



STATE OF WASHINGTON  
DEPARTMENT OF CORRECTIONS

APPLICABILITY  
**DEPARTMENT WIDE**

REVIEW DATE  
9/1/16

PAGE NUMBER  
1 of 9

NUMBER  
**DOC 280.500**

**POLICY**

TITLE  
**RECORDS MANAGEMENT OF OFFICIAL  
OFFENDER FILES**

**REVIEW/REVISION HISTORY:**

- Effective: 10/1/85
- Revised: 7/23/99
- Revised: 3/20/01
- Revised: 11/15/02
- Revised: 8/13/04
- Revised: 7/3/06
- Revised: 3/26/07 AB 07-005
- Revised: 10/18/07
- Revised: 12/20/07 AB 07-040
- Revised: 2/20/08 AB 08-002
- Revised: 5/29/09
- Revised: 5/21/12
- Revised: 11/8/13
- Revised: 9/1/16

**SUMMARY OF REVISION/REVIEW:**

Major changes to include the addition of processes for when a sentencing error is suspected and for offenders to challenge the accuracy and completeness of information in their central files. Read carefully!

**APPROVED:**

Signature on file

\_\_\_\_\_  
**RICHARD "DICK" MORGAN**, Secretary  
Department of Corrections

8/31/16  
\_\_\_\_\_  
Date Signed

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<b>APPLICABILITY</b> <b>DEPARTMENT WIDE</b>		
	<b>REVIEW DATE</b> 9/1/16	<b>PAGE NUMBER</b> 2 of 9	<b>NUMBER</b> <b>DOC 280.500</b>
	<b>TITLE</b> <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b>		

## REFERENCES:

DOC 100.100 is hereby incorporated into this policy; [RCW 9.95.140](#); [RCW 10.97](#); [RCW 10.98](#); [RCW 40.140](#); [RCW 40.24](#); [WAC 137-08-105](#); [ACA 4-4095](#); [ACA 4-4096](#); [ACA 4-4097](#); [ACA 4-4099](#); [ACA 4-4100](#); [ACA 4-4102](#); [ACA 6A-10](#); [ACA 7D-06](#); [ACA 7D-08](#); [ACA 7D-09](#); [ACA 7D-10](#); [ACA 7F-04](#); [DOC 280.530 Supervision Files for Community Offenders](#); [DOC 640.020 Offender Health Records Management](#); [Central File Composition and Maintenance - Central File Index Process](#); [Exemption Determination 92-1](#); [Records Retention Schedule](#)

## POLICY:

- I. [4-4095] [7D-08] The Department has established procedures for creating and maintaining hard copy and electronic files for each offender under Department jurisdiction. Offender files will contain records to manage activities regarding offenders and support case management.
- II. Records employees will ensure the contents and location of offender files comply with applicable statutes, regulations, and processes. [4-4095] [7D-08]
- III. Offender time is calculated per court decisions. [4-4097]
  - A. If a sentencing error is suspected, all potentially impacted offender release dates will be hand-calculated until the error is fixed.

## DIRECTIVE:

- I. Responsibilities
  - A. Any employee or contract staff that suspects an error in the calculation of an offender's sentence, release date, or supervision term will immediately notify their supervisor, who will notify the Correctional Records Supervisor (CRS)/ Records Management Supervisor (RMS) or designee.
    1. The CRS/RMS or designee will audit the offender's central file upon notification using DOC 01-010 Audit Checklist - Central File to determine if there is a calculation error.
      - a. The suspected error and resolution(s) will be documented in the Comments Section of the form.
      - b. Records employees will update the offender's central and electronic file as appropriate.
  - B. Records employees will immediately report Offender Management Network Information (OMNI) system calculation errors that affect sentencing, release

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<p>APPLICABILITY <b>DEPARTMENT WIDE</b></p>		
	<p>REVIEW DATE 9/1/16</p>	<p>PAGE NUMBER 3 of 9</p>	<p>NUMBER <b>DOC 280.500</b></p>
	<p>TITLE <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b></p>		

dates, or supervision end dates to the Statewide Records Director, who will determine the scope of the error.

