

Idaho Department of Correction 	<b>Standard          Operating          Procedure</b>  <b>Division of          Management          Services</b>  <b>General          Administration</b>	<b>Control Number:</b> 120.03.05.002	<b>Version:</b> 2.1	<b>Page Number:</b> 1 of 12
		<b>Title:</b> Central and Medical Files: Control, Maintenance and Disposition of		<b>Adopted:</b> 6-11-2008  <b>Reviewed:</b> 3-24-2010  <b>Next Review:</b> 3-24-2012

This document was approved by Tony Meatte, chief of the Division of Management Services, on 3/24/10(signature on file).

#### BOARD OF CORRECTION IDAPA RULE NUMBER

[None](#)

#### POLICY STATEMENT NUMBER 120

[Control, Maintenance, and Disposition of Case Management and Medical Files](#)

#### POLICY DOCUMENT NUMBER 120

[Control, Maintenance, and Disposition of Case Management and Medical Files](#)

#### DEFINITIONS

[Standardized Definitions List](#)

**Case Management File:** An approved collection of legal documents, reports, submissions, statements, and support materials used in making decisions about an inmate (offender), parolee, or probationer regarding classification, treatment, programming, management, and parole or clemency.

**Custodian of Records:** The IDOC employee responsible for the custody of, control of, or authorized access to an IDOC record(s).

**Facility:** A building or residence--including the property and land where the building or residence is located--owned, leased, operated, or managed by the Board or Department.

**Facility Head:** The person primarily responsible for overseeing, managing, or operating a Department facility.

**History Files:** Files that have been retired due to the offender completing his sentence.

**Offender:** A person under the legal care, custody, supervision, or authority of the Board--including a person within or without the State of Idaho pursuant to agreement with another state or contractor.

**Offender Information Management Oversight Committee:** A committee chaired by the manager of the IDOC Central Records Unit and composed of a representative from each IDOC division, the Commission of Pardons and Parole, and a Deputy Attorney General for the purpose of overseeing the management of IDOC offender records.

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**Offender System:** A common term used for the Department's Corrections Integrated System (CIS) and Reflections, which are computer databases used for the tracking of offenders.

**Parolee:** An offender who (1) is released from a facility by the paroling authority prior to the completion of his sentence, (2) agrees to comply with certain conditions established by the paroling authority, and (3) remains under the control of a probation and parole officer (PPO) for the established period of supervision.

**Probationer:** An offender who the courts allow to continue to live and work in the community--instead of being sent to prison--while being supervised by a probation and parole officer (PPO) for an established period of time.

**PRTRANS Form:** A one (1) page report, generated by the Offender System, that is part of the *IDOC Prisoner in Transit Packet*.

**State Record Center:** A unit within the Idaho Department of Administration that provides records management services to state agencies to include records management consultation, storage and rotation records, and the output of records to microfilm.

**Supervising District:** The Division of Community Corrections district responsible for supervising the probationer or parolee.

## PURPOSE

The purpose of this standard operating procedure (SOP) is to develop procedures to ensure that offenders' central and medical files are consistently maintained. These procedures will ensure:

- Confidentiality,
- The availability of files for individual case analysis,
- Protection against unauthorized access and/or removal of files, and
- The proper maintenance and retirement of files.

## SCOPE

This SOP applies to any Idaho Department of Correction (IDOC) employee who is authorized to have access to the types of central and medical files described herein.

## RESPONSIBILITY

### **Director of IDOC and Division Chiefs**

The director of IDOC and chiefs of the Divisions of Prisons, Community Corrections, Education and Treatment, and Management Services are responsible for overseeing and monitoring the provisions provided herein.

### **Custodians of Records**

Custodians of records shall be responsible for implementing and following the procedures provided herein.

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## GENERAL REQUIREMENTS

**Note:** For the purpose of this SOP only, the “case management file” shall also be known as the “central file.”

### 1. Confidentiality of Central Files

In accordance with the *Health Insurance Portability & Accountability Act (HIPAA) of 1996* (Public Law 104-191), an IDOC offender has a right to understand and control how his health information is used. Therefore, the IDOC considers an offender’s central file to be confidential. However, the IDOC also has a requirement to fill requests for the central file or any portion of the file pursuant to the Idaho Public Records Law (Idaho Codes 74-101 thru 74-126). As a result, staff shall follow the following guidance to determine which records may be disclosed:

- Department Manual, [Disclosure of Idaho Department of Correction Records under the Idaho Public Records Act](#);
- Department Policy [108](#), *Public Access to Records*;
- IDAPA 06.01.01, *Rules of the Board of Correction*, [Section 108](#), Idaho Public Records Act; and
- Idaho Criminal Rule (I.C.R) 32, *Standards and Procedures Governing Presentence Investigations and Reports*.

