

SUBJECT: <b>Master File</b>	PAGE <u> 1 </u> OF <u> 5 </u>
	NUMBER: <b>07-ORD-03</b>
RULE/CODE REFERENCE:	SUPERSEDES: 07-ORD-03 dated 05/29/15
RELATED ACA STANDARDS: 4-4095; 2-CO-1E-02, 1E-03, 1E-06, 1E-08, 1E-09; 2-1075	EFFECTIVE DATE: <b>January 3, 2017</b>
	APPROVED: 

## I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

## II. PURPOSE

The purpose of this policy is to establish procedures for the maintenance and control of both unit management and record office documents in a combined electronic repository.

## III. APPLICABILITY

This policy is applicable to all persons employed by the Ohio Department of Rehabilitation and Correction (DRC), independent contractors providing a service to the department, inmates, and volunteers.

## IV. DEFINITIONS

**Access** – The ability or right to view contents of the Master File based on the job assignment.

**DOTS Portal** – The web-based information platform which serves as the primary information system for information on all offenders under DRC supervision. The system contains information regarding the offender from admission at reception to the final release under supervision. This system is updated throughout each day. Access is restricted to essential users only.

**Master File** – A combined inmate record including previous Unit File and Record Office File information.

**OnBase** – An enterprise content management system utilized by DRC for electronic document archival and retrieval. Access to OnBase is restricted to essential users only.

**Record Office File** – Prior to August 11, 2014, records that contained confidential information regarding inmates that could include PSI, LEADS reports, sentencing documents, SSN's, FBI and BCI numbers, sex offender registration requirements and other sensitive data.

**Unit File** – Prior to August 11, 2014, records that were maintained in the office areas of inmate living units with defined contents limited to non-confidential information which would not present a clear security risk if accessed by inmates. Examples of content include personal property, receipts, visitor lists, photographs, custody level, disciplinary infractions and actions taken, work assignments, program participation and miscellaneous correspondence.

## **V. POLICY**

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to provide guidelines for the maintenance and management of the Master File documents concerning its use, preservation, security, confidentiality, and inaccessibility to inmates.

## **VI. PROCEDURES**

### **A. Establishment and Maintenance of the Master File**

1. Effective August 11, 2014, the previously titled Unit File and Record Office File are merged into one file type or document group titled Master File.
2. The Master File shall be created electronically in DOTS Portal and OnBase at the reception center that initially processes the inmate into the DRC.
3. All staff with access to the information contained in the electronic records shall be responsible for maintaining, updating, and reviewing the Master File to ensure it is current and accurate. At a minimum, this includes the following staff: Record Office, Bureau of Sentence Computation (BOSC), Bureau of Records Management (BORM), and Unit Staff.
4. BORM shall ensure all corresponding checklists are completed at admission and/or prior to release of all inmates: OTC Checklist, Intake Checklist, Release Checklist. The completed checklists shall be scanned into OnBase Master File Section 4.

### **B. Electronic Record Document Storage**

1. Master File documents shall be scanned into the OnBase system into the following document types as appropriate. Refer to Appendix 1 for a directory listing the proper location for scanning and retrieving documents.
  - a. Records Section 3 (Detainer Information Only)
  - b. Records Section 4 (Release and other misc. documents)
  - c. 80% Court Release Packet
  - d. Release Doc No Supervision (for use by BORM staff only)
  - e. Kites/Correspondence
  - f. Medical/Job Restriction
  - g. Orientation
  - h. Placement Documentation

- i. PREA Risk Assessment
- j. Program Certificates
- k. Re-Entry/Reintegration
- l. LEADS/NCIC Reports – Computerized Criminal History
- m. PSI/OBI
- n. Unit Management Confidential – Memos/Correspondence

