Medical Examinations will be at the current OMAP-published rate for the fee code billed.

(4) Parents and any medical insurance available to the youth are resources for payment of examinations or evaluations.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 422

Hist.: OYA 3-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-640-0030

##### Administrative Medical Examination Payments

(1) Administrative Medical Examinations may be authorized for youth in OYA's care and custody who are eligible or are potentially eligible for Medicaid (Title XIX). Expenditures are federally-matchable and will be paid through OMAP. An Administrative Medical Examination expenditure includes any payment to a medical provider for a physical examination or psychological/psychiatric evaluation, a licensed polygrapher for polygraph testing, or copies of medical records in connection with:

(2) Casework planning for Medicaid-eligible youth in substitute care;

(3) Evaluation and/or testing of youth in their own homes to determine if a substitute care placement is the most appropriate case plan. Administrative Medical Examinations payments may be authorized whether or not substitute care placement is made; or

(4) Copies of hospital or medical records.

Stat. Auth.: ORS 422

Stats. Implemented: ORS 422

Hist.: OYA 3-1996, f. 6-26-96, cert. ef. 8-1-96

#### 416-650-0000

##### Purpose and Scope

This division sets out the procedure for counties to follow and the guidelines for action by OYA when a county exceeds its allocation of closed custody beds.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

#### 416-650-0010

##### Definitions

(1) "Area Coordinator" is The Manager for a designated number of counties served by a Regional Youth Correctional Facility, accountable to the Director of the Oregon Youth Authority, and responsible for Staff and OYA out-of-home resources in the Designated Area.

(2) "County Contract Allocation" is the number of close custody beds available for youth from a specific county as is designated through the annual diversion contract and based on a formula established by the Juvenile Corrections Council and adopted by the Department.

(3) "Technical Assistance" means services to aid a county to return to its contracted allocation for close custody beds which may include, but are not limited to, case consultation, resource development, and participation in the development of an ongoing community plan for the county to return to compliance.

(4) "Close Custody" means youth correctional facilities, youth accountability camps, work-study camps, and other contracted facilities designated by the Department.

(5) "County" for purposes of this rule means the individual county or a consortium of counties.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

#### 416-650-0020

##### Immediate Action

(1) When a County exceeds its county contract allocation, the OYA Area Coordinator shall notify the County in writing of its non-compliance and request from the county a list of youth to be returned to the community from Closed Custody Programs.

(2) Technical Assistance will be available from the OYA Area Coordinator if requested by the County.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

#### 416-650-0030

##### 30 Days Over Contracted Allocation

(1) If the county continues to exceed its county contract allocation 30 days after receiving notice, OYA Business Services will notify the Board of County Commissioners of the county in writing of the County's non-compliance and request that the Commissioners review the contract and return to compliance.

(2) Technical Assistance will be available from the OYA Area Coordinator if requested by the County.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

#### 416-650-0040

##### 60 Days Over Contracted Allocation

(1) If the county continues to exceed its county contract allocation 60 days after receiving notice, the County Commissioners shall notify OYA, in writing on or before the sixtieth day, of its plan to convene a team to review the county's non-compliance; (Suggested participants include representatives of the Oregon Youth Authority, the Commission on Children and Families, the Local Public Safety Coordinating Council, and the County Mental Health program.)

(2) Before the ninetieth day of continued non-compliance, the review team shall: complete its review of any special circumstances which resulted in non-compliance; develop a written plan to return to compliance; and formulate a review and monitoring plan to ensure that the County will remain in compliance.

(3) Technical Assistance will be available through the OYA Area Coordinator if requested by the County.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

#### 416-650-0050

##### 90 Days Over Contracted Compliance

(1) The County shall send its contract compliance plan to the office of the OYA Director for review by the ninetieth [90th] day of continued non-compliance.

(2) Failure to submit a contract compliance plan or continued non-compliance or repeated non-compliance may result in suspension of any portion of the funding made available to the County under ORS 420.017 and ORS 420.019.

Stat. Auth.: ORS 420A

Stats. Implemented: ORS 420A

Hist.: OYA 3-1997, f. & cert. ef. 9-2-97

### DIVISION 700

#### CONFIDENTIALITY AND INADMISSIBILITY OF MEDIATION COMMUNICATIONS

#### 416-700-0011

##### Confidentiality and Inadmissibility of Mediation Communications

(1) The words and phrases used in this rule have the same meaning as given to them in ORS 36.110 and 36.234.