Information contained in central files shall not become the topic of conversation other than for professional purposes among staff. Under no circumstances shall the contents of an offender’s file be discussed with **or** disclosed to any other offender.

### 2. Security of Central Files

- Wardens, administrators, and district managers shall designate a custodian of record (i.e., records custodian) to be responsible for the maintenance and accountability of central files. (**Note:** For official records custodians, see IDAPA 06.01.01, *Rules of the Board of Correction*, Section [108](#), Idaho Public Records Act.)
- Central files shall be (a) accessible only to approved staff, (b) locked in filing cabinets **or** in a locked room, and (c) maintained in numerical order in all facilities. (**Note:** Central files maintained at NICI, the CWCs, and district office may be maintained alphabetically **or** numerically.)
- Central files shall not be taken out of a facility, office, or unit without the approval of the custodian of record (or designee).
- The staff member who checks out the file(s) from the filing cabinet(s) **or** locked room shall be responsible for the security and return of the file(s). (**Note:** Central files shall not be maintained in inappropriate places where physical damage is likely to occur.)
- Central files shall not be checked out by one (1) individual and then given to another.
- The individual who checks out the central file(s), or users of the file(s), shall not handle the file(s) carelessly and shall not leave the file(s) in open view.
- **Each facility or district office shall use the *offender file location* link in the Corrections Integrated System (CIS) to record the movement of an offender’s**

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**file when moving from an IDOC facility or district office to an IDOC facility or district office. For further assistance with CIS, see your designated super user.**

- Central files must be checked in and returned to the locked filing cabinet **or** locked room every day. If it becomes necessary to keep files overnight, permission must be obtained from the records custodian. (**Note:** Permission may be granted only if the security of the files can be assured.)
- Central files shall be made available to IDOC and the Commission of Pardons and Parole staff members who require the files for purposes within the scope of their duties and responsibilities. (**Note:** Anyone who requests copies of a central file or record for personal reasons must submit a public records request to the records custodian in accordance with Department manual, [Disclosure of Idaho Department of Correction Records under the Idaho Public Records Act](#).)
- The manager of the Central Records Unit (located at Central Office) must approve access to a central file being requested by a non-IDOC facility employee (e.g., a contract drug and alcohol treatment provider). (See appendix A, *Memorandum of Understanding Regarding Pre-sentence Investigation Reports*.)
- Lost central files or any problems arising out of this SOP shall be reported immediately to the manager of the Central Records Unit after the following steps have been taken.

**Lost File Process Steps**

<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks CIS steps are in bold</b>
Custodian of Records	<b>1</b>	<b>Query the Corrections Integrated System (CIS) to see where the file was logged last.</b>
Custodian of Records	<b>2</b>	<ul style="list-style-type: none"> <li>• <u>If the file was last logged at <b>your</b> facility, office, or unit</u>, send an email to only those staff members working in your facility, office, or unit, asking if they have the file.</li> <li>• <u>If the file was last logged at <b>another</b> facility, office, or unit</u>, send an email to only those staff members working in both your facility, office, or unit <b>and</b> the other facility, office or unit, asking if they have the file.</li> </ul>
Custodian of Record	<b>3</b>	After the appropriate facilities, offices, or units have been contacted and the file still cannot be located, contact the Central Records Unit to see if they have the file.

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<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks</b> <b>CIS steps are in bold</b>
<b>Central Records Unit Manager (or designee)</b>	<b>4</b>	If the file is not in your unit, the next course of action is at your discretion (e.g. to send additional emails throughout the Department.).

For further assistance with CIS, see your designated CIS super user.

### 3. Creation of the Central File

A central file is created when a certified court order is received that grants the IDOC custody, supervision, and/or jurisdiction of the offender.

- Reception/Diagnostic Unit (RDU) facilities will create the central file for offenders sentenced to incarceration.
- The supervising district will create the central file for offenders sentenced to probation supervision.
- The Central Records Unit will create the central file when an offender, who is under the jurisdiction of another state, is brought to Idaho and charged for a crime committed in Idaho, and returned to the state that holds jurisdiction.
- An IDOC number shall be assigned to any offender that does not have a previously assigned IDOC number. (**Note:** The IDOC number shall follow the offender throughout any period of custody/supervision. If it is discovered that an offender has more than one [1] active IDOC number, notify the Central Records Unit.)
- To ensure the same information is shared within different divisions of the IDOC and the Commission of Pardons and Parole, there shall be only one (1) active central file for each offender, parolee, or probationer.
- The central file shall be created using a legal-size, compartmentalized file folder containing six (6) sections. (See appendix B, [Central File Contents](#).)
- The last name (typed or printed in uppercase letters), first name (typed or printed in upper and lowercase letters), middle name **or** middle initial (if known), and IDOC number shall be placed on the tab of the central file. (**Note:** All information will need to be on one [1] line. Do not place decimals in the offender number.)
- The records described in appendix B shall be placed in the central file.

