



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
DEPARTMENT WIDE

REVISION DATE
3/17/22

PAGE NUMBER
1 of 10

NUMBER
DOC 280.500

POLICY

TITLE
RECORDS MANAGEMENT FOR INDIVIDUALS

REVIEW/REVISION HISTORY:

Effective: 10/1/85	Revised: 12/20/07 AB 07-040
Revised: 7/23/99	Revised: 2/20/08 AB 08-002
Revised: 3/20/01	Revised: 5/29/09
Revised: 11/15/02	Revised: 5/21/12
Revised: 8/13/04	Revised: 11/8/13
Revised: 7/3/06	Revised: 9/1/16
Revised: 3/26/07 AB 07-005	Revised: 4/5/19
Revised: 10/18/07	Revised: 3/17/22

SUMMARY OF REVISION/REVIEW:


Updated title and terminology throughout
 I.A. - Added clarifying language
 I.C.1, I.D., II.A., and IV.B. - Adjusted language for clarification
 Added I.C.2. that additional notification will be made for calculation impacts that result in an individual being released early
 II.C.1. - Adjusted what the resident file will include
 II.H.2. - Adjusted for person-centered language

APPROVED:

Signature on file

CHERYL STRANGE, Secretary
 Department of Corrections

3/7/22
 Date Signed

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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](#); DOC 280.530 Supervision Files; DOC 640.020 Health Records Management; [Exemption Determination 92-1](#); [Records Retention Schedule](#)

POLICY:

- I. The Department has established procedures for creating and maintaining hard copy and electronic files for each individual under the Department’s jurisdiction. Files will contain records to manage activities regarding individuals and support case management.
- II. Records employees will ensure the contents and location of files comply with applicable statutes, regulations, and processes.
- III. Time is calculated per court decisions.
 - A. If a sentencing error is suspected, all potentially impacted release dates will be manually calculated until the error is fixed.

DIRECTIVE:

- I. Responsibilities
 - A. Employees must use the Release Audit Calculator located on the Department’s internal website when conducting time calculations.
 - B. Any employee or contract staff that suspects an error in the calculation of an individual’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 individual’s central file upon notification using DOC 01-010 Audit Checklist - Central File or DOC 01-013 Central File - Field Intake Audit Checklist 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 individual’s central and electronic file as appropriate.
 - C. Records employees will immediately report to the Statewide Records Director:

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1. System (e.g., OMNI) calculation errors that affect sentencing, release dates, or Scheduled End Dates (SEDs). The Statewide Records Director will determine the scope of the error and notify the Deputy Secretary, Chief of Staff, and appropriate Assistant Secretaries.
 - a. If the system calculation error affects one individual, records employees will manually calculate and update the individual's central and electronic file.
 - b. If the error is the result of a system defect affecting more than one individual, records employees will be directed to manually calculate all potentially impacted sentences and release dates or SEDs and update the individual's central and electronic file.

2. Calculation impacts that result in an individual being released early. The Statewide Records Director will:
 - a. Notify the Secretary, Deputy Secretary, Chief of Staff, and appropriate Assistant Secretaries.
 - b. Complete a report in the Incident Management and Reporting System (IMRS) within one business day of determining early release occurred.


D. If a sentence calculation results in an individual being:

1. Erroneously released to the community, the Department will attempt to locate and return the individual to custody if the individual has time remaining.
2. Held beyond the release date or SED, the individual will be immediately released or have supervision ended.


II. Files

A. Central files will be created and maintained for all incarcerated individuals in Prisons.


1. Central files will be uniformly organized and maintained per Central File Composition (Attachment 1).
 - a. Documents placed in files will be signed and dated by the designated personnel. Documents printed from the individual's electronic file will be considered electronically signed.