(2) Nothing in this rule affects any confidentiality created by other law. Nothing in this rule relieves a public body from complying with the Public Meetings Law, ORS 192.610 to 192.690. Whether or not they are confidential under this or other rules of the agency, mediation communications are exempt from disclosure under the Public Records Law to the extent provided in ORS 192.410 to 192.505.

(3) This rule applies only to mediations in which the agency is a party or is mediating a dispute as to which the agency has regulatory authority. This rule does not apply when the agency is acting as the "mediator" in a matter in which the agency also is a party as defined in ORS 36.234.

(4) To the extent mediation communications would otherwise compromise negotiations under ORS 40.190 (OEC Rule 408), those mediation communications are not admissible as provided in ORS 40.190 (OEC Rule 408), notwithstanding any provisions to the contrary in section (9) of this rule.

(5) Mediations Excluded. Sections (6)–(10) of this rule do not apply to:

(a) Mediation of workplace interpersonal disputes involving the interpersonal relationships between this agency's employees, officials or employees and officials, unless a formal grievance under a labor contract, a tort claim notice or a lawsuit has been filed; or

(b) Mediation in which the person acting as the mediator will also act as the hearings officer in a contested case involving some or all of the same matters;

(c) Mediation in which the only parties are public bodies;

(d) Mediation involving two or more public bodies and a private party if the laws, rule or policies governing mediation confidentiality for at least one of the public bodies provide that mediation communications in the mediation are not confidential; or

(e) Mediation involving 15 or more parties if the agency has designated that another mediation confidentiality rule adopted by the agency may apply to that mediation.

(6) Disclosures by Mediator. A mediator may not disclose or be compelled to disclose mediation communications in a mediation and, if disclosed, such communications may not be introduced into evi-

dence in any subsequent administrative, judicial or arbitration proceeding unless

(a) All the parties to the mediation and the mediator agree in writing to the disclosure; or

(b) The mediation communication may be disclosed or introduced into evidence in a subsequent proceeding as provided in subsections (c)–(d), (j)–(l), or (o)–(p) of section (9) of this rule.

(7) Confidentiality and Inadmissibility of Mediation Communications. Except as provided in sections (8)–(9) of this rule, mediation communications are confidential and may not be disclosed to any other person, are not admissible in any subsequent administrative, judicial or arbitration proceeding and may not be disclosed during testimony in, or during any discovery conducted as part of a subsequent proceeding, or introduced as evidence by the parties or the mediator in any subsequent proceeding.

(8) Written Agreement. Section (7) of this rule does not apply to a mediation unless the parties to the mediation agree in writing, as provided in this section, that the mediation communications in the mediation will be confidential and/or nondiscoverable and inadmissible. If the mediator is the employee of and acting on behalf of a state agency, the mediator or an authorized agency representative must also sign the agreement. The parties' agreement to participate in a confidential mediation must be in substantially the following form. This form may be used separately or incorporated into an "agreement to mediate." [Form not included. See ED. NOTE.]

(9) Exceptions to confidentiality and inadmissibility.

(a) Any statements, memoranda, work products, documents and other materials, otherwise subject to discovery that were not prepared specifically for use in the mediation are not confidential and may be disclosed or introduced into evidence in a subsequent proceeding.

(b) Any mediation communications that are public records, as defined in ORS 192.410(4), and were not specifically prepared for use in the mediation are not confidential and may be disclosed or introduced into evidence in a subsequent proceeding unless the substance of the communication is confidential or privileged under state or federal law.

(c) A mediation communication is not confidential and may be disclosed by any person receiving the communication to the extent that person reasonably believes that disclosing the communication is necessary to prevent the commission of a crime that is likely to result in death or bodily injury to any person. A mediation communication is not confidential and may be disclosed in a subsequent proceeding to the extent its disclosure may further the investigation or prosecution of a felony crime involving physical violence to a person.

(d) Any mediation communication related to the conduct of a licensed professional that is made to or in the presence of a person who, as a condition of his or her professional license, is obligated to report such communication by law or court rule is not confidential and may be disclosed to the extent necessary to make such a report.

(e) The parties to the mediation may agree in writing that all or part of the mediation communications are not confidential or that all or part of the mediation communications may be disclosed and may be introduced into evidence in a subsequent proceeding unless the substance of the communication is confidential, privileged or otherwise prohibited from disclosure under state or federal law.