#### **Process Steps**

<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks</b> <b>CIS steps are in bold</b>
<b>RDU Staff Member</b> or <b>Supervising District Staff Member</b> or <b>Central Record Unit Staff Member</b>	<b>1</b>	Create the central file for all offenders as identified in <a href="#">section 3</a> of this standard operating procedure (SOP).

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<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks</b> <b>CIS steps are in bold</b>
RDU Staff Member or Supervising District Staff Member or Central Records Unit Staff Member	2	<p><b>Create a central file record in the Corrections Integration System (CIS). (Note: RDU and supervising district staff members create only the central file record. The medical file record will be created by the medical staff.)</b></p> <ul style="list-style-type: none"> <li>• Under the <i>file location</i> link, log the creation of the central file record by entering the <i>received by</i>, <i>received date</i>, <i>file location</i> (e.g., where the file is being received), and the <i>reason</i>.</li> </ul>

For further assistance with CIS, see your designated CIS super user.

#### 4. Contents of the Central File

**Note:** To ensure confidentiality, also see [section 1](#) of this SOP.

The contents of the central file include legal documents, reports, submissions, statements, and support documents used in making decisions about the following:

- An offender, pre-parolee, parolee, or probationer regarding classification, treatment, programming, management; and
- Parole or clemency.

**Note:** Any pictures or depictions of child pornography that are included as attachments to the Pre-sentence Investigation Report shall **not** be included in the central file.

The contents of the central file, the order of placement, and the assigned file sections can be found in appendix B, [Central File Contents](#). (**Note:** Only the primary documents have been listed. For documents that have not been listed, please contact the Central Records Unit for the placement instruction.)

##### **Medical Problem List**

- The records custodian shall coordinate receipt of the medical problem list.
- The list will be placed in every central file leaving an institution or CWC going to a district office.
- The list may be required for request for information (RFI) packets, temporary files, transfer files, etc.
- The list shall be dated.

##### **Psychological Reports**

A copy of each psychological report completed while an offender is incarcerated will be placed in the medical file.

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### **Case Notes**

With the exception of in-state IDOC-contracted correctional facilities (such as the Idaho Correctional Center [ICC]), IDOC facilities no longer creates team case management (TCM) files but some are still in circulation.

When a TCM file is still in circulation, staff may transfer the case notes from the TCM file to the central file (does not apply to in-state IDOC-contracted correctional facilities). However, before transferring any case notes from the TCM file to the central file, staff will obtain supervisor approval. If approval is given to transfer the case notes to the central file, supervisors must also verify that the TCM file is completely free of case notes **and** all were transferred to the central file. Once the TCM file is verified to be free of case notes, the TCM file can be destroyed (does not apply to in-state IDOC-contracted correctional facilities).

**Note: In any event, staff shall never destroy case notes or TCM files that contain case notes.**

### **For Civil Commitments**

Central files for civilly committed individuals shall contain:

- A written order or agreement to house the civil commitment;
- A narrative of the designated examiner's interview; and
- A copy of the discharge document

At discharge or release of the civil commitment, only demographic information **and** the written order to commit and discharge shall be maintained in the file. Place all remaining documents into the civil medical file.

### **Expanding Approved Contents for the Central File**

Documents new to the central file (e.g., a new form) must be approved. The approval process includes the following:

- A written request approved by the facility head or district manager,
- Submission to the manager of the Central Records Unit, and
- The approval of the Offender Information Management Oversight Committee.

## **5. Exceeding Physical Limits of the Central File**

There are two (2) primary causes for the central file to exceed the physical limits of the file folder:

- Voluminous presentence investigations with attachments, and/or
- Long-term offenders.

To avoid the potential loss of documents, an additional file(s) may be created. The additional file(s) shall be identified, for example, as part 1 of 2 and part 2 of 2 **or** part 1 of 3, part 2 of 3, and part 3 of 3 (so forth and so on). Advice regarding file division may be obtained from the manager of the Central Records Unit.

