

**Directive 251.01 Offender File Organization**

**STATE OF VERMONT  
AGENCY OF HUMAN SERVICES  
DEPARTMENT OF CORRECTIONS**

**Directive: 251.01**

**Subject: Offender File Organization**

**Effective Date: June 28, 1999**

**Review and Re-Issue Date:**

**Supersedes: 1/14/99**

**APA Rule Number:**

<b>Recommended for approval by:</b>		<b>Authorized By:</b>	
_____ <b>Signature</b>	_____ <b>Date</b>	_____ <b>Signature</b>	_____ <b>Date</b>

**1. Authority:**

**1.1** Authority for this directive is derived from Title 28, V.S.A. (c) (1).

**2. Purpose:**

**2.1** To establish a statewide system for developing, maintaining and auditing offender files. This is to ensure that information is properly filed.

**3. Applicability/Accessibility**

**3.1** Anyone may have a copy of this directive.

**4. Directive**

**4.1 Transition from a Six to an Eight Section Offender File**

**4.1.1** The Vermont Department of Corrections shall transition from the use of a six-section offender main core file to an eight-section file. The transition applies to all facilities and field sites statewide. All sites, with the exception of the Court and Reparative Services Units, were to have converted all files by September 1, 1998. Court and Reparative Services Units are required to convert to the new filing system through attrition (new cases and case transfers).

**4.2. Section Definitions:**

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**4.2.1** Each file shall have standardized inserts, outlining the documents to be placed in that section. Inserts are to remain on top of each section and are to be reused once a case has been closed.

### **4.2.1.1 Section 1: Identification**

Victim Notification  
Victim Correspondence  
Relief from Abuse Orders  
Family Court Orders  
DNA Notification  
Certificate of Name Change  
Divorce Decree  
Face Sheet  
Social History  
Scars/Tattoo Identification Sheet.  
Fingerprints (If copy, extra card is kept)  
Record Check  
Photos

### **4.2.1.2 Section 2: Legal**

Sentence Computation (On Top)  
Probation Orders / Parole Agreements  
Police Notification  
Citations  
Subpoenas  
Arrest Warrants  
Parole Warrants  
Mittimi  
Violations of Probation Parole  
Court/Parole Hearing Notices  
Waiver of Extradition  
Earned Reduction of Term (ERT)  
Loss of Good Time  
Detainers

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Interstate Agreement on Detainers  
State's Attorney Information  
Affidavits  
Court Docket and Disposition Reports  
Parole Recession  
NCIC Entry Form - Wanted Person  
Agreement for Pre-Approved Furlough  
Certificate of Pardon  
Bail Statement  
Release Notification to Law Enforcement

### 4.2.1.3 **Section 3: Prior/Closed Supervision**

Any legal or program documents of cases or separate courts that are discharged, closed or completed during the current period of supervision.

### 4.2.1.4 **Section 4: Personality Assessment**

Sex Offender Registration (On Top)  
Presentence Investigation.  
Intermediate Sanction Report  
Supervision Level Assessment  
Case Management System or Level of Service Inventory - Revised  
Substance Abuse Assessment (Other than the Intensive Substance Abuse Program)  
Collection of Intermediate Sanction Information.  
Other Psychological Assessments  
Pardon Investigation

### 4.2.1.5 **Section 5: Forms Used to Aid in Offender Supervision**

Stages of Change  
Program Completion Reassessment Forms (  
Financial Documents  
Direct Community Placement - Request for Supervision  
Caseload Assignment Forms  
Furlough Rules/Conditions/Consent Forms .

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Household Members Agreement

DOC Apartment Agreement

Local forms may be placed in this section

### 4.2.1.6 **Section 6: Documents for Administrative Decisions**

Booking Slips/Action Notices

Incident Reports

Disciplinary/Hearing Reports Packets

Graduated Sanction Packets

Grievances

Short Term Out of State Transfer Forms

Extended Furlough Suspension

Administrative Segregation Review

Prisoner Receipt

Waiver of Furlough Revocation Hearing i

Positive Drug Test Results

### 4.2.1.7 **Section 7: Current Program**

Restart Schedules

Case Plan/Rationale/Custody Level/Probation Supervision Contract

Classification Packets .

Release of Information

Interstate Compact and Corresponding Travel Permit

Inmate Referral Form

Program/Progress Report (Other than Intermediate Sanction Programs) .

Intensive Substance Abuse Program - Reference Form for the Core File

Earned Reduction of Term Contract .

Parole Summary and Decisions

### 4.2.1.8 **Section 8: Behavioral Documentation**

Case Notes (On Top) .

Field Case Transfer Request

Case Transfer Forms

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Facility Transfer Orders/Prisoner Receipts

SRS Information

Verification of Community Service I

Travel Permits

All Other Correspondence

Newly developed forms shall note, directly on the form, where they are to be placed in the file.

### **4.2.1 File Audits**

**4.2.1.1** The Department's Director of Information Technology has authority to ensure that file audits occur twice a year during the months of May and November. In addition, superintendents shall develop and implement a local procedure for in-house audits. The sample size and list shall be computer generated by central office. Sampling should include case files never audited before and some that had been previously audit. At sites were correctional services specialists (CSS) are responsible for the files, a written report summarizing the status of their files and any remedial action necessary shall be issued. Individual file audit forms can be shared with staff but must be archived with the reviewer in a three-ring binder. At sites were CSS's are responsible for the files, file audit forms are to be archived in a three-ring binder divided by CSS. At the end of the year the audit forms can and should be reviewed, tracked with trend lines and referenced in relevant staffs (superintendents, casework supervisors, administrative staff, correctional services specialists) performance evaluation. (Bogue. 1998). See attached audit form.

### **4.2.2 Transfer of Offender File**

**4.2.2.1** When transferring an offender to another facility or field site, their main core file, supplemental files, education file and program files shall accompany them. See above regarding medical files. Superintendents shall develop and implement a local procedure to ensure that files are being transferred in accordance with this directive.

### **4.2.3 Creation of Volumes (Additional Files)**

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**4.2.3.1** When a file exceeds size manageability, additional volumes must be established. Each file is to be labeled noting the offender's name, volume, and date as follows: Doe, John, and Volume 1 of 1,01/01/98 to 09/01/98.

### **4.2.4 Timelines of Filing**

**4.2.4.1** All documents are to be filed within ten days of their receipt. Superintendents are to develop and implement a local procedure to ensure that documents are filed within the designated time.

### **4.2.5 Closure of Files**

**4.2.5.1** All closed files, with the exception of the Caledonia Work Camp, shall be kept at the site where the offender was last supervised. Reference is made to Policy 267 regarding the retention and disposition of records. Regarding the work camp, files from offenders who have maxed out from the site will be returned to the sending facility immediately following their release.

## **5. Training Method**

**5.1**

## **6. Quality Assurance Processes**

**6.1.**

## **7. Financial Impact:**

**7.1**

## **8. References**

Case Information Development (Defunct)

## **9. Responsible Director and Draft Participants**