### C. Security and Confidentiality

1. LEADS Documents – All reports and printouts generated from the LEADS system are classified as confidential documents and the access to these documents is limited to employees based on job duties. Under no circumstance is an inmate/offender permitted access to these documents. Employees are not permitted to print LEADS from OnBase at any time.
2. PSI/OBI Documents – All PSI and OBI investigations are classified as confidential documents and the access to these documents is limited to employees based on job duties. Under no circumstance is an inmate/offender permitted access to these documents.
3. Hard copy former record office files and unit files shall be maintained in Reception Center Record Offices or placed in storage in accordance with DRC policy 07-ORD-13, Inmate Master Record and DRC policy 07-ORD-01, Records Management Program.
4. Reception Centers with a Record Office shall remain locked other than normal working hours when Record Office staff is present. The files shall be inaccessible to inmates.
5. Removal of any hard copy former Record Office File or Unit File from the Reception Record Office shall be limited to:
  - a. Transport to/from storage
  - b. As requested by the Bureau of Sentence Computation/Bureau of Records Management
  - c. For use by the Managing Officer/designee
6. Personnel having unlimited access to the master file information includes:
  - a. Managing Officer;
  - b. Record Office Staff;
  - c. Managing Officer's Assistant;
  - d. Managing Officer's Secretary;
  - e. Security Chief;
  - f. Mental Health staff;
  - g. Operation Support Center Legal staff;
  - h. Recovery Services staff;
  - i. Parole Board Hearing Officers;
  - j. Bureau of Records Management staff;
  - k. Bureau of Sentence Computation staff;

- l. Deputy Warden(s);
  - m. Unit Management staff;
  - n. Inspector;
  - o. Investigator;
  - p. Parole Board Parole Officers;
  - q. Parole Board Members;
  - r. Auditors assigned by the Director/designee;
  - s. Any other person as designated in writing by the Managing Officer.
7. Inmates may obtain information, not otherwise restricted, from the Master File by contacting their unit staff or writing to BORM at the Operation Support Center. Copies from the Master File shall not be provided to the inmate.
8. Information contained in the Master File shall be carefully evaluated by the staff to ensure the release of information shall not endanger either the inmate others and is not prohibited by law.

**D. Historical Document/File Retrieval**

1. Hard copy Unit and Record Office Files are no longer in use for active inmates. Inactive hard copy files of inmates who are under supervision are stored at the Reception Center Record Offices. When/if inmates violate supervision and return to prison, the files shall be retrieved and scanned to OnBase by the Record Office, BOSC or BORM staff.
  - a. Files and documents for active inmates are located on OnBase in the following document types/locations in addition to those listed in Section B.1 (above):
    - i. Converted Unit File Section 1
    - ii. Converted Unit File Section 2
    - iii. Converted Unit File Section 3
    - iv. Converted Unit File Section 4
    - v. DRC Form 2099
    - vi. Institution Summary Report
    - vii. Memos/Incident Reports
    - viii. Unit Copy of Master File Documentation

**Attachment:**

Appendix A

Document Location Directory

**Related Department Forms:**

Acknowledgement of Safety Practices	DRC1177
Transfer Authorization Request	DRC2003
Kites	DRC2005
Inmate Evaluation	DRC2012
Inmate Property Record Disposition and Receipt	DRC2055
Inmate Property Record Disposition/Reception Inmate	DRC2258
Family Serious Illness/Death	DRC2291
Inmate Property Record Disposition/Reception Female	DRC2369
IPP Notice of Approval	DRC2382
Application for Community Release	DRC2428
IPP Checklist	DRC2453
Inmate Separation Order	DRC2456
Record Office File Review Checklist	DRC2463
Recommended Placement into IPP	DRC2502
Voluntary Statement	DRC2570
Cease Correspondence Form	DRC2575
Inmate Confidential Statement	DRC2590
Reception Center Housing Form	DRC2673
Use of Force Committee Report	DRC2694
Notice of Appeal Supervision/Security	DRC2680
Transitional Control Rules of Participation	DRC3005
Waiver/Extradition Transitional Control	DRC3096
Criminal History Risk Score	DRC3153
Transitional Control Program Request Waiver	DRC3181
Reintegration Unit Screening	DRC3207
Denial of Cell Privileges/Placement	DRC4087
Segregation Unit Individual Record Sheet	DRC4118
Control Unit Individual Activity Log	DRC4121
Orientation Acknowledgement Checklist	DRC4141
Inmate Property Theft/Loss Report	DRC4194
Inmate Accident Report	DRC4198
Alternative Meal Service	DRC4258