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2. When an individual has been re-admitted, the CRS/designee will request the central file and health record within 3 business days.
 3. Individuals may challenge the accuracy and completeness of information in their central files except for their criminal history.
 - a. Individuals 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 individual 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 individual 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.
 4. Healthcare providers will have access to an individual's central file upon request.
- B. Health records will be created and maintained per DOC 640.020 Health Records Management.
1. The health record will be maintained with the central file:
 - a. When the individual is on escape status.
 - b. When the central file is forwarded to the State Records Center for retention.
 - c. In the event of the individual's death, after all required documents have been filed.
- C. Resident files will be created and maintained at the facility for all individuals housed in a Reentry Center.
1. The resident file will include the following information:
 - a. Copy of psychological reports
 - b. Case information from referral source (e.g., reports from outside agencies, substance use disorder, domestic violence, written correspondence, memos of compliance)

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- c. Signed copy of the Custody Facility Plan
 - d. DOC 14-047 Medication Log - Reentry Center
 - e. Signed release of information forms
 - f. Current employment data and education data (e.g., job plan, employer letters, school schedules)
 - g. DOC 20-073 Standard Rules
 - h. Disciplinary record
 - i. Approved visitation list
 - j. Personal property inventory
2. Documents maintained in the electronic imaging file will not be printed for the 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 Central File Composition (Attachment 1) 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 individual on community supervision per DOC 280.530 Supervision Files.
1. Before a cause is closed, a tolling review will be completed 60 days before the SED.
- E. Community Custody Violator (CCV) files may be created and maintained for all violators who serve confinement time at a Department facility.
- F. County Jail Boarder (CJB) files may be created and maintained for all CJBs serving time in a Department facility.
1. If the individual is sentenced to Prison, the documents will become part of the central file.
 2. File material for CJBs housed at a Reentry Center who have an active field supervision file will be forwarded to the location of the Field file.
- G. The Indeterminate Sentence Review Board (Board) will maintain files in the Board electronic database for individuals under their jurisdiction per RCW 9.95.140.
1. Department employees may request access to file material through the Board mailbox at isrb@doc1.wa.gov.
- H. Electronic files will be maintained for all individuals admitted to a Department facility or supervised by the Department.

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1. The following information will not be entered in an individual'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. Content of recent communications with/from victims or others with safety concerns, and
 - e. Actual addresses for Address Confidentiality Program participants.

- 1) For individuals participating in the Address Confidentiality Program, electronic files will contain designated substitute addresses per RCW 40.24.


2. Personal identifying information of victims (e.g., names, current addresses and telephone numbers) will only be entered in the individual's electronic file if the information is included in a court or Department-ordered condition.

- a. Victim Services Program employees will enter community concerns and may enter a protected Chronological (chrono) entry in the individual's electronic file to document a victim's name(s), contact information, and detailed concerns.


- I. For Prisons and Reentry Centers, chrono entries will be made no later than 72 hours after an event or action.
- 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 individual in total or partial confinement, a records employee will update the Warrant Detainer Status screen of the individual's electronic file to include all warrants.

III. Auditing Files

- A. The CRS/designee at the parent facility will audit the individual's central file using pages 1 and 2 of DOC 01-010 Audit Checklist - Central File within 4 weeks after:

