



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
FIELD

REVISION DATE
9/29/21

PAGE NUMBER
1 of 4

NUMBER
DOC 280.530

POLICY

TITLE

SUPERVISION FILES

REVIEW/REVISION HISTORY:

Effective: 10/16/01
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 Revised: 7/2/19
 Revised: 9/29/21

SUMMARY OF REVISION/REVIEW:

II.B., II.B.1., III.A., III.A.5.a., III.B., and IV.B. - Updated terminology
 I.B. - Adjusted language for clarification
 Removed I.B.1. tolling per policy


APPROVED:

Signature on file

CHERYL STRANGE, Secretary
 Department of Corrections

9/14/21

 Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; DOC 350.380 Discharge and Closure of Supervision; DOC 380.605 Interstate Compact; [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.
 - C. Field files for individuals on inactive status because they are serving confinement time in a Department facility for a subsequent conviction, are out of state, or are in a different jurisdiction for more than 60 days will be maintained on "S" (i.e., supervisor) caseloads.
 - 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 "W" (i.e., warrant) caseloads.
 - 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.
 - 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. Items not listed will be purged at 12 month intervals.

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- B. The case manager will ensure that all actions are completed before transferring or closing the file.
 - 1. Before transferring a file to an inactive caseload, the case manager and office support will complete the Transfer to Banked Caseload section of DOC 07-047 Inactive Caseload Transfer/Review Checklist.
- 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.
- D. When an individual transfers under Interstate Commission for Adult Offender Supervision (ICAOS) guidelines, the Field file with active Field causes will be maintained in the office assigned to the out-of-state case.

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.
 - 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 the individual.
 - a. The case manager will:

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- 1) Document the death by placing a copy of the death certificate or notice from the appropriate agency in the file.
- 2) 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, after which they will be sent to the State Records Center to be archived per the Records Retention Schedule.
 1. Files will be prepared for archiving using DOC 01-014 Field File Archive Checklist, which will be forwarded to the Statewide Records Correctional Justice Center per the Records Retention Schedule and the established archive process.
- 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 07-047 Inactive Caseload Transfer/Review Checklist
 DOC 09-117 Board-Special
 DOC 09-124 Court-Special