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## 6. Expunging, Sealing, or Removing a Document from the Central File

Permanent removal of a document from a central file must be

- Authorized by the manager of the Central Records Unit, **or**
- Removed according to an established retention schedule.

An order to expunge **or** seal a record received from a court **or** other constituted authority is to be given to the manager of the Central Records Unit for action.

## 7. Movement of the Central and Medical Files

In principle, the central file moves simultaneously with the offender when the offender makes a permanent move **from** an IDOC facility or district office **to** an IDOC facility or district office.

- Files shall move as outlined in appendix C, *File Movement Matrix*.
- Files of offenders placed in contract bed facilities shall be forwarded to Central Records Unit unless otherwise specified.
- A *File Transfer Sheet* (appendix D) shall be placed on top of each file moving from one (1) location to another.
- **Files shall be logged into CIS, under the *offender file location* link, by the records custodian to record the movement of all central files leaving or entering a facility or district office. For further assistance with CIS, see your designated super user.**
- Hand-written logs shall be stored for a three (3) year period. (**Note:** Further maintenance and storage of the logs shall be at the discretion of the records custodian.)

### ***Medical Files***

- The medical file shall remain at the IDOC facility housing the offender.
- When the offender goes on probation or parole, the medical file shall **not** be sent to a district office. (**Note:** Medical file movement is outlined in appendix C, *File Movement Matrix*.)
- When the offender is placed in a contract bed facility, the medical files shall be forwarded to the Central Records Unit unless otherwise specified. (See appendix C.)

### ***Transferring Files***

#### **Temporary Transfers Requiring an Overnight Stay**

If an offender is moved temporarily to an IDOC facility **or** to a non-IDOC facility **and** the movement requires an overnight stay, an IDOC Prisoner in Transit Packet (See appendix C, *File Movement Matrix*, paragraph 3) must be prepared and sent to the temporary location.

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### **Out-of-State Transfers**

If an offender is transferred to an out-of-state contract bed facility, an Out-of-State Transfer File (See appendix E, *Transfer Files for Out-of-State Transfers*) must be prepared and sent to the housing facility.

### **Retiring and Maintaining Files**

The Central Records Unit is responsible for the retirement and maintenance of the central, medical, and TCM files (if available) for offenders incarcerated in IDOC facilities.

- Until the IDOC develops a maintenance and retention guide that is specific to IDOC records and files, the Central Records Unit shall use the State of Idaho's [Records Management Guide](#) as a procedural model. Therefore, the Central Records Unit will send all inactive files (i.e., files of offenders who have been released from IDOC custody or supervision) to the State Record Center to be stored for a period of 15 years. After the 15 year period, the inactive files will be sent to State Archives for permanent retention.
- With the exception of the files of sex offenders who are required to register, the central files of offenders who have **not** served facility time shall be placed in the inactive (dead) files of the sentencing district. (**Note:** The files shall be maintained for two [2] years. If the probationer returns to IDOC custody within those two [2] years, the file shall be reactivated. If the probationer does not return to IDOC custody within those two [2] years, the files shall be destroyed.)
- The probation file of sex offenders requiring registration will be sent to the Central Records Unit to retire to the State Record Center. (Appendix D, *File Transfer Sheet*, shall be used for these files.)

**Note:** When retiring TCM files, also see [section 4](#), subsection titled 'case notes'.

### **Requesting History Files**

- History files may be requested by contacting the Central Records Unit.
- The "history" central file serves as a resource and shall **not** be incorporated into another existing file.
- The history medical file may be merged with the current medical file.

### **Process Steps: Transferring or Retiring Files**

<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks</b> <b>CIS steps are in bold</b>
<b>Transferring Staff Member</b>	<b>1</b>	If a file transfer is required due to the offender's release or transfer to a facility or district, locate the central file. ( <b>Note:</b> Medical files are transferred by authorized medical staff and are not sent to district offices. See appendix C, <i>File Movement Matrix</i> .)

