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| STATE OF IOWA DEPARTMENT OF CORRECTIONS POLICY AND PROCEDURES | | Policy Number | Applicability |
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| | | Public Access | 904.601 904.602 |
| Chapter 1 | Sub Chapter | Related DOC Policies | Administrative Code Reference |
| ADMINISTRATION & MANAGEMENT | CASE RECORDS | IS-CL-04 AD-CR-04 | 201-5 |
| Subject | | ACA Standards | Responsibility |
| OFFENDER RECORDS | | 4-4095 4-4098 | Dot Faust |
| | | Effective Date | Authority |
| | | February 2014 | John Baldwin Director Signature on file at Iowa DOC |

I. PURPOSE

To outline general procedures for the establishment and upkeep of offender records in Iowa Department of Corrections (IDOC) institutions.

II. POLICY

It is the policy of the IDOC to maintain a separate, central file for each offender confined in its institutions, containing all relevant information concerning that offender. As of August 2012, this file is maintained in entirety in the ICON computer system.

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III. DEFINITIONS – As used in this document:

- A. ICON – Iowa Corrections Offender Network (ICON) computer system. Offender charge information, time computation, core offender information, visiting, disciplinary and records alerts, offender needs, offender interventions, and Board of Parole release plans are part of ICON.
- B. Offender File –The hard copy file (New admissions prior to 8/1/12), including the legal file (New admissions prior to 9/6/11). Items not found in the offender file are located in the ICON computer system.
- C. See IDOC Policy **AD-GA-16** for additional Definitions.

IV. PROCEDURES

Institutions shall maintain a computer offender file on each offender in custody. Materials in the file shall be identifiable as to source and authenticity. The Records Office Administrator has the authority and responsibility to maintain the offender computer system. Institutions may print hard copy documents from the ICON system as necessary.

(4-4095)

- A. Offender Information
 - 1. Upon admission to the IDOC, the following information is obtained:
 - a. Offender's name
 - b. Offender's number
 - c. Sentencing order
 - d. SVP document
 - e. Restitution documents

2. The offender information shall be maintained throughout the term of incarceration, including the following:
 - a. Time computation, including credits
 - b. Special commitment instructions and legal documents, including detainers and warrants
 - c. Visiting and updated emergency contact information (in ICON)
 - d. Personal papers and cards such as driver's license and social security card are maintained by the records office and documented in ICON.
 - e. Pre-sentence investigation (PSI) if not available in ICON
 - f. Correspondence
 - g. Transport and release orders
 - h. DRC/MDT/AG Decision Memos, Sexual Predator Referral Forms

B. Offender records maintained elsewhere

1. Grievances
2. Medical records
3. Offender banking
4. Investigative files

C. File Check Out – For new admissions prior to August 1, 2012

Files shall only be removed from the designated storage location when a sign-out card is obtained from the staff member removing the file. If several files are removed at once, a list may be posted indicating who has the files.

D. Files – General – For new admissions prior to August 1, 2012

Files shall have the offender's first, middle, last name and offender number on the outside for proper identification. The file is constructed in two parts – legal and treatment. Each section is filed chronologically or as noted in the

attachment, with the most current or designated document on top. This file content is required only if the information is not contained in ICON.

E. Released Offender Files – For new admissions prior to August 1, 2012

1. Upon release from the IDOC, offender files are sent to Iowa Medical & Classification Center (IMCC) for repository retention.
2. Files are retained as per Iowa Code 904.601 and 218.21 – Records of Offenders. Also per Iowa Records Series Schedule Section SOC 14-02-0.51.
3. Information from offender files shall be released in accordance with IDOC Policy **AD-CR-04**, Release of Information. **(4-4098)**
4. Some files are “imaged” into a database in records repository at IMCC. The imaged files can be accessed by each institutional records office.
5. For offenders discharged 20 years or longer or deceased, the file will be stripped so that only following items are maintained. These items will be imaged into the IMCC database and then shredded. All other items will be shredded.
 - a. Fingerprints
 - b. Judgment/sentence order (on each charge)
 - c. Photographs (includes discharge picture if available)
 - d. Personal History Data Sheet (if prior to ICON)
 - e. Entire medical file
 - f. Autopsy reports (if available)
 - g. Time comp sheet with notation of date and how released
 - h. All reception reports
 - i. All psychological reports
 - j. Name of institution and dates from which and to which the individual transferred (action sheets)

F. Record Alerts (IDOC Policy **IS-CL-04**, Keep Separates)

1. Document serious matters that require individuals or agencies to be notified when the release of certain offenders is imminent.
2. Alert staff to security problems that could result from the transfer of certain offenders between institutions.
3. A record alert should be created in the ICON computer system as soon as staff becomes aware of the following:
 - a. Keep Separates – possible enemy situations between IDOC offenders or a situation between an offender and staff that requires a review as outlined in the IDOC Keep Separates policy (**IO-CL-04**). Institutions shall initiate the keep separate alert and Offender Services Office shall review, approve, deny and/or close them. .
 - b. An offender has a relative employed in the IDOC.
 - c. An offender has made verbal or written threats against any judge, law enforcement officer, public or elected official or private citizen. If an offender has made verbal or written threats against a correctional staff member, the employee may request a records alert.
 - d. Release Notifications – detainers, notifications, and no contact orders and future supervision notes. Records staff initiate. A detainer has been placed against an offender by any court, law enforcement or correctional agency.
 - e. A request for a release notification has been issued by the Child Support Recovery Unit of the Department of Human Services.
 - f. A request for release notification has been requested by any Judicial District Department of Corrections (resuming case supervision).
 - g. An offender was formerly employed in law enforcement, corrections, or the judiciary.
 - h. An offender was an informant for any law enforcement or correctional agency.

- i. Victims – Central Office staff enters registered victim - An offender may have DOC and BOP registered victims.
 - j. Sex Offender Registry – registration as a sex offender upon release. Counseling staff initiates.
 - k. Sex Offender Civil Commitment Process – Offender Services updates.
 - l. An offender has a release requirement per the Code of Iowa.
4. If the alert is no longer valid, the “close” section of ICON entry needs to be completed in order to inactivate the record. The victim records are not closed.