(f) A party to the mediation may disclose confidential mediation communications to a person if the party's communication with that person is privileged under ORS chapter 40 or other provision of law. A party to the mediation may disclose confidential mediation communications to a person for the purpose of obtaining advice concerning the subject matter of the mediation, if all the parties agree.

(g) An employee of the agency may disclose confidential mediation communications to another agency employee so long as the disclosure is necessary to conduct authorized activities of the agency. An employee receiving a confidential mediation communication under this subsection is bound by the same confidentiality requirements as apply to the parties in the mediation.

(h) A written mediation communication may be disclosed or introduced as evidence in a subsequent proceeding at the discretion of the party who prepared the communication so long as the communication is not otherwise confidential under state or federal law

and does not contain confidential information from the mediator or another party who does not agree to the disclosure.

(i) In any proceeding to enforce, modify or set aside a mediation agreement, a party to the mediation may disclose mediation communications and such communications may be introduced as evidence to the extent necessary to prosecute or defend the matter. At the request of a party, the court may seal any part of the record of the proceeding to prevent further disclosure of mediation communications or agreements to persons other than the parties to the agreement.

(j) In an action for damages or other relief between a party to the mediation and a mediator or mediation program, mediation communications are not confidential and may be disclosed and may be introduced as evidence to the extent necessary to prosecute or defend the matter. At the request of a party, the court may seal any part of the record of the proceeding to prevent further disclosure of the mediation communications or agreements.

(k) When a mediation is conducted as part of the negotiation of a collective bargaining agreement, the following mediation communications are not confidential and such communications may be introduced into evidence in a subsequent administrative, judicial or arbitration proceeding:

(A) A request for mediation; or

(B) A communication from the Employment Relations Board Conciliation Service establishing the time and place of mediation, or

(C) A final offer submitted by the parties to the mediator pursuant to ORS 243.712; or

(D) A strike notice submitted to the Employment Relations Board.

(l) To the extent a mediation communication contains information the substance of which is required to be disclosed by Oregon statute, other than ORS 192.410 to 192.505, that portion of the communication may be disclosed as required by statute.

(m) Written mediation communications prepared by or for the agency or its attorney are not confidential and may be disclosed and may be introduced as evidence in any subsequent administrative, judicial or arbitration proceeding to the extent the communication does not contain confidential information from the mediator or another party, except for those written mediation communications that are:

(A) Attorney-client privileged communications so long as they have been disclosed to no one other than the mediator in the course of the mediation or to persons as to whom disclosure of the communication would not waive the privilege, or

(B) Attorney work product prepared in anticipation of litigation or for trial, or

(C) Prepared exclusively for the mediator or in a caucus session and not given to another party in the mediation other than a state agency, or

(D) Prepared in response to the written request of the mediator for specific documents or information and given to another party in the mediation, or

(E) Settlement concepts or proposals, shared with the mediator or other parties.

(n) A mediation communication made to the agency may be disclosed and may be admitted into evidence to the extent the Director or Deputy Director or other appropriate persons determine that disclosure of the communication is necessary to prevent or mitigate a serious danger to the public's health or safety, and the communication is not otherwise confidential or privileged under state or federal law.

(o) The terms of any mediation agreement are not confidential and may be introduced as evidence in a subsequent proceeding, except to the extent the terms of the agreement are exempt from disclosure under ORS 192.410 to 192.505, a court has ordered the terms to be confidential under ORS 30.402 or state or federal law requires the terms to be confidential.

(p) The mediator may report the disposition of a mediation to the agency at the conclusion of the mediation so long as the report does not disclose specific confidential mediation communications. The agency or the mediator may use or disclose confidential mediation communications for research, training or educational purposes, subject to the provisions of ORS 36.232(4).

(10) When a mediation is subject to section (7) of this rule, the agency will provide to all parties to the mediation and the mediator a copy of this rule or a citation to the rule and an explanation of where a copy of the rule may be obtained. Violation of this provision does not waive confidentiality or inadmissibility.

[ED. NOTE: Forms referenced are available from the agency.]

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 36.224, ORS 36.228, ORS 36.230 & ORS 36.232

Hist.: OYA 9-2000, f. & cert. ef. 12-12-00

## DIVISION 800

### CRIMINAL HISTORYCHECKS

#### 416-800-0000

##### Purpose

(1) The OYA seeks to ensure the security and safety of its close custody facilities, and reduce or eliminate the risk of exploitation and/or abuse of offenders placed in its custody. In keeping with these values, the OYA will screen the criminal histories of persons who seek access to OYA facilities and/or offenders.