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<b>Functional Roles and Responsibilities</b>	<b>Step</b>	<b>Tasks</b> <b>CIS steps are in bold</b>
Transferring Staff Member	<b>2</b>	<p><b>Process the file transfer in the Corrections Integration System (CIS) by doing the following:</b></p> <ul style="list-style-type: none"> <li>• Under the <i>file location</i> link, log the movement of the file by entering the <i>sent by, sent date, file location</i> (e.g., the facility or district office transferring the file), and the <i>reason</i>.</li> </ul>
Transferring Staff Member	<b>3</b>	Place a <i>File Transfer Sheet</i> (appendix D) on top of the file, and package the file for transport to the new facility, district office, or Central Records Unit.
Transferring Staff Member	<b>4</b>	Send the file with the “appropriate” transport source (e.g., if appropriate, send the file with the offender on the transport bus).
Receiving Staff Member	<b>5</b>	<p><b>When the file arrives from the sending facility, district office, or Central Records Unit, process receipt of the file.</b></p> <ul style="list-style-type: none"> <li>• Under the <i>file location</i> link, log the movement of the file by entering the <i>received by, received date, file location</i> (e.g., the facility, district office, or Central Records Unit receiving the file), and the <i>reason</i>.</li> </ul>
Receiving Staff Member	<b>6</b>	Store the file in a secure location within facility, district office, or Central Records Unit.

**For further assistance with CIS, see your designated CIS super user.**

## **8. Monitoring**

- The records custodian at the facility or district office shall maintain and move central and medical files as outlined in this SOP.
- Documents, reports, submissions, etc. for the central and/or medical file shall be placed into the file prior to transferring or moving the file. (**Note:** Documents, reports, submissions, etc. for the central file shall be placed on the prongs in the appropriate section of the file [see appendix B, [Central File Contents](#)]).
- Each IDOC work unit maintaining offender files shall conduct an annual inventory of active files against an Offender System-generated roster of offenders assigned to that work unit. (**Note:** Monthly inventories are suggested. Discrepancies shall be investigated and reconciled.)

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- The manager of the Central Records Unit shall audit compliance with this SOP in accordance with appendix F, *Audit of the Central File*.

## 9. Clarification

For clarification of central file issues not covered in this SOP contact the manager of the Central Records Unit located at Central Office.

## REFERENCES

Appendix A, *Memorandum of Understanding Regarding Pre-Sentence Investigation Reports (Aka Rule 32 Letter)*

Appendix B, *Central File Contents*

- [Appendix B \(Labels\)](#)

Appendix C, *File Movement Matrix*

Appendix D, *File Transfer Sheet*

Appendix E, *Transfer Files for Out-of-State Transfers*

Appendix F, *Audit of the Central File*

Department Manual, [Disclosure of Idaho Department of Correction Records under the Idaho Public Records Act](#)

Department Policy [108](#), *Public Access to Records*

Idaho Code, Section 20-224, *Information Regarding Prisoners to be Secured*

Idaho Code, Section 20-226, *Records of Prisoners*

Idaho Code, Section 20-243, *Delivery of Convicted Persons to Penitentiary or Board—Copy of Commitment—Receipt for Delivery of Prisoner*

Idaho Codes, Sections 74-101 thru 74-126 (Idaho Public Records Law)

Idaho Criminal Rule (I.C.R) 32, *Standards and Procedures Governing Presentence Investigations and Reports*

IDAPA 06.01.01, *Rules of the Board of Correction*, Section [108](#), Idaho Public Records Act.

Public Law 104-191, *Health Insurance Portability & Accountability Act (HIPAA) of 1996*

State of Idaho, Department of Administration, *Records Management Manual*

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**IDAHO DEPARTMENT OF CORRECTION**  
**Memorandum of Understanding Concerning Pre-sentence Investigation Reports**  
**(Aka Rule 32 Letter)**

The Idaho Department of Correction (IDOC) has access to pre-sentence investigation reports (hereinafter PSI) for each offender committed to the custody of the Board of Correction by an Idaho court pursuant to Idaho Criminal Rule 32. Rule 32 also provides for strict confidentiality of the PSI and the information contained therein. Violation of Rule 32 may subject the violator and the IDOC to sanctions for contempt of court.

As a provider of services to the IDOC, you may have access to an offender's PSI and the information contained in it. This Memorandum of Understanding governs such access.

1. Access to the PSI and the information therein is only allowed as needed to fulfill the duties and responsibilities under your contract or agreement with the IDOC. If there is no legitimate penological need for the information in the PSI, do not read it or request to read it. This principle applies equally to IDOC employees, so do not assume that an IDOC employee is always utilizing the information from a PSI in an authorized manner.

2. If you have obtained information contained in a PSI, you may not share that information with or disclose it to anyone outside of the IDOC. You may disclose the information from the PSI to employees of the IDOC only as necessary to fulfill the duties and responsibilities under your contract or agreement with the IDOC. Information from the PSI should rarely, if ever, be given to an offender. An offender must obtain a court order to review his or her own PSI.

