

<p style="text-align: center;"><b>STATE OF IOWA</b> <b>DEPARTMENT OF CORRECTIONS</b></p> <p style="text-align: center;"><b>POLICY</b> <b>AND PROCEDURES</b></p>		Policy Number	Applicability
		AD-CR-01	<input checked="" type="checkbox"/> DOC <input type="checkbox"/> CBC
		Policy Code	Iowa Code Reference
		Public Access	904.601
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
INCARCERATED INDIVIDUAL RECORDS		4-4095 4-4098	William Sperfslage
		Effective Date	Authority
		October 2020	Beth Skinner Director Signature on file at Iowa DOC

## I. PURPOSE

To outline general procedures for the establishment and upkeep of incarcerated individual 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 incarcerated individual confined in its institutions, containing all relevant information concerning that incarcerated individual. As of August 2012, this file is maintained in entirety in the Iowa Corrections Offender Network (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. Incarcerated Individual 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 incarcerated individual 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 incarcerated individual file on each incarcerated individual in custody. Materials in the file shall be identifiable as to source and authenticity. The Records Office Administrator or designee has the authority and responsibility to maintain the incarcerated individual computer system record. Institutions may print hard copy documents from the ICON system as necessary.

**(4-4095)**

- A. Incarcerated Individual Information
  - 1. Upon admission to the IDOC, the following information is obtained:
    - a. Incarcerated individual's name
    - b. Incarcerated individual's number
    - c. Sentencing order
    - d. Sexual Violence Propensity (SVP) document
    - e. Restitution documents

2. The incarcerated individual 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. Multidisciplinary Team (MDT)/Attorney General (AG) Decision Memos, Sexual Predator Referral Forms

B. Incarcerated Individual Records Maintained Elsewhere

1. Grievances
2. Medical records
3. Incarcerated individual banking
4. Investigative files
5. Fingerprints

In May 2010, the DCI became the sole keeper of fingerprints. If other law enforcement need to obtain a copy, they shall be directed to contact: [vanous@dps.state.ia.us](mailto:vanous@dps.state.ia.us); [schaefe@dps.state.ia.us](mailto:schaefe@dps.state.ia.us); [lkeller@dps.state.ia.us](mailto:lkeller@dps.state.ia.us).

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 incarcerated individual's first, middle, last name and incarcerated individual 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 Incarcerated Individual Files – For new admissions prior to August 1, 2012

1. Upon release from the IDOC, incarcerated individual files are sent to Iowa Medical & Classification Center (IMCC) for repository retention.
2. Files are retained as per **Iowa Code 904.601** – Records of Incarcerated Individuals. Also per Iowa Records Series Schedule Section SOC 14-02-0.S1.
3. Information from incarcerated individual 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 incarcerated individuals discharged 20 years or longer or deceased, the file shall be stripped so that only following items are maintained. These items shall be imaged into the IMCC database and then shredded. All other items shall be shredded.
  - a. Fingerprints (prior to May 2010)
  - 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 incarcerated individuals is imminent.
- 2. Alert staff to security problems that could result from the transfer of certain incarcerated individuals 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 incarcerated individuals or a situation between an incarcerated individual 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 the Deputy Director of Institution Operations/Designee shall review, approve, deny and/or close them.
  - b. An incarcerated individual has a relative employed in the IDOC.
  - c. An incarcerated individual has made verbal or written threats against any judge, law enforcement officer, public or elected official or private citizen. If an incarcerated individual 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 the alert when a detainer has been placed against an incarcerated

individual 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 incarcerated individual was formerly employed in law enforcement, corrections, or the judiciary.
  - h. An incarcerated individual was an informant for any law enforcement or correctional agency.
  - i. Victims – Central Office staff enters registered victim - An incarcerated individual may have DOC and BOP registered victims.
  - j. Sex Offender Registry – registration as a sex offender upon release. Counseling staff initiates alerts.
  - k. Sex Offender Civil Commitment Process – the Deputy Director of Institution Operations/Designee updates record alert.
  - l. An incarcerated individual 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.

#### G. Transgender Identification Badge

Incarcerated individuals who have been diagnosed as outlined in **HSP-704, *Management of Gender Dysphoria***, may have a new ID badge issued with the preferred name. The format shall be “Preferred Name” on top, Last Name (Legal) and add bar code.