(2) The purpose of the criminal history check will be to determine whether a subject individual has been convicted of, or adjudicated delinquent on, a crime that is substantially related to the qualifications, functions, duties or responsibilities of the position for which the person is applying.

(3) These rules detail how the OYA accesses criminal offender information and uses it in the screening process for persons seeking to become:

(a) OYA employees, volunteers, or youth offender foster parents;

(b) Contracted service providers who work with offenders; or

(c) Community work project employers.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 181.010, 181.066, 181.511-580; 420A.010, 420A.020

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 5-1997, f. & cert. ef. 10-13-97; OYA 8-2002, f. & cert. ef. 1-18-02; OYA 8-2003, f. & cert. ef. 9-23-03

#### 416-800-0010

##### Definitions

(1) "Agency agreement" means a written agreement between the Oregon State Police (OSP) and a criminal justice designated agency authorized to receive criminal offender information, as defined by Oregon statute and administrative rule. The agreement specifies the terms and conditions of accessing and receiving Oregon computerized criminal history information to assure compliance with state and federal regulations.

(2) "Community work project" links offenders with short-term or project oriented work assignments in the community. Offenders are supervised by a community member during the work assignment or project.

(3) "Contracted service providers" are persons who have specialized skills, knowledge and resources in the application of highly technical or scientific expertise, or exercise professional, artistic or management discretion or judgment while working with offenders, including the following.

(a) Licensed residential treatment provider: A private child-caring agency that has been given the legal authority through a license issued by the Department of Human Services (DHS) to provide residential care or other similar services for offenders.

(b) Personal services contractor: An individual or business entity with whom the OYA enters into a contract for the provision of services to offenders, such as a licensed psychologist, a professional social worker, etc. It also includes employees of such individual or business entity.

(4) "Criminal history check" refers to the process used by the OYA to conduct criminal records background checks on persons, including computerized and/or fingerprint-based processes.

(a) "Computerized criminal history checks" refers to the access and use of automated or manual files, or associated systems available to the OYA as a criminal justice agency, through the Law Enforcement Data Systems (LEDS) including on-line information from the Federal Bureau of Investigation's (FBI) National Crime



Information Center (NCIC), and the National Law Enforcement Telecommunications System (NLETS).

(b) "Fingerprint-based criminal offender information" means criminal offender information compiled and maintained by the Bureau of Criminal Identification regarding persons who have been arrested for crimes where law enforcement agencies have submitted fingerprints and other identifying data as required by state and/or federal statutes, or as deemed appropriate by the submitting law enforcement agency, for the purpose of identification.

(5) "Criminal offender information" means records, including fingerprints and photographs, received, compiled, and disseminated for purposes of identifying criminal offenders and alleged offenders and maintained as to such persons' records of arrest, the nature and disposition of criminal charges, sentencing, confinement and release, and includes the OSP computerized criminal history system.

(6) "Employee" means an individual who holds a paid position with the OYA.

(7) "Information required" means all information requested by the OYA for processing applications, including fingerprints.

(8) "Subject individual" means a person who seeks to become an OYA employee, volunteer, or youth offender foster parent; contracted service provider working with offenders; or a community work project employer.

(9) "Visitors" are persons who have limited access to OYA facilities or programs, including one-time access or as persons involved in group projects and performances. These persons are not allowed contact with OYA offenders outside the sight and hearing of OYA staff, and are, therefore, exempt from these criminal history check rules.

(10) "Volunteers" are persons who, on a non-paid basis, provide service to the OYA. The provisions of OAR chapter 416, divisions 450 and 480 also apply.

(11) "Youth offender foster parents" are persons who are issued a certificate of approval by the OYA to operate a youth offender foster home (OAR chapter 416, division 530). For the purpose of this rule, youth offender foster parent applicants also include members of the household, as discussed in OAR chapter 416, division 530.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 181.010, 181.066, 181.511-580, 420A.010, 420A.020

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 5-1997, f. & cert. ef. 10-13-97; OYA 8-2002, f. & cert. ef. 1-18-02; OYA 8-2003, f. & cert. ef. 9-23-03

#### 416-800-0020 Process

(1) At the time of application, the OYA will notify persons if a criminal history check is required and whether subject individuals are required to provide processing fees for that purpose.

(2) In cases defined by OYA policy and procedure, a subject individual may be provided provisional access to OYA facilities or offenders following satisfactory completion of a computerized criminal history check, pending the results of a fingerprint-based check. If additional information results from the fingerprint-based check that precludes the subject individual from associating with offenders, the OYA will notify the subject individual that further access to OYA facilities and offenders is denied.