3. If you prepare a report or other document that is based upon information obtained from the PSI, you may not release that report or document to anyone outside of the IDOC until and unless the information in your report that is obtained from the PSI is redacted. The report or document may be released within the IDOC only to those persons who have a legitimate need for the information obtained from the PSI and only to the extent necessary to fulfill the duties and responsibilities under your contract or agreement with the IDOC.

4. If you retain employees or sub-contractors to fulfill the duties and responsibilities under your contract or agreement with the IDOC, it is your responsibility to ensure that each of them has read and understood this Memorandum.

5. You and each of your employees and sub-contractors are responsible to know, understand, and follow the IDOC Rules, Policy, Procedure, and Division Directives governing access to offender information and records.

I HAVE READ AND FULLY UNDERSTAND THE FOREGOING MEMORANDUM AND AGREE TO ABIDE BY ITS TERMS AND CONDITIONS.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

\_\_\_\_\_  
Signature of Contractor or Service Provider

\_\_\_\_\_  
IDOC Contract Number

\_\_\_\_\_  
Print Name

**IDAHO DEPARTMENT OF CORRECTION  
File Movement Matrix**

1. All files (C-File, TCM File, and Medical File) will be in clearly labeled envelopes or boxes.
2. A file transfer sheet will be completed and taped to the outside front cover of the file (appendix D).
3. If an inmate is moved temporarily to an IDOC facility or county jail, an IDOC Prisoner in Transit Packet will be prepared and sent to the temporary location. The packet will include:
  - A. Copy of the *PRTTRANS* form (listed in the *movement menu* of the Offender System) including attachments listed on *Prisoner in Transit* form.
  - B. Any other document(s) that is pertinent to the safe overnight housing of the inmate. (**Note:** "Other documents" refer to the current Admission Summary, Escape Flyer, Time Computation Report, Scar and Tattoo Sheet, and a photograph.)
4. If an IDOC offender is transferred to an out-of-state facility, an out-of-state transfer file shall be created and sent with the inmate. (See appendix E for file contents and instructions.)

<b>Files Sent from a District (to include all filing)</b>	<b>Files Move From</b>	<b>Files Move To</b>	<b>Special Conditions</b>
<b>Probation Violation Resulting in Incarceration</b> <i>C-File</i>	District Office	Appropriate RDU facility	Day of sentencing to incarceration, also upon request of RDU facilities.
<b>Parole Violators – Non Absconder</b> <i>C-File</i>	District Office	Appropriate RDU facility	Day end of on-site hearing <b>or</b> immediately if on-site hearing is waived <b>or</b> if offender is transported to an IDOC facility.
<b>Parole Violators – Absconder</b> <i>C-File</i>	District Office	Appropriate RDU facility	Upon issue of Commission warrant. File is required for NCIC entry.
<b>Probationers Discharges/Death</b> (Having time in an IDOC facility or a sex offense requiring registration. Includes interstate probation.) <i>C-File</i>	District Office	Central Records Unit	Week of discharge. (In the event of a death, the PPO shall include a death certificate <b>or</b> official documents pronouncing death [e.g., a death notice, obituary, letter from the coroner, or news article].)
<b>Probationers Discharges/Death</b> (No time in IDOC facility and no sex offense requiring registration. Includes interstate probation.) <i>C-File</i>	District Office	Sentencing district's dead files	Per CCD policy. (In the event of a death, the PPO shall include a death certificate <b>or</b> official documents pronouncing death [e.g., a death notice, obituary, letter from the coroner, or news article].)
<b>Parolee Discharge</b> (Having time in an IDOC facility or a sex offense requiring registration. Includes interstate parole.) <i>C-File</i>	District Office	Central Records Unit	Upon placement of gold seal discharge in C-File.
<b>Parolee Death</b> <i>C-File</i>	District Office	Central Records Unit	Within four (4) weeks following death, but only if the gold seal has been placed into the file. (Also requires death certificate <b>or</b> official documents pronouncing death [e.g., a death notice, obituary, letter from the coroner, or news article].)
<b>Deported Parolee</b> <i>C-File</i>	District Office	District Office	File remains active until the Commission for Pardons and Parole issues a gold seal.
<b>Interstate Parole</b> (No time in IDOC facility and no sex offense requiring registration.)	District Office	District dead files	Per CCD policy.
<b>Court Probation</b> <i>C-File</i>	Supervising District	Sentencing District	Per CCD policy.
<b>Probation Violator as an Intrastate Case</b>	District supervising the intrastate case when the bench warrant is received	District where the bench warrant was issued	Within one (1) week.