1. The Statewide Records Director will notify the appropriate Assistant Secretaries.
2. If the OMNI system calculation error affects one offender, records employees will hand-calculate and update the offender's central and electronic file.
3. If the error is the result of a system defect affecting more than one offender, records employees will be directed to hand-calculate all potentially impacted offender sentences and release or supervision end dates, and update the offender's central and electronic file.
4. If a hand-calculation results in:
  - a. An offender being erroneously released to the community, the Department will attempt to locate and return the offender to custody if s/he has time remaining.
  - b. An offender being held beyond his/her release or supervision end date, s/he will be immediately released or supervision ended.

## II. Offender Files

- A. Central files will be created and maintained for all incarcerated offenders. [4-4095] [7D-08]
  1. [7D-08] Central files will be uniformly organized and maintained per the Central File Composition and Maintenance - Central File Index Process on the Records SharePoint site. [4-4095]
    - a. Documents placed in offender files will be signed and dated by the designated personnel. Documents printed from the offender's electronic file will be considered electronically signed.
  2. When an offender has been re-admitted, the CRS/designee will request the central file and offender health record within 3 business days.
  3. Within 4 weeks after an offender transfer, the CRS/designee at the receiving facility will audit the offender's central file using DOC 01-010 Audit Checklist - Central File.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<b>APPLICABILITY</b> <b>DEPARTMENT WIDE</b>		
	<b>REVIEW DATE</b> 9/1/16	<b>PAGE NUMBER</b> 4 of 9	<b>NUMBER</b> <b>DOC 280.500</b>
	<b>TITLE</b> <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b>		

4. No more than 60 days before release, the CRS/designee will audit the offender's central file using DOC 01-010 Audit Checklist - Central File.
    - a. The CRS/designee who completed the initial audit cannot complete the 60 day release audit except at stand-alone minimum facilities when only one records employee is on duty at the time of release.
  5. Within 2 weeks after transfer for an offender on community custody supervision, the Regional CRS/designee for the receiving office will audit the offender's central file using DOC 01-013 Central File - Field Intake Audit Checklist.
  6. Offenders may challenge the accuracy and completeness of information in their central files except for their criminal history.
    - a. Offenders will follow appropriate appeal processes for documents with an appeals process (e.g., disciplinary, segregation, classification) to request information be corrected in their central file.
    - b. In all other cases, the offender must contact the author of the challenged document to request information be corrected in the file. If it is not possible to contact the author, the offender must contact the author's supervisor or an employee with authority to correct any information in the document.
      - 1) If the request is valid, the employee approving the update will attach an amended document to a copy of the original and send them to the Records department where the central file is maintained.
  7. Healthcare providers will have access to an offender's central file upon request.
- B. Offender health records will be created and maintained per DOC 640.020 Offender Health Records Management.
1. The Offender Health Record will be maintained with the central file:
    - a. When the offender is on escape status.
    - b. When the central file is forwarded to the State Records Center for retention.
    - c. In the event of the offender's death, after all required documents have been filed.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<p>APPLICABILITY <b>DEPARTMENT WIDE</b></p>		
	<p>REVIEW DATE 9/1/16</p>	<p>PAGE NUMBER 5 of 9</p>	<p>NUMBER <b>DOC 280.500</b></p>
	<p>TITLE <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b></p>		