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1. Initial classification and transfer to an initial parent facility,
 2. Upon assignment to remain at the reception facility, or
 3. Upon receipt of new information that impacts the sentence structure.
- B. If the Earned Release Date (ERD) or Maximum Expiration (MaxEx) date is adjusted as the result of an audit or receipt of new information, the Correctional Records Technician (CRT) will notify the individual, case manager, and the Board, if applicable, of the change and the reason for the change
- C. Sentence Structure Audits
1. Immediately following sentence structure entry, the CRS/designee will use one of the following, as appropriate, to audit the sentence structure:
 - a. DOC 01-018 Initial Sentence Structure Entry Checklist - Prison
 - b. DOC 01-019 Initial Sentence Structure Entry Checklist - Non Prison
 - c. DOC 01-020 Initial Sentence Structure Entry Checklist - Non-Prison SSOSA
- D. If an individual has a Residential Drug Offender Sentencing Alternative (DOSA) revoke, Prison DOSA reclassification, Community Custody Prison (CCP) return, or Community Placement (CP) termination in the period of incarceration:
1. The Revoke Return Unit will complete a credit calculation to determine the number of days owed in confinement for that cause.
 - a. Only the Revoke Return Unit can determine or make any changes to the number of confinement days owed.
 2. The facility CRT/CRT Lead will check to see if a sentencing review/ modification was completed and documented as a chrono entry in the individual's electronic file.
 - a. If no chrono can be found or the sentence modification is unclear, a review request will be sent to docrevokereturn@doc.wa.gov.
- E. No more than 60 days before the ERD, a CRT/CRT Lead will audit the individual's central file using pages 1 and 2 of DOC 01-010 Audit Checklist - Central File.
1. When the release date is confirmed, an audit will be completed using page 3 of the audit checklist by a CRT/CRT Lead/CRS/RMS who has not previously audited the file except at stand-alone minimum facilities when only one records employee is on duty at the time of release.

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2. When the release audit is completed, the CRS/designee will conduct a final supervisory audit using the audit checklist.


- F. Within 2 weeks after transfer to partial confinement, the CRS/designee will audit the individual's central file using page 1 and 2 of DOC 01-010 Audit Checklist - Central File.
- G. Within 2 weeks after transfer for an individual on community custody supervision, the Regional CRS/designee for the receiving office will audit the individual's central file using DOC 01-013 Central File - Field Intake Audit Checklist.

IV. File Transfers

- A. Any time the central file or 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 individual's electronic file.
- B. When an individual is transferred from Prison to partial confinement or community custody supervision:
 - 1. The central file will be sent to the Regional CRS within 72 hours of the transfer.
 - 2. The health record will be transferred with the individual to the layover facility. The layover facility will hold the file for 30 days, and then send it to the Regional CRS.
- 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.
 - 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 individual's original transport.

V. Confidentiality

- A. Files will be maintained in locking file cabinets or in a secure office to ensure 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 individuals or aggregated data may be made available to criminal justice partners as needed and/or prescribed by RCW 10.98.

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C. Information from any Department information source (e.g., OMNI, electronic imaging file, Board, 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 information in a manner that violates Department policy will be subject to disciplinary action, up to and including dismissal and/or criminal prosecution.

D. Before the release of information, the individual must sign the appropriate release of information consent form when applicable, which will be maintained in the individual's electronic file.

1. Facilities and offices will use DOC 09-242 General Authorization for Release of 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.

VI. Archiving, Retention, and Destruction

A. Files will be retained per the Records Retention Schedule and archived per the Archiving Files Process on the Records SharePoint site or disposed of upon an individual'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 Files.

a. The completed checklist will be emailed to 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 and placed in box #1.

2. Field supervision files will be archived per DOC 280.530 Supervision Files.

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- a. For individuals 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. Resident files will be shredded after the retention period has ended.
4. CCV/CJB files will be scanned into the individual's electronic imaging file and shredded upon the individual'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:

Central File Composition (Attachment 1)

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 Files
- DOC 01-018 Initial Sentence Structure Entry Checklist - Prison
- DOC 01-019 Initial Sentence Structure Entry Checklist - Non Prison
- DOC 01-020 Initial Sentence Structure Entry Checklist - Non-Prison SSOSA
- DOC 02-243 Notice of Continued Obligations/Restrictions
- DOC 05-799 Release of Body
- DOC 06-070 Mandatory Savings Account Exemption
- DOC 09-242 General Authorization for Release of Information
- DOC 13-035 Authorization for Disclosure of Health Information
- DOC 13-402 Medical Reporting of Patient Death
- DOC 14-047 Medication Log - Reentry Center
- DOC 14-172 Substance Abuse Recovery Unit Compound Release of Confidential Information
- DOC 20-073 Standard Rules