(3) Only OYA employees who have been fingerprinted and cleared by the OSP shall access or have access to criminal offender information pursuant to a valid agency agreement. All such information will be handled in compliance with the agency agreement and rules and procedures of the OSP relating to the criminal offender information.

(a) It is the responsibility of the OYA to assure strict compliance with federal and state laws, rules, and procedures regarding criminal offender information access and dissemination.

(b) Criminal information obtained from LEDS, OSP, FBI, NCIC, and/or NLETS will not be used for any purpose other than that for which it was obtained, or given to unauthorized persons or agencies. Any violation may cause immediate suspension of the OYA's authorization to access such information.

(4) Subject individuals will provide all information on forms provided or approved by the OYA and according to OYA policy, procedure, or contract language. Access to OYA facilities or offend-

ers may be denied to persons who refuse to participate in the criminal history check process described in these rules.

(5) As part of the criminal history check process, the OYA may request that the subject individual consent to the use of his/her social security number.

(6) The OYA will request criminal offender information from OSP and the FBI.

(a) Evaluations of crimes will be based on Oregon laws in effect at the time of conviction or adjudication, regardless of the jurisdiction in which the conviction occurred.

(b) Under no circumstances will the OYA bar or refuse to employ, certify or approve a subject individual because of the existence or contents of a record that has been expunged.

(7) If the OYA denies an application, the OYA will provide its findings to the subject individual in writing.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 181.010, 181.066, 181.511-580; 420A.010, 420A.020

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 5-1997, f. & cert. ef. 10-13-97; OYA 8-2002, f. & cert. ef. 1-18-02; OYA 8-2003, f. & cert. ef. 9-23-03

#### 416-800-0050

##### Criminal History Review Process

(1) The OYA has determined that persons whose backgrounds contain convictions or adjudications of certain offenses increase the risk of exploitation and/or abuse of offenders in its custody, or compromise the safety and security of its close custody facilities. The OYA will deny access to offenders and/or facilities to persons with such backgrounds, as follows.

(a) Employment with the OYA.

(A) Applicants are subject to computerized and fingerprint-based criminal history checks conducted at the time of hire.

(B) Subject individuals whose criminal backgrounds include items noted in section 3 (a) and (b) of this rule will be denied opportunity for employment with the OYA.

(b) OYA volunteers or youth offender foster parents.

(A) Applicants are subject to computerized and fingerprint-based criminal history checks at initial application; followed by annual computerized checks.

(B) Subject individuals whose backgrounds include items from section 3 (a), (b) and (c) of this rule are prohibited from serving as a youth offender foster parent or volunteer.

(c) Personal service contractors.

(A) Applicants are subject to a computerized criminal history check prior to execution of a contract. If a contract is extended beyond a two-year period, the OYA may require a new computerized criminal history check.

(B) Subject individuals whose backgrounds include items from 3 (a) and (b) of this rule are prohibited from serving as a personal service contractor.

(C) In addition, subject individuals who are licensed to provide a service to offenders must comply with all professional licensing and ethical standards of that profession.

(d) Contracted residential treatment providers. Employees of licensed residential treatment programs are subject to the licensing agency's criminal history check rules, and must comply with all professional licensing or ethical standards of that profession.

(e) Community work project employers.

(A) Applicants are subject to a computerized criminal history check at the time of initial contact with the OYA and annually thereafter. Additional criminal history checks may be requested as deemed appropriate by OYA.

(B) Subject individuals whose backgrounds include items noted in section 3 (a) and (b) of this rule are prohibited from employing offenders.

(C) In addition, employers of offenders must agree to conditions of supervision supplied by the OYA.

(2) In addition, the OYA may limit any person's scope of access or duties based on information contained within the background check. Such limits will be documented in writing and signed by the subject individual, the person responsible to supervise or oversee the person, and an Assistant Director, or designee.