<b>Files Sent from an Institution (to include all filing)</b>	<b>Files Move From</b>	<b>Files Move To</b>	<b>Special Conditions</b>
<b>RIDER Ends with Probation Recommendation</b> <i>C-File</i>	IDOC Facility	Sentencing District	Day of move from facility.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of move.
<b>RIDER Ends with Retention Recommendation</b> <i>C-File</i>	IDOC Facility	Appropriate RDU Facility	Day of move from facility.
<i>Medical File</i>	IDOC Facility	Appropriate RDU Facility	Within 60 days of move.
<b>TERMER TRANSFERRED TO OUT-OF-STATE CONTRACT BED</b> <i>C-File</i>	IDOC Facility	Central Records Unit	Day of move from facility.
<i>Medical File</i>	IDOC Facility	Out-of-State Facility	Temporary inmate file (see appendix E) and medical file to be transported with offender.
<b>TERMER PAROLES to CCD District</b> <i>C-File</i>	IDOC Facility	District Office	Day of parole.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of move.
<b>TERMER PAROLES to other than CCD</b> <i>C-File</i>	IDOC Facility	Central Records Unit	Day of parole.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of move.
<b>TERMER TO PROBATION on all active cases</b> <i>C-File</i>	IDOC Facility	Sentencing District	Day of move from facility.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of move.
<b>INMATE TO COUNTY JAIL Security Hold or Court Ordered Temp</b> <i>All Files</i>	Remain at the facility as long as security hold <b>or</b> court temp	Remain at the facility as long as security hold <b>or</b> court temp	<u>IDOC Prisoner in Transit Packet</u> to Jail with transport. ( <b>Note:</b> See page one [1] of this appendix.)
<b>INMATE TO SPECIAL HANDLING</b> <i>All Files</i>	IDOC Facility	Central Records Unit	Day of Transport.
<b>INMATE TO COUNTY JAIL for Jail Housing</b> <i>Male Inmate Files</i> <i>All Files</i>	IDOC Facility	Central Records Unit	<u>IDOC Prisoner in Transit Packet</u> to Jail with transport. ( <b>Note:</b> See page one [1] of this appendix.)
<b>Female Jail Housing (Includes all counties except Ada)</b> <i>All Files</i>	IDOC Facility	PWCC	Day of transport.
<b>Female Ada County Jail Housing</b> <i>C-File</i>	IDOC Facility	Central Records Unit	<u>IDOC Prisoner in Transit Packet</u> to Jail with transport. ( <b>Note:</b> See page one [1] of this appendix.)
<i>Medical File</i>	IDOC Facility	Central Office Medical Unit	Day of Transport.
<b>INMATE TO ADA COUNTY WORK RELEASE</b> <i>C-File</i>	IDOC Facility	Central Records Unit	<u>IDOC Prisoner in Transit Packet</u> to Jail with transport. ( <b>Note:</b> See page one [1] of this appendix.)
<i>Medical File</i>	IDOC Facility	SICI Medical	Day of Transport.

<b>Files Sent from an Institution (to include all filing)</b>	<b>Files Move From</b>	<b>Files Move To</b>	<b>Special Conditions</b>
<b>FINAL DISCHARGE</b> <i>C-File</i>	IDOC Facility	Central Records Unit	Within two (2) weeks of discharge.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of discharge.
<b>DECEASED</b> <i>C-File</i>	IDOC Facility	Central Records Unit	Within four (4) weeks following death. (Requires official notification of death, such as a death certificate, death notice, obituary, letter from the coroner, or news article.)
<i>Medical File (Step 1)</i>	IDOC Facility	Central Office Medical Unit	Make copies of medical documents for facility use. Send file the same working day for review to the health authority. (See SOP <a href="#">401.06.03.011</a> , <i>Death: Procedure in the Event of an Offender's.</i> )
<i>Medical File (Step 2)</i>	Central Office Medical Unit	Central Records Unit	The health authority will return to the Central Records Unit when the review is completed.
<b>Escape</b> <i>C-File</i>	IDOC Facility	Central Records Unit	Within two (2) weeks of escape.
<i>Medical File</i>	IDOC Facility	Central Records Unit	Within 60 days of escape.
<b>Non-IDOC Inmate Return to Sentencing State</b> <i>All Files (Step 1)</i>	IDOC Facility	Central Records Unit	C-file: Within two (2) weeks following discharge. Medical file: Within 60 days following discharge.
<i>All Files (Step 2)</i>	Central Records Unit	State Record Center	

