 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY FIELD		
	REVISION DATE 1/19/23	PAGE NUMBER 1 of 5	NUMBER DOC 280.530
	TITLE SUPERVISION FILES		

REVIEW/REVISION HISTORY:

Effective: 10/16/01
Revised: 3/6/03
Revised: 6/13/06
Revised: 6/28/07
Revised: 8/25/08
Revised: 7/22/09
Revised: 1/9/12
Revised: 10/1/14
Revised: 7/2/19
Revised: 9/29/21
Revised: 1/19/23

SUMMARY OF REVISION/REVIEW:


Added I.B.1. that FOS individuals with a warrant will be maintained on an active caseload
I.C., I.C.1.b., I.D., II.A.1., III.A.5., IV.A., and IV.A.1. - Adjusted language for clarification
I.C.1.a. - Added clarifying language
Added I.C.2. that individuals sentenced as a juvenile and reaching the SED will be maintained on an "S" caseload
Added II.B.2. that when and how a file was sent will be documented in the electronic file
Removed II.D. that the file will be maintained in the office assigned for an out-of-state case
Added III.A.5.a.-c. that upon the death of an individual, a request will be made for the death certificate and any active warrants will remain active until it is received
Added IV.A.2. & 3. that a manifest will be sent to the RIMU, who will contact the requestor when ready for files to be shipped for archiving

APPROVED:

Cheryl Strange

CHERYL STRANGE, Secretary
Department of Corrections

12/15/22
Date Signed

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	<p>APPLICABILITY FIELD</p>		
	<p>REVISION DATE 1/19/23</p>	<p>PAGE NUMBER 2 of 5</p>	<p>NUMBER DOC 280.530</p>
	<p>TITLE SUPERVISION FILES</p>		

REFERENCES:


DOC 100.100 is hereby incorporated into this policy; DOC 350.380 Discharge and Closure of Supervision; DOC 380.605 Interstate Compact; [Records Management](#); [Records Retention Schedule](#)

POLICY:

- I. The Department has established procedures for creating and maintaining Field files for each individual on community supervision.

DIRECTIVE:

- I. General Requirements
 - A. New conviction information will be maintained in an electronic format until jurisdiction to supervise the cause is established. If the cause will not be supervised, no hard copy file will be created.
 - B. Case managers will maintain Field files for all individuals on active supervision on an active caseload.
 1. From Out-of-State (FOS) individuals with a warrant will be maintained on an active caseload and will be subject to retake per DOC 380.605 Interstate Compact.
 - C. Field files for an individual on inactive status will be maintained on an “S” (i.e., supervisor) caseload when the individual is:
 1. Serving confinement time:
 - a. In a Department facility for reclassification, return, revoke, or a subsequent conviction, or
 - b. Are out of state or in a different jurisdiction for more than 60 days.
 2. Sentenced as a juvenile, under Indeterminate Sentence Review Board (Board) jurisdiction, and has reached the Scheduled End Date (SED).
 - D. Field files for individuals on inactive status because they have been on warrant status for more than 60 days after issuance of the warrant will be maintained on a “W” (i.e., warrant) caseload.
 - E. Juvenile Rehabilitation Administration (JRA) files for youth who transfer from JRA or are sentenced to the Department will be merged with the Field file.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY FIELD		
	REVISION DATE 1/19/23	PAGE NUMBER 3 of 5	NUMBER DOC 280.530
	TITLE SUPERVISION FILES		


- F. Less Restrictive Alternative (LRA) records will be maintained in the Field file.
- G. Escape packets will be maintained in the Field files.
- H. An Incident Management Reporting System (IMRS) report should be completed for any Field file destroyed, stolen, or that cannot be located.

II. File Maintenance

- A. Field files will be set up and maintained using DOC 01-012 File Maintenance Checklist.
 - 1. Records from the Field file will be retained per the Records Retention Schedule. Items not listed may be purged at 12 month intervals.
- B. The case manager will ensure that all actions are completed before transferring or closing the file. The case manager/office support will:
 - 1. Complete the Transfer to Banked Caseload section of DOC 07-047 Inactive Caseload Transfer/Review Checklist.
 - 2. Document in the electronic file when and how the file was sent (e.g., campus mail, certified mail).
- C. The Community Corrections Supervisor (CCS) will:
 - 1. Develop a process to track files that are removed from the office or kept overnight.
 - a. Supervisory approval is required for files kept overnight.
 - 2. Ensure files on the inactive caseload are reviewed every 6 months using the 6 Month Review section of DOC 07-047 Inactive Caseload Transfer/Review Checklist.

III. File Closure

- A. The case manager will close the file on the Case Management screen in the individual's electronic file:
 - 1. When active supervision has expired per DOC 350.380 Discharge and Closure of Supervision.
 - 2. When the conviction and/or sentence is overturned on appeal.
 - 3. Per DOC 380.605 Interstate Compact for individuals from out of state.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY FIELD		
	REVISION DATE 1/19/23	PAGE NUMBER 4 of 5	NUMBER DOC 280.530
	TITLE SUPERVISION FILES		


4. Upon order to close or end supervision from:
 - a. The court,
 - b. Department administration,
 - c. The Indeterminate Sentencing Review Board, or
 - d. The Governor as the result of granting commutation or clemency.

5. Upon the death of an individual and
 - a. Complete and submit DOC 14-205 Death Certificate Request to docdeathcertrequest@doc1.wa.gov.
 - b. Requests for a death certificate for an individual out of state will follow state agency/local requirements where the death occurred.
 - c. Any active warrant for a cause that is under Department jurisdiction will remain active until a death certificate is received.
 - d. Document the death by placing a copy of the death certificate or notice from the appropriate agency in the file.
 - e. Submit DOC 09-124 Court-Special to the court, DOC 09-117 Board-Special to the Indeterminate Sentence Review Board, or Case Closure Notice through the Interstate Compact Offender Tracking System (ICOTS).

- B. The case manager/CCS will document closed Field files in the individual's electronic file.
- C. For individuals participating in the Address Confidentiality Program, actual addresses will be retained in the Field file and removed and shredded before the file is archived.

IV. File Retention

- A. All closed files will be retained in the local office for one year after the date of closure on the last cause. Files will be prepared for archiving per the Records Retention Schedule. Employees may obtain more information from the Records Management SharePoint site.
 1. DOC 01-014 Field File Archive Checklist will be completed and placed in Section 2 of the file.
 2. DOC 01-015 Manifest - Archiving Files will be completed and forwarded to the Records Information Management Unit (RIMU) at docarchiverequest@doc1.wa.gov.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p>POLICY</p>	APPLICABILITY FIELD		
	REVISION DATE 1/19/23	PAGE NUMBER 5 of 5	NUMBER DOC 280.530
	TITLE SUPERVISION FILES		

3. RIMU employees will contact the requestor when ready for files to be shipped for archiving.

B. Archived files will be retrieved if an individual returns to supervision.

DEFINITIONS:

Words/terms appearing in this policy may be defined in the glossary section of the Policy Manual.

ATTACHMENTS:

None

DOC FORMS:

- DOC 01-012 File Maintenance Checklist
- DOC 01-014 Field File Archive Checklist
- DOC 01-015 Manifest - Archiving Files
- DOC 07-047 Inactive Caseload Transfer/Review Checklist
- DOC 09-117 Board-Special
- DOC 09-124 Court-Special
- DOC 14-205 Death Certificate Request