- C. Work Release resident files will be created and maintained at the facility for all offenders housed in a Work Release. [7D-08] [7D-09]
1. [7D-09] The Work Release resident file will include the following information:
    - a. Copy of psychological reports,
    - b. DOC 05-116 Offender Intake Information,
    - c. Case information from referral source (e.g., reports from outside agencies, chemical dependency, domestic violence, written correspondence, memos of compliance),
    - d. Signed copy of the Custody Facility Plan,
    - e. DOC 14-047 Medication Log - Work Release,
    - f. Signed release of information forms,
    - g. Current employment data and education data (e.g., job plan, employer letters, school schedules),
    - h. DOC 20-073 Work Release Standard Rules,
    - i. Disciplinary record,
    - j. Approved visitation list, and
    - k. Personal property inventory.
  2. Documents maintained in the electronic imaging system will not be printed for the Work Release resident file (e.g., Judgment and Sentence, criminal history information).
  3. Documents that belong in the central file and/or electronic imaging file identified as essential in the Central File Composition and Maintenance - Central File Index Process will be copied for the resident file and originals sent to the Regional CRS.
- D. Field supervision files will be created and maintained for each offender on community supervision per DOC 280.530 Supervision Files for Community Offenders.
- E. Community Custody Violator (CCV) files will be created and maintained for all violators who serve confinement time at a Department facility.
- F. County Jail Boarder (CJB) files will be created and maintained for all CJBs serving time in a Department facility.
1. If the offender is sentenced to Prison, the documents will become part of his/her central file.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p>	<p>APPLICABILITY <b>DEPARTMENT WIDE</b></p>		
	<p>REVIEW DATE 9/1/16</p>	<p>PAGE NUMBER 6 of 9</p>	<p>NUMBER <b>DOC 280.500</b></p>
	<p>TITLE <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b></p>		
<p><b>POLICY</b></p>			

2. File material for CJBs housed at a Work Release who have an active field supervision file will be forwarded to the location of the Field file.
- G. The Indeterminate Sentence Review Board (ISRB) will maintain offender files in the ISRB electronic database for offenders under their jurisdiction per RCW 9.95.140.
1. Department employees may request access to file material through the ISRB mailbox at [isrb@doc1.wa.gov](mailto:isrb@doc1.wa.gov).
- H. Electronic files will be maintained for all offenders admitted to a Department facility or supervised by the Department. [7D-08]
1. The following information will not be entered in an offender's electronic file:
    - a. Information that is subjective or unprofessional (e.g., personal opinions, complaints about working conditions or other employees),
    - b. Information about employee/contract staff vacation schedules,
    - c. Specific medical and mental health diagnosis information,
    - d. Personal identifying information of victims (e.g., names, current addresses and telephone numbers) unless the information is included in a court or Department-ordered condition,
      - 1) Victim Services Program employees will enter community concerns, and may enter a protected Chronological (chrono) entry in the offender's electronic file to document a victim's name(s), contact information, and detailed concerns.
    - e. Content of recent communications with/from victims or others with safety concerns, and
    - f. Actual addresses for Address Confidentiality Program participants.
      - 1) For offenders participating in the Address Confidentiality Program, electronic files will contain designated substitute addresses per RCW 40.24.
- I. For Prisons and Work Releases, chrono entries will be made no later than 72 hours after an event or action.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p>	<b>APPLICABILITY</b> <b>DEPARTMENT WIDE</b>		
	<b>REVIEW DATE</b> 9/1/16	<b>PAGE NUMBER</b> 7 of 9	<b>NUMBER</b> <b>DOC 280.500</b>
	<b>TITLE</b> <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b>		
<b>POLICY</b>			

- J. For Field Offices, unless otherwise noted in policy, all electronic file updates and chrono entries will be made within one business day of the action or notification.
- K. Upon completion of a Washington/National Crime Information Center (WACIC/NCIC) Wanted Person check on an offender, a records employee will update the Warrant Detainer Status screen of the offender's electronic file to include all warrants.

### III. File Transfers

- A. [7D-10] Any time the central file or Offender Health Record is transferred, the date the files are sent and the locations where they are sent and received will be documented as a chrono entry using the Central File Movement and/or the Medical File Movement screen in the offender's electronic file.
- B. When an offender is transferred from Prison to Work Release or community custody supervision:
  - 1. The central file will be sent to the Regional CRS within 72 hours of the transfer. [7D-10]
  - 2. The Offender Health Record will be transferred with the offender to the layover facility. The layover facility will hold the file for 30 days, and then send it to the Regional CRS or Rap House/Lincoln Park Work Release as applicable.
- C. For all other transfers, including transfers of supervision from one Field Office to another, updated files will be forwarded to the receiving facility/office at the time of transfer when possible, or within 72 hours of the transfer. [4-4096] [7D-10]
  - 1. Central files may be forwarded on the next available transport bus if the files are not available to be sent at the time of the offender's original transport.