**IDAHO DEPARTMENT OF CORRECTION  
File Transfer Sheet**

FROM: \_\_\_\_\_ TO: \_\_\_\_\_ DATE: \_\_\_\_\_

OFFENDER NAME: \_\_\_\_\_ NUMBER: \_\_\_\_\_

<b>FILES SENT FROM AN INSTITUTION OR COMMUNITY WORK CENTER TO:</b>			
<input checked="" type="checkbox"/>	INSTITUTION/CWC	<input checked="" type="checkbox"/>	CENTRAL RECORDS
	Transfer (Institution to Institution)		Sentence Discharge (Gold Seal)
	RDU Facility- Retained Jurisdiction With Drop Jurisdiction Recommendation		Parole Interstate Compact or Detainer
<input checked="" type="checkbox"/>	DISTRICT		Parole Re-Instatement And Discharge
	Parole – (In-State)		Jail Housing/Contract Beds
	Retained Jurisdiction With Probation Recommendation		Escapee
	Parole Reinstatement In-State		URGENT-Requested by Legal./Central Records
		<input checked="" type="checkbox"/>	OTHER
<b>FILES SENT FROM COMMUNITY CORRECTIONS DISTRICT TO:</b>			
<input checked="" type="checkbox"/>	INSTITUTION/CWC	<input checked="" type="checkbox"/>	CENTRAL RECORDS
	RDU Facility-Probation Violator to Prison		Parole Discharge/Death (Gold Seal must be in file)
	RDU Facility-Parole Violator to Prison		Probation/Parole Discharge – Interstate - Having time in an IDOC Facility or a sex offense requiring Idaho sex offender registration
	RDU Facility-From Court To Prison Commitment (Timer)		Probation Discharge /Death/Deported - after Retained Jurisdiction or sex a offense requiring registration in Idaho.
	RDU Facility-From Court To Retained Jurisdiction		
	RDU Facility-Parole Absconder		
<input checked="" type="checkbox"/>	DISTRICT	<input checked="" type="checkbox"/>	OTHER
	Transfer (District to District)		
<b>FILES SENT FROM CENTRAL RECORDS TO:</b>			
<input checked="" type="checkbox"/>	INSTITUTION-CWC	<input checked="" type="checkbox"/>	DISTRICT
	Jail Housing Return		Probation Supervision
	RDU/Interstate Inmate/Parolee Return/Escapee		Parole Supervision
<input checked="" type="checkbox"/>	REQUESTED BY:	<input checked="" type="checkbox"/>	OTHER

File Logged in CIS \_\_\_\_\_

File Logged out of CIS \_\_\_\_\_

**IDAHO DEPARTMENT OF CORRECTION  
Transfer Files for Out-of-State Transfers**

**A temporary inmate file will be created and sent for each inmate being transferred to an out-of-state contract bed facility.**

1. The record clerk at the housing facility shall prepare a temporary file and send it to the staging facility. The record clerk at the staging facility shall make it available to inmate placement 24 hours prior to the move.
2. The temporary inmate file will be composed of:
  - A. One (1) letter sized file folder with the right side of the folder punched and equipped with a two (2)-prong fastener.
  - B. Copies of the following documents placed on the prongs and appearing top to bottom in this order:

**DOCUMENT**

QT PROFILE  
(A Current) Admission Summary  
Official Time Computation Report  
Most recent Classification detail  
Classification History  
Disciplinary History  
Rule 32 Letter (Appendix A) & PSI (no attachments)  
Detainer

**LOCATION**

QTPROFILE  
INMATE ADM (PRTADS)  
Central File  
INMATE CLASS (QTCLAS)  
INMATE CLASS (QTCLAS)  
DISCIPLINARY (QTDISCIP)  
PSIPRT (or from Central File)  
QTDETAIN

**IDAHO DEPARTMENT OF CORRECTION**  
**Audit of Central File**

**CONTROL, INFORMATION, DISPOSITION AND MONITORING**

1. Central Records Unit staff will review randomly selected central files and/or Corrections Integrated System (CIS) central file movement records (as determined in the yearly audit plan) for each correctional facility and Division of Community Corrections district.
2. Central files will be compared to the automated offender record for (a) consistency and completeness, and (b) compliance with standard operating procedure (SOP) [120.03.05.002](#), *Central and Medical Files: Control, Maintenance, and Disposition of*.
3. CIS file movement will be monitored (a) by comparing the Offender System move record to incoming and outgoing logs, and (b) for compliance with data entry instructions.
4. The results of the audit shall be documented and include the type and frequency of the errors found, as well as any procedural or operational problems observed during the audit.

**Note:** Audit results will be forwarded to the division chief and the work unit manager within the same quarter as the audit. If a file audit is conducted for a contract bed facility, the audit result will be given to the contract monitor to distribute.