

State of Iowa Department of Corrections

Policy and Procedures

Policy Number: AD-IS-05

Applicability: Institutions, CBC, Central Office, IPI Policy

Code: Public Access

Iowa Code Reference: 904.602(9)9A

Chapter 1: ADMINISTRATION AND MANAGEMENT Sub

Chapter: INFORMATION SYSTEM/RESEARCH Related DOC

Policies: AD-CR-04, AD-PR-29 Administrative Code

Reference: N/A

Subject: ICON GENERIC NOTES

PREA Standards: N/A

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Authority:

1. PURPOSE

ICON generic notes are one of the main sources of incarcerated individual/client information that provide for a consistent system of maintaining comprehensive, current and concise documentation of significant events which occur during the course of an incarcerated individual's stay/client's supervision in the Iowa Department of Corrections (IDOC).

2. POLICY

It is the policy of the IDOC to document issues and events that are of such significance that they affect, or potentially affect, decisions made regarding an incarcerated individual/client. Generic Notes are one way in which such information can be documented and shared with staff having a need for this information.

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3. PROCEDURES

A. Access

1. Generic notes are largely intended to be documents internal to the IDOC. However, access is granted to third parties at the discretion of the Director.
2. Generic Notes shall only be written or reviewed by staff on a need to know basis in direct relation to their assigned duties.
3. It is imperative that staff entering information into Generic Notes understand that incarcerated individuals/clients or former incarcerated individuals/clients shall, upon written request, be given access to their own records **(904.602(9))** unless such release is specifically exempted in IDOC policy **AD-CR-04, Release of Information**. **AD-CR-04** states that unless it can be shown that disclosure could result in physical or psychological harm to the incarcerated individual/client, former incarcerated individual or any other person; or adversely affect an investigation into possible violation of Departmental rules the generic note will be provided.

B. General Guidelines

1. Generic Notes should be timely, objective and based on professional judgment. Staff shall not use personal opinion, slang terms or derogatory comments unless quoting the incarcerated individual/client. Abbreviations and acronyms may be used if spelled out in their first use. Information that is not verified should be noted as "alleged". Staff shall not "cut and paste" emails into generic notes unless it is relevant to the incarcerated individual/client's case and professionally worded.
2. Generic Notes shall not be used as a replacement for entering data on pertinent screens in ICON.
3. Generic Notes shall be entered by trained staff possessing information relevant to the incarcerated individual/client. Entries shall be related to the nature of the contact, interaction, or information received.

4. The chronological record shall reflect all significant events that occurred during the incarcerated individual/client's period of supervision by IDOC. This shall include, but not be limited to:
 - a. Documenting the incarcerated individual/client's progress or lack of progress.
 - b. Building a foundation of risk/needs/responsivity and use of Core Correctional Practices within interactions.
 - c. Enhancing communications internally among Institutional, Central Office, Community-Based Corrections staff, and other IDOC approved stakeholders.
5. Generic notes shall only be updated or changed by the originating author. If there is an issue with a generic note, or a generic note needs to be deleted, staff shall contact their supervisor or the person specifically designated in institutional/district procedures.
6. Users shall not put diagnosis or medication information into Generic Notes. Medical/Mental Health information shall be entered under Offender>Core Offender Information>Medical/Mental Health Statuses in ICON.
7. Highly confidential information, e.g., names/details of confidential informants/registered victims, security threat group intelligence, medical information, shall not be placed in Generic Notes.
8. Staff may also reference the ICON Business Rule for Generic Notes found via the "Help" button on the Generic Notes screen in ICON.

C. Victim Confidential Comment Screen

The victim confidential comments screen should be used to note any information in relation to the victim. Victim information should not be entered on the generic note screen.