



OREGON YOUTH AUTHORITY
Policy Statement
Part I – Administrative Services



Subject:

Youth Facility Case File and Medical File Protection and Transfer

Section – Policy Number:

E: Information Management – 2.2

Supersedes:

I-E-2.2 (10/11)
I-E-2.2 (07/02)

Effective Date:

10/29/2021

Date of Last Review:

10/29/2023

Related Standards and References:

- National Commission on Correctional Health Care, *Standards for Health Services in Juvenile Detention and Confinement Facilities* Y-H-02 Confidentiality of Health Records & Information & Y-H-04 Management of Health Records.
- American Correctional Association, *Standards for Juvenile Correctional Facilities*; 4-JCF-6F-01(Case Record Management); 4-JCF-6F-02 (Master File Contents); 4-JCF-6F-03 (Transfer of Records); 3-JCF-4C-31 (Summary of Transfer); 3-JCF-4C-31 and 4-JCF-4C-32 (Health Record Files); 4-JCF-4C-33 (Inactive Records)
- [OYA retention schedule](#)
- OYA policy: [I-E-3.2](#) (Information Asset Classification & Protection)
- [OYA forms](#): YA 0098 (Facility Case File Filing Guide)
YA 0096 (Facility Medical File Filing Guide)
YA 4047 (Facility File Transport/Transfer Order)


Related Procedures:

[HS I-E-2.2\(b\) Medical File Transfers](#)

Policy Owner:

Facility Services Assistant Director

Approved:



Joseph O'Leary, Director

I. PURPOSE:

This policy establishes youth case file maintenance and transfer standards for files in OYA facilities. Youth medical file transfer standards are also addressed for any rare cases where a youth’s hard copy paper medical file is requested upon the youth’s transfer to another OYA facility.

II. POLICY DEFINITIONS:

Facility case file: A hard copy paper file that chronicles a youth’s progression through the close-custody system.

Medical file: A hard copy paper file that chronicles a youth’s medical history throughout the youth’s stay in the close-custody system, and includes mental health and dental records.

- The “summary medical information” includes copies of non-confidential summaries of psychological and psychiatric evaluations, medication administration record, most current mental status assessment and assigned level of suicide risk, non-confidential summaries of physical and dental health status, including immunization record.

III. POLICY:

Youth facility case files and medical files are official records and may only be used for official agency purposes. Staff will maintain the confidentiality of the record according to federal and state laws and OYA policies and local protocols. Youth case file and medical file information is classified as “restricted information” according to OYA policy I-E-3.2 Information Asset Classification and Protection. Staff must follow information handling and labeling guidelines as described in OYA policy I-E-3.2.

OYA adopted an electronic health record system in 2014, and no longer creates hard copy paper medical files. Until all youth medical files that were created before 2014 are scanned into the electronic health record system, staff must follow this policy’s standards for medical file protection and transfer.

A youth’s current facility case file will be transferred with the youth to new placements when transferred between OYA facilities. The transfer of information must be done in a way to preserve case file confidentiality and continuity of care. Medical files will be transferred with the youth only if requested and the placement destination employs an OYA Health Services staff.

IV. GENERAL STANDARDS:

A. Youth facility case file and medical file protection

1. OYA staff create youth facility case files to maintain case record information. Case files may contain confidential legal, financial, limited medical, education, general correspondence, treatment, and referral information.

Staff must store facility case files in a secure location, and may only remove case files from the location for official purposes.

- a) Staff may not remove facility case files from designated secure locations without managerial approval.
 - b) Staff must document all file movement (check-in, check-out).
2. Staff must ensure each facility case file is properly labeled on the cover of the file folder as “Restricted Information.”
 3. Staff must ensure facility case files are kept current and organized.

4. Facility case file filing guidelines are established in OYA form [YA 0098](#) (Facility Case File Filing Guide).
5. Medical files must be clearly marked “Health Services Record” and stored in a secure location. Staff must follow Health Services procedures regarding medical file access and maintenance.
6. Medical file filing guidelines are established in OYA form YA 0096 (Facility Medical File Filing Guide).