### IV. [4-4095] [7D-08] Confidentiality

- A. Offender files will be maintained in locking file cabinets or in a secure office to ensure the offender's privacy and confidentiality of information to the extent permissible by state and federal statute and regulation.
- B. For the purposes of information sharing, exchange, and standardization, information on specific offenders or aggregated data may be made available to criminal justice partners as needed and/or prescribed by RCW 10.98. [4-4102] [7D-06] [7F-04]

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<p>APPLICABILITY <b>DEPARTMENT WIDE</b></p>		
	<p>REVIEW DATE 9/1/16</p>	<p>PAGE NUMBER 8 of 9</p>	<p>NUMBER <b>DOC 280.500</b></p>
	<p>TITLE <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b></p>		

- C. Offender information from any Department information source (e.g., OMNI, electronic imaging system, ISRB, Offender Supervision Plan system, Security Threat Group database) will not be provided to any unauthorized person within or outside the Department
1. Any employee/contract staff who uses, accesses, or provides access to offender information in a manner that violates Department policy will be subject to disciplinary action, up to and including dismissal and/or criminal prosecution.
- D. [4-4099] Before the release of information, the offender must sign the appropriate release of information consent form when applicable, which will be maintained in the offender's electronic file.
1. Facilities and offices will use DOC 09-242 General Authorization to Release Information and DOC 13-035 Authorization for Disclosure of Health Information.
  2. The Substance Abuse Recovery Records Coordinator/designee will use DOC 14-172 Substance Abuse Recovery Unit Compound Release of Confidential Information.
- V. Archiving, Retention, and Destruction
- A. Offender files will be retained per the Records Retention Schedule and archived per the Archiving Offender Files Process on the Records SharePoint site or disposed of upon an offender's release, discharge, termination, or completion of the supervision term.
1. Central files will be retained at the facility for 6 months before being prepared for archiving using DOC 01-009 Central File Archive Checklist and documented electronically on DOC 01-015 Manifest - Archiving Offender Files.
    - a. The completed checklist will be emailed to [DOCArchiveRequest@DOC1.WA.GOV](mailto:DOCArchiveRequest@DOC1.WA.GOV) and placed with the prepared files.
    - b. Prepared files will be retained at the facility until requested by the Archive Retention Unit.
    - c. The completed manifest will be emailed to [DOCArchiveRequest@DOC1.WA.GOV](mailto:DOCArchiveRequest@DOC1.WA.GOV) and placed in box #1.

 <p>STATE OF WASHINGTON DEPARTMENT OF CORRECTIONS</p> <p><b>POLICY</b></p>	<b>APPLICABILITY</b> <b>DEPARTMENT WIDE</b>		
	<b>REVIEW DATE</b> 9/1/16	<b>PAGE NUMBER</b> 9 of 9	<b>NUMBER</b> <b>DOC 280.500</b>
	<b>TITLE</b> <b>RECORDS MANAGEMENT OF OFFICIAL OFFENDER FILES</b>		

2. Field supervision files will be archived per DOC 280.530 Supervision Files for Community Offenders.
  - a. For offenders participating in the Address Confidentiality Program, actual addresses will be retained in the field supervision files, and will be removed and shredded before the files are archived.
  - b. Prepared files will be retained until requested by the Archive Retention Unit.
3. Work Release resident files will be shredded after the retention period has ended.
4. CCV/CJB files will be scanned into the offender's electronic imaging file and shredded upon the offender's release if they are not incorporated into the central/Field file.

**DEFINITIONS:**

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

**ATTACHMENTS:**

None

**DOC FORMS:**

- [DOC 01-009 Central File Archive Checklist](#)
- [DOC 01-010 Audit Checklist – Central File](#)
- [DOC 01-013 Central File – Field Intake Audit Checklist](#)
- [DOC 01-015 Manifest – Archiving Offender Files](#)
- [DOC 05-116 Offender Intake Information](#)
- [DOC 09-242 General Authorization to Release Information](#)
- [DOC 13-035 Authorization for Disclosure of Health Information](#)
- [DOC 14-047 Medication Log - Work Release](#)
- [DOC 14-172 Substance Abuse Recovery Unit Compound Release of Confidential Information](#)