Appendix 1

**Master File Document Location Directory**

<b>Document / Form Title</b>	<b>Form Number</b>	<b>Scanning Responsibility</b>	<b>Current Location (for scanning current documents)</b>
Acknowledgement of Safety Practices (OPI Only)	DRC 1177	Institution	Scan to Job Classification Section.
Administrative Transfer Packets	DRC 2003 and supporting documents	Bureau of Classification	Bureau of Classification will forward to OSC- Document Management to be scanned to the Transfer Section.
Alternative Meal Service Request Form	DRC 4258	Institution	Scan to Discipline- Segregation
Application for Community Release and Special Labor Assignments	DRC 2428E	OSC Document Management	OSC- Document Section will scan to Office of Prison-Community Release Section.
Cease Correspondence	DRC2575	Institution	Scan to Unit Management- Confidential File
Control Unit Individual Activity Log (5A, 5B, 4B)	DRC 4121	Institution	Scan to Discipline- Segregation
Criminal History Risk Score	DRC 3153	Institution	To be scanned Reentry/ Reintegration Section.
Family Serious Illness/Death and Screening Criteria	DRC2291 DRC 2612	Institution	Scan to Unit Management- Kites /Correspondence
Inmate Accident Report	DRC4198	Institution	Scan to Medical/ Job Restrictions Section.
Inmate Classification Appeal	DRC 2680	Institution	Scan to Job Classification Section
Inmate Confidential Statement	DRC2590E	Institution	Scan to Discipline- Inmate Confidential Statement DRC 2590.
Inmate Evaluation	DRC2012	Institution	Scan to Job Classification Section

Inmate Separation	DRC 2456	Bureau of Classification for Institution Separation and Institutions for Local Separations	Scan to Classification-Separation Section.
Inmate Training	DRC 1953	Institution	Scan to Job Classification
IPP	DRC 2382,2453,2502, 2570, Certified Mail Receipt	Institution	Scan to Classification- IPP
Kites/Correspondence		Institution	Scan to Unit Management-Kites/ Correspondence
Orientation Acknowledgement Checklist	DRC4141	Institution	Scan to Unit Management-Orientation
Power of Attorney/ Living will		Institution	Should be placed in inmate's medical file
PREA Risk Assessment		Institution	Scan to Unit Management- UM/ PREA Risk Assessment
Program Certificates	None	Institution	Scan to Unit Management-Certificates
Property	DRC 2055/2369/2258	Institution	Scan to Property
Property Theft/Loss Report	DRC4194	Institution	Scan to Property
Reintegration Unit Screening	DRC 3207	Institution	Scan to Re-entry/Reintegration
Report of Denial of Cell Privileges	DRC 4087	Institution	Scan to Discipline- Segregation
Rules of Transitional Control	DRC3005	Institution to upload to ORAS as part of placement packet	Upload to ORAS
Security Control Extension Request	DRC 2724	Institution	Scan to Discipline- Segregation Sheets
Segregation Sheets	DRC4118	Institution	Scan to Discipline- Segregation Sheets
Signed copy of ORAS Case Plan		Institution	Scan to Case Plan Section
Signed copy of RAP Case Plan		Institution	Scan to Case Plan Section

TC Ineligibility	Memo	Institution PBPO forwards to OSC- Document Imaging	Scan to Transitional Control
TC Waiver	DRC3181	Institution PBPO forwards to OSC- Document Management	Scan to Transitional Control
TC Waiver of Extradition	DRC3096	Institution to upload to ORAS as part of the placement packet.	Upload to ORAS
Update & Correction	DOTS PORTAL	BOSCO	Scan to the inmate's Legal File.
Use of Force Committee Report	DRC 2694	Institution	Scan to Unit Management - Confidential File
Visiting Forms and Related Documents (PARENT INSTITUTIONS AND CADRE UNITS ONLY)	ALL	Institution	Scan to Visiting.
Visiting Forms and Related Documents (RECEPTION CENTERS ONLY)	ALL	OSC- Document Management	Scan to Visiting