B. File transfer process

1. Facility case file

Staff must transfer the facility case file with the youth so the receiving facility staff have pertinent information.

- a) Staff at the sending facility must review the file to ensure it is properly labeled, current, and efficiently organized before the file is transferred.
- b) Facility staff will liaison with education staff to arrange for a timely transfer of education records or summaries, when possible.

2. Medical file

In rare cases where a youth’s hard copy paper medical file is requested upon the youth’s transfer to another OYA facility, the below standards apply.

- a) Receiving facility employs Health Services staff:
Staff must transfer the medical file with the youth if the receiving facility employs Health Services staff and a system is in place to receive confidential medical files.
- b) Receiving facility does not employ Health Services staff:
Staff must transfer summary medical information with the youth if the facility does not employ Health Services staff.

Staff must send the actual medical file to MacLaren YCF for retention. See sections 3.c)-d) below for mailing instructions.

- c) Medical staff must follow Health Services procedure HS I-E-2.2 (Facility Medical File Transfer) when transferring a medical file to another OYA facility.

3. The facility youth case file and medical file transfer must be documented using the YA 4047 (Facility File Transport/Transfer Order).

- a) The sending facility staff must:

- (1) Complete the YA 4047 to verify files, medication, and other items are being transferred with the youth;
 - (2) Retain a copy of the completed YA 4047 for reference;
 - (3) Send the original YA 4047 with the staff who are transporting the youth; and
 - (4) Track the following information:
 - i. Youth's name on file;
 - ii. Youth's JJIS number;
 - iii. Date the file left the facility;
 - iv. How the file was sent (staff, state shuttle, UPS, certified mail, hand-delivered);
 - v. Who is transporting the file if hand-delivered by OYA staff; and
 - vi. File's destination.
- b) The receiving facility staff must:
- (1) Complete the last section of the original YA 4047 to verify receipt of files, medication, and other items; and
 - (2) Retain the original YA 4047 in the youth's facility case file.
- c) If the facility case file, medical file (if requested), or summary medical information is not available at the time of a youth's transfer, staff must update and send the file or information by state shuttle, UPS, certified mail, or in-person to the receiving facility within 72 hours of the youth's transfer.
- d) Facility case files, medical files, and summary medical information must be transported or mailed in a secure pouch.
4. File transport vigilance
- a) Staff will maintain physical control of the files throughout the transport and ensure protection from view by unauthorized people.
 - b) If staff must leave the files unattended in a vehicle, the vehicle must be locked and the files must be out of plain sight.

C. Facility case files for youth releasing from OYA facilities to the community

1. Female youth: Oak Creek YCF staff will maintain all female youth facility case files and medical files when female youth release from an OYA facility to the community on parole.

Once the youth's OYA legal custody has terminated, staff must forward the youth's facility case file and medical file to MacLaren YCF staff as described in sections 3-5 below.

2. Male youth: The sending facility must forward the facility case file and medical file to MacLaren YCF when a male youth releases from an OYA facility to the community on parole or when OYA legal custody is terminated.
3. Staff must follow the guidelines established in section IV.B.3. when sending the facility case file or medical file to MacLaren YCF.
4. The sending staff must notify MacLaren YCF staff of when the files were sent and an expected arrival date.
5. MacLaren YCF staff will retain the released youth case files and medical files until OYA legal custody is terminated, and properly archive the files in the Oregon State Archives according to OYA's special retention schedule.

D. Transfers to Department of Corrections (DOC)

When a youth in OYA physical custody and DOC legal custody transfers to a DOC facility, staff will send a copy of the youth's facility case file and summary medical information to the receiving DOC facility. The original facility case and medical files must be sent to MacLaren YCF staff for retention.

V. LOCAL OPERATING PROTOCOL REQUIRED: NO