

STATE OF OHIO



DEPARTMENT OF REHABILITATION  
AND CORRECTION

SUBJECT: <b>APA Field Officer Tablet and File Policy</b>	PAGE <u>  1  </u> OF <u>  6  </u>
	NUMBER: 100-APA-23
RULE/CODE REFERENCE:	SUPERSEDES: 100-APA-23 dated 04/16/14
RELATED ACA STANDARDS: 4-APPFS-3D-27; 4-APPFS-3D-28; 4-APPFS-3D-29	EFFECTIVE DATE: August 31, 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 set forth a standard procedure and format for documenting information regarding an offender's supervision.

**III. APPLICABILITY**

This policy applies to all employees of the Adult Parole Authority (APA).

**IV. DEFINITIONS**

**Case Files** - Those files that are specific to an APA investigation and/or to each offender under supervision which contains all supervision/investigation data during the supervision/investigation period.

**Caseload** - The total number of offenders assigned to a staff member.

**Community Corrections Information System (CCIS)** - A computerized information system used to track the criminal history and progress of offenders under the supervision of the APA. Access to CCIS is restricted to essential users only.

**Contact** - The obtaining or attempt to obtain meaningful information about the offender and/or the offender's behavior by the appropriate DRC staff or ODMHAS CDS. The source of the information may be the offender, another person, or agency; it may be in person, by telephone, or by written communication and may be at any location.

**Domain Intervention (DI)** - A program or officer intervention addressing one or more of the identified dynamic risk domains.

**Family Involvement (FI)** - Meaningful communication with a member of an offender's family or an individual with personal ties to the offender and who is influential in the life of the offender and can provide information regarding community adjustment. Family involvement does not include contacts with service providers, case managers, or other halfway house staff.

**Field Officer Tablet (FOT)** - Computerized data maintained by the parole officer assigned to the case that contains the chronological details involving contact with the offender, social services agencies, law enforcement, etc. The tablets also contain all demographic information pertaining to the offender and documentation of staffing decisions.

**In-Custody** - An offender under the supervision of the APA who is being held in a jail, prison, or similar detention facility.

**No Contact (NC)** - An attempt (in person or by telephone) by the appropriate DRC staff or ODMHAS CDS to contact an offender or other person regarding an offender with no contact being made (includes voicemail messages and texting). This should be used for any administrative activities involving an offender such as staffing, faxes, report writing and telephone messages.

**NOTE** - A section in the Community Corrections Information System (CCIS) to record information regarding offenders' activity while under supervision.

**Offender Services Network (OSN)** - Staff located in each region to provide direct services to offenders and facilitate linkages between community service providers, APA field staff, and prison providers. Network staff consists of chemical dependency specialists, sex offender specialists, psychologists, and reentry coordinators.

**Other Contact (OC)** - A contact during which significant information regarding an offender is obtained, (e.g., ancillary services provider, chemical dependency specialist, computer inquiries, criminal justice agencies, education and employment services, family members, letters of correspondence, emails from offender, quarterly reports, sex offender specialists, staff psychologist, and substance abuse testing). An OC contact shall not be claimed for Supervision Report Form (DRC3250) when the offender is not seen at the time the form is completed, except for low and monitored time supervision level offenders.

**Positive Contact (PC)** - A face-to-face contact between an offender and appropriate DRC staff or ODMHAS CDS (parole officer, Offender Services Network staff, parole supervisor) at any location.

**Positive Incentive (PI)** - Rewards of varying degree that recognize constructive, pro-social behaviors demonstrated by offenders in an effort to reinforce successful reentry into society.

**Sanction** - Any penalty imposed on an offender who is found guilty of an offense or violation of conditions of supervision. Sanction includes any sanction imposed pursuant to any provision of sections 2929.14 to 2929.18 of the Revised Code.

**Situational Staffing** - Any staffing that occurs between the parole officer and the unit supervisor/designee pertaining to the status change of an offender (e.g., violators at large, transfers, positive urine screens, changes in behavior, domestic/family emergencies, etc.). This staffing may not necessarily coincide with a scheduled follow-up date; however, it does require the immediate attention of the parole officer and shall be staffed with the unit supervisor/designee as soon as possible.

**Staffing** - A consultation among DRC staff or ODMHAS CDS wherein a documented exchange of information is shared with the intent of making decisions or following a course of action which will help facilitate the supervision of an offender, protection of the community, and ensure that all aspects of supervision and investigations meet agency standards.

**Synchronization** - The process of a parole officer connecting to the DRC server via data line, wireless, or dial-up to ensure all offender information is exchanged and backed up to the DRC information system.

**Telephone Contact (TC)** - A contact between an APA staff member (parole officer, Offender Services Network staff, parole supervisor) and an offender via the telephone.

## V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) that the field officer tablet (FOT) and case files shall be maintained by the Adult Parole Authority (APA) staff for each offender under the supervision of the APA and shall be considered an official document. All cases under the supervision of the APA shall be staffed at designated intervals between the unit supervisor/designee and the parole officer, especially when recommendations are being made for or against an action involving the offender or when the status of the offender changes. These staffings, which shall be documented in the FOT, ensures compliance with special conditions, instructions or sanctions, considers risk to the community, addresses treatment needs, and ensures standards of supervision are being met.