(3) Crimes to be considered:

(a) Convictions or adjudicated delinquent on serious person-to-person crimes within any jurisdiction, including juvenile court, and other crimes, including but not limited to:

(A) Murder, including aggravated murder or manslaughter, and solicitation to commit;

(B) Unauthorized sexual conduct, including but not limited to bigamy, incest, abuse, neglect, abandonment of a child, or sale or purchase of a child, or solicitation to commit; any conviction of offenses for which registration as a sex offender is required under federal or state statute; or any admission to a hospital or other facility in lieu of conviction for an offense for which registration as a sex offender is required under statute;

(C) Persons who are a perpetrator of sexual abuse as evidenced by a child protective service complaint, which was determined to be valid even if there was no successful criminal prosecution;

(D) Persons who have been convicted of or adjudicated delinquent in any jurisdiction, including juvenile court, of any felony conviction or any drug or alcohol-related charge within five years of application;

(E) Persons whose criminal histories include charges upon which no disposition has been made. Where possible, the OYA will seek further information to assess current status of the pending charges, and may require the subject individual to resolve such situations.

(b) Additionally, the OYA will assess the suitability of the subject individual to meet the qualifications of the position, as well as make a determination of the subject individual's moral fitness by reviewing the following.

(A) The severity and nature of the action of the entries on the subject individual's criminal history report, including:

(i) The number of arrests in the subject individual's history;

(ii) The time elapsed since the arrest(s);

(iii) The circumstances surrounding the arrest(s);

(iv) Whether the subject individual was charged or indicted for a crime related to the arrest;

(v) If applicable, whether the subject individual has participated in counseling, therapy, educational or employment opportunities since the arrest(s);

(vi) The relationship between the circumstances of the arrest and the subject individual's ability to meet the qualifications of the position; and

(vii) The person's age at the time of the offense.

(B) Moral fitness extends to conduct which would cause a reasonable person to have substantial doubts about the individual's honesty, fairness, respect for the rights of others, or for the laws of the state and/or nation. The following are indicators of a lack of moral fitness.

(i) Illegal conduct involving moral turpitude.

(ii) Conduct involving dishonesty, fraud, deceit or misrepresentation.

(iii) Intentional deception or fraud in any application, examination, or other document.

(iv) Conduct that is prejudicial to the administration of justice.

(v) Conduct that adversely reflects on the person's fitness to perform in the position.

(vi) Persons who make a false statement about a conviction, including by act of omission on an application.

(vii) Dishonorable discharge from the armed forces.

(C) The subject individual's current status on probation or parole in the community.

(c) In addition, the OYA has determined that a history of arrests or restraining orders for the following activities may raise concerns about a subject individual's suitability to serve as a youth offender foster parent or volunteer.

(A) Spousal abuse or domestic violence.

(B) A crime against children, including abuse, neglect, or pornography.

(C) A crime involving violence, including rape, sexual abuse, manslaughter or homicide.

(D) Physical assault.

(E) Battery.

(F) Drug or alcohol offenses.

(G) Weapons-related offenses.

(H) Animal abuse.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 181.010, 181.066, 181.511-580; 420A.010, 420A.020

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 5-1997, f. & cert. ef. 10-13-97; OYA 8-2002, f. & cert. ef. 1-18-02; OYA 8-2003, f. & cert. ef. 9-23-03

#### 416-800-0060

##### Exceptions

(1) In some instances when processing a subject individual's fingerprints, the OSP or FBI returns cards to the OYA as "unreadable." When this occurs, the OYA will request that the subject individual be fingerprinted for a second time and this second set of fingerprints processed as a new request.

(a) If the second set of fingerprints is also determined "unreadable," an Assistant Director, or designee, may approve an exception for the subject individual from the fingerprint process. If the exception is approved, the OYA will notify OSP of the "unreadable" status of the fingerprints and ask that the OSP process the record by the subject individual's name and date of birth, or other process as determined appropriate by the OSP.

(b) The resulting information returned by OSP will be considered the subject individual's criminal history record and used according to the standards of this rule.

(2) The OYA may assume another agency's criminal history approval of a subject individual so long as the approving agency's criteria meet or exceed OYA standards. The approval will be noted in OYA files and signed by an Assistant Director, or designee.

(3) Any exceptions to these rules will be approved in writing by an Assistant Director, or designee.

(4) Under no circumstances will an exception be allowed for an individual who has been convicted of an offense, or admitted to or retained in a hospital or other facility in lieu of conviction of an offense, for which registration as a sex offender is required under statute.

Stat. Auth.: ORS 420A.025

Stats. Implemented: ORS 181.010, 181.066, 181.511-580; 420A.010, 420A.020

Hist.: OYA 2-1995, f. 12-19-95, cert. ef. 1-2-96; OYA 5-1997, f. & cert. ef. 10-13-97; OYA 8-2002, f. & cert. ef. 1-18-02; OYA 8-2003, f. & cert. ef. 9-23-03

#### 416-800-0070