

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Inmate Master Record	PAGE <u>1</u> OF <u>4</u> NUMBER: 07-ORD-13
RULE/CODE REFERENCE:	SUPERSEDES: 07-ORD-13 dated 12/01/14
RELATED ACA STANDARDS: 4-4095, 4-4096, 4-4098	EFFECTIVE DATE: May 24, 2016
	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 an accurate, efficient, and secure system for the recording, management, maintenance, and retention of the inmate master record.

III. APPLICABILITY

This policy applies to all institution and Operation Support Center employees of the Ohio Department of Rehabilitation and Correction (DRC).

IV. DEFINITIONS

Active File – Inmate master records for inmates who are incarcerated, Absent With Leave, Escape, Parole, Shock Parole, Transitional Control, Furlough, Risk Reduction, Treatment Transfer, IPP Suspended Sentence, Judicial Release, Appeal Bond, and Post Release Control.

Electronic File – Any files pertaining to an inmate’s master record that are stored electronically (OnBase). This includes active and inactive inmate files.

Inactive File – Inmate master records for inmates who have reached and/or been granted Expiration of Definite Sentence, Expiration of Stated Term, Final Release, Administrative Release, Vacated Sentence, Maximum Expiration of Sentence, Suspended Sentence/Judicial Release Probation Terminated, Discharged by Court Order, Pardoned, or who are deceased.

Inmate Master Record – An accurate and complete record documenting the incarceration of each inmate consisting of the master file and all satellite files. Portions of this record may be stored electronically.

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

Satellite File – Any file except the master file maintained in the institution to document the incarceration of an inmate including but not limited to unit, medical, mental health, recovery services, dental, property, and SORRC.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to compile, manage, maintain and update each inmate master record accurately and in a standardized manner.

VI. PROCEDURES

- A. Each new inmate admission from court shall receive a unique identification number to identify them from other inmates and any previous incarcerations. This number shall be designated on all files within the inmate master record and for each electronic record.
- B. All information pertaining to the inmate shall be maintained within the master file, a satellite file, or electronically to document the incarceration of each inmate.
- C. With the exception of dental records, the size of each hard copy satellite file must be 10 by 12 inches or smaller.
- D. The DRC shall control access to information in the inmate master record as required by the Ohio Revised Code and Administrative Regulations.
- E. All departments within the DRC shall be responsible for creating, maintaining and reviewing their files in accordance with the Ohio Revised Code, Administrative Regulations, and DRC policies to ensure they are current and accurate.
- F. Security
 1. All hard copy files within the inmate master record shall be maintained within a secure area as designated by the managing officer of the institution.
 2. No original hard copy inmate master record shall be removed from the institution while the inmate is incarcerated at that institution, unless transported by the managing officer/designee or as ordered by the Bureau of Sentence Computation and Bureau of Records Management.
- G. Privacy of Inmate Master Records
 1. No employee of the DRC shall copy any document from the inmate master record except when it is in their official capacity to do so.
 2. While incarcerated, an inmate may obtain information from his/her inmate master record through the institutional kite system. Upon release, an inmate may make a request for

information from their inmate master record to either the Bureau of Records Management or the institution where their record is maintained.

3. Information contained in the inmate master record shall be carefully evaluated by staff to ensure the release of information will not endanger either the inmate or others and is not prohibited by law or statute.

H. Intra-System Transfer of Inmate Record:

1. When an inmate is transferred from one institution to another the managing officer/designee shall notify all departments that maintain inmate files of the upcoming transfer.
2. The inmate education, recovery services, medical and mental health files shall be documented on a Receipt of Offender Records (DRC2014) and packed in a sealed box or large envelope. A copy of the Receipt of Offender Records (DRC2014) shall be taped to the top of the sealed box or envelope with the name of the receiving institution. The recovery services, medical and mental health files must transfer with the inmate. The education file shall be transferred with the inmate or within seventy-two (72) hours of the transfer.
3. The assigned transportation officer shall transport the inmate record(s) from the sending institution to either the receiving institution or centralized hub transportation officer. Staff at the receiving institution shall be responsible for completing the Receipt of Offender Records (DRC2014) and returning a signed copy to the sending institution.
4. All satellite files with the exception of education, recovery services, medical, and mental health that remain in hard copy format must be uploaded electronically (OnBase) within seventy-two (72) hours of the transfer of an inmate.
5. Each institution is to develop a plan that is institution specific to transfer the recovery services, medical and mental health files. Mental health and medical staff will work together to make file transfer arrangements. Recovery services departments shall designate someone to work with medical and mental health staff on these arrangements. Education staff will handle the transfer of their own records.

I. Records of Released Inmates and their Retention:

1. All satellite files, excluding recovery services, medical, mental health, and medical x-rays, shall be scanned to OnBase within forty-eight (48) hours of release.
2. The record retention coordinator or managing officer's designee at the institution shall be responsible for ensuring the recovery services, medical, dental and mental health files are processed as follows:
 - a. Supervision files (Parole, PRC, IPP, Judicial Release, Suspended Sentence, Appeal Bond) shall be transferred to the reception center of origin within seventy-two (72) hours of release.

- b. Transitional Control files shall be retained at the parent institution until the inmate is released from this status. Once released from Transitional Control status, the files shall be transferred to the reception center if the inmate is under PRC supervision or to the document management section if released with no supervision.
 - c. Treatment Transfer files shall be transferred to the reception center of origin within seventy-two (72) hours of release.
 - d. No supervision files (EST, Max Expiration, EDS) shall be forwarded to the document management section within thirty (30) days of release in accordance with DRC policy 07-ORD-01, Record Management Program.
3. When supervision is complete, the reception center record offices shall forward all files to the document management section within thirty (30) days of release in accordance with DRC policy 07-ORD-01, Record Management Program.
 4. Miscellaneous filing for these files shall not be forwarded to the reception center or the document management section but shall be scanned by the file owner into the appropriate section on OnBase. Medical x-rays shall be retained at the parent institutions.
 5. Education staff shall maintain either the hard copy education file or scan to OnBase after the inmate's release.
 6. The inmate master record shall be maintained in compliance with DRC Policy 07-ORD-01, Records Management Program.
- J. Records Converted From Paper to Electronic (OnBase)
1. All paper files that are scanned to OnBase shall be recorded on Record of Files Scanned to OnBase (DRC3154). The completed form shall be signed by the respective record retention coordinator and forwarded to the document management section.
 2. A quality check of files scanned to OnBase shall be performed to ensure the scan is legible. Once documented on the Record of Files Scanned to OnBase (DRC3154) and OnBase is reviewed for readability, the files shall be held for thirty (30) calendar days and then destroyed.

Related Department Forms:

Receipt of Offender Records	DRC2014
Transfer Sheet	DRC2719
Record of Files Scanned to OnBase	DRC3154