## VI. PROCEDURES

### A. Field Officer Tablet (FOT)

1. The unit supervisor shall ensure all parole officers under his/her supervision who supervise offenders have a FOT that contains the following:
  - a. Supervision notes for each offender under the supervision of the parole officer.
  - b. Proper identification with the parole officer's name, business address, and phone number.
2. The assigned parole officer shall ensure the field officer tablet is secure at all times.
3. The parole officer shall ensure the information contained in the FOT is complete, updated, and verify its accuracy (i.e., supervision level, change in status, address, employment, etc.). All tabs in the officer's tablet shall be filled out completely when applicable.
4. If a supervising parole officer is off work for more than two (2) weeks, the unit supervisor shall transfer all supervised cases to another parole officer(s).

**B. Field Officer Notes**

1. The parole officer shall maintain supervision notes on each offender assigned to his/her caseload. The supervision notes shall be current, accurate, and contain a chronological record of contacts that describe events which occur during the offender's supervision period.
2. The parole officer shall document all contacts pertaining to the offender's supervision as soon as possible in the contact/notes tab on the tablet. Each entry shall, at a minimum, include the following:
  - a. Date of contact or date information received.
  - b. Type of contact (i.e., PC, TC, NC, and OC).
  - c. Individual with whom contact was initiated (i.e., employer, relative, treatment provider, etc.).
  - d. Location of contact (e.g., residence, office, place of employment, etc.).
  - e. Summary of information obtained (i.e., employment information, chemical dependency, urinalysis results, etc.) unless documented in ORAS. This information shall contain as much information as possible.
  - f. Instructions by the parole officer and/or unit supervisor (if appropriate).
  - g. Domain/identified risk factor that was addressed and the evidence based practice (EBP) tool that was utilized in addressing the domain/identified risk factor, if not assessed using ORAS. If risk was assessed using ORAS, the EBP tool shall be documented in the ORAS IT Application.
3. Parole officers shall record a positive contact (PC) on the supervision notes to designate when a face-to-face visit is made with the offender. Information obtained by reviewing pay stubs, receipts, etc., shall not be recorded as an "other contact" (OC), on the notes when it occurs during a face-to-face visit. However, this information shall be contained in the narrative of the parole officer's notes. In addition, family involvement (FIM/YY), positive incentives (PIM/YY) and domain intervention (DIM/YY), EBP tools shall be entered into the FOT notes section as (EBPM/YY) Domain – EBP tool. An example would be (EBP4/11) Peer Association – Decisional Balance.
4. If the Supervision Report form (DRC3250) is completed, the offender must be interviewed by a representative of the Ohio APA for a PC contact to be listed. If the offender is not seen at the time the Supervision Report form (DRC3250) is completed and submitted, no contact credit shall be taken except for low cases that are not required to be seen per DRC policy 100-APA-13, Supervision Reentry Planning and Offender Classification.
5. All staffing involving the offender, including but not limited to situational staffing, shall be documented by the parole officer in the FOT. All staffing with a supervisor/designee shall be recorded in the FOT as NC, and all staffing with OSN staff shall be recorded in the FOT as OC.
6. The parole officer shall not re-write or alter any of the entries on the supervision notes without prior approval from his/her unit supervisor.

**C. Portable Computing - Physical Security**

1. When not in use, state-owned portable computing devices, portable computing media and portable removable computing components shall be stored in a secure environment, preferably in a locked office, locked drawer or locked cabinet.
2. When in use, state-owned portable computing devices, portable computing media and portable removable computing components shall not be left unattended for any period of time. State owned portable computing devices are outlined in DRC policy 05-OIT-15, Portable Computing.

**D. Synchronization**

To ensure officers' data is not lost, officers shall complete a full synchronization of their caseload and daily activities must be locked and submitted at a minimum of every two (2) weeks and more frequently when possible. Officers are responsible to select the type of connection (e.g., data line, wireless, or dial-up, excluding air-cards) best suited to complete the synchronization.

**E. Case Files**

All documents shall be maintained electronically or in case files. The document's location shall be determined by the APA policy governing that document.

1. If a document is maintained electronically by the governing policy no part of the document needs to be maintained in the case file. If a document is maintained in the case file, the completed document shall be placed in the file.
2. Documents maintained in the case file on post release control (PRC) and parole files only shall be sent to the Bureau of Records Management for scanning into OnBase when generated or received for storage. This does not include any presentence investigations or any investigations currently maintained in the investigation application.
3. Case files for completed APA offender investigations shall be maintained according to the DRC records retention schedule.
4. Preparation and labeling of the files:
  - a. Support staff shall be responsible for the initial preparation, organization, and labeling of all files.
  - b. Labels shall be placed on the tab of the file and include last name, first name, middle name/initial, docket number and CCIS number.
  - c. For offices using other file system, the protocol governing the system being used shall prevail.

5. Combining of Files - If new case materials arrive in the local office and other files exist for the same offender these files shall be combined. Each file shall be marked "File 1 of 2" and "File 2 of 2".
  - a. In cases where there is more than one (1) supervision jurisdiction, the files shall remain separate.
  - b. An available PSI/OBI file that is already in the office shall be combined with the parole/PRC file.
6. File Security
  - a. All files shall be accessible to authorized personnel only and kept in a centralized secure location unless office layout prevents centralized filing. Regions that have multiple district offices may have files at their location, but shall be kept in a secure or locked facility with restricted access.
  - b. Support personnel are responsible for file maintenance.
7. The DRC record retention schedule shall be followed when closing all case files. APA case files shall be purged two (2) years after the case is closed in CCIS.

**Related Department Forms:**

Supervision Report Form

DRC3250