

<p style="text-align: center;"><b>STATE OF VERMONT</b> <b>AGENCY OF HUMAN SERVICES</b> <b>DEPARTMENT OF CORRECTIONS</b></p>	<p style="text-align: center;"><b><u>INTERIM MEMO:</u></b> <b>OFFENDER RECORDS</b></p>	<p style="text-align: right;">Page 1 of 3</p>						
<p><b>Local Procedure(s) Required:</b> Yes. <b>Applicability:</b> All staff (including contractors and volunteers) <b>Security Level:</b> “B” – Anyone may have access to this document.</p>								
<p><b>Approved:</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 33%; border-bottom: 1px solid black;"><b>SIGNED</b></td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;"><b>07/07/2017</b></td> <td style="width: 33%; border-bottom: 1px solid black; text-align: center;"><b>07/24/2017</b></td> </tr> <tr> <td style="border-top: 1px solid black;"><b>Lisa Menard, Commissioner</b></td> <td style="border-top: 1px solid black; text-align: center;"><b>Date Signed</b></td> <td style="border-top: 1px solid black; text-align: center;"><b>Date Effective</b></td> </tr> </table>			<b>SIGNED</b>	<b>07/07/2017</b>	<b>07/24/2017</b>	<b>Lisa Menard, Commissioner</b>	<b>Date Signed</b>	<b>Date Effective</b>
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The Vermont Department of Corrections (DOC) compiles, manages, maintains, and updates each inmate/offender’s record accurately and in a standardized manner. This memo governs the procedures surrounding offender records as it relates to maintaining both paper and electronic records. This Interim Revision Memo **supersedes Administrative Directive #251.01, *Offender File Organization*, which became effective on June 28, 1999.**

**OFFENDER LOCAL RECORD**

It is the responsibility of the Site Legal Administrator (SLA) to compile and maintain an Offender Local Record for all offenders on the site’s headcount. This shall be the only paper file which the DOC maintains on offenders who are in custody or under supervision. All other records shall be stored electronically in the Offender Management System (OMS).

An Offender Local Record refers to a paper file that contains the following documents:

1. Face sheet with a current photo;
2. Vermont, Triple III, and FBI Record Check;
3. Holding documents from the court;
4. Sentence Computation;
5. Furlough Agreement or Conditions of Supervision/Release;
6. Offender Management System (OMS) Alerts<sup>1</sup>; and
7. Offender Emergency Contacts<sup>2</sup>.

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<sup>1</sup> These alerts shall be printed from the offender’s record within the OMS and updated as necessary.

<sup>2</sup> Contacts shall be printed from the offender’s record within the OMS and updated as necessary.

The following procedures apply to the creation, maintenance, and closure of an Offender Local Record:

1. Creating an Offender Local Record for a First Time Offender - Within 24 hours of any intake, the SLA shall compile the Offender Local Record.
2. Transfer of the Offender Local Record –
  - a. Offender Local Records shall be sent to the receiving site upon an offender's transfer and/or release to community supervision. This can be done either by mailing the Offender Local Record or by sending the Offender Local Record on the transport with a DOC staff person.
  - b. Within 24 hours of transfer, or release from a correctional facility to community supervision, the SLA shall verify the contents of the Offender Local Record received for accuracy. If the Offender Local Record was not given to the receiving site, then the SLA shall create a new Offender Local Record.
3. Maintaining an Offender Local Record – Offender Local Records shall always be kept up to date, this paper file will be used in an emergency, and therefore it is vital that all documents are accurate. It is the responsibility of the SLA to update the Offender Local Record with any new/revised documents as soon as the documents are available.
4. Closure of the Offender Local Record – When an offender maxes out or is discharged from supervision, the SLA shall scan and upload the entire Offender Local Record to the OMS as an attachment. Once uploaded to OMS the Offender Local Record can be destroyed.
5. Storage of the Offender Local Record - The Offender Local Record shall be maintained within a secure area as designated by each facility's or field office's local procedure. No original hard copy document in the Offender Local Record shall be removed from the facility or field office while the offender is being supervised without the authorization of the appointing authority.

#### **DAY-TO-DAY OPERATIONS AND SUPERVISION DOCUMENTATION**

During the entire term of the offender's supervision, whether by a facility or field office, all documentation going forward shall be entered directly into the Offender Management System (OMS). Staff shall not place any documentation into the historic core file.

Information shall be entered into OMS in two ways:

1. Information is entered into OMS directly using record sections, such as the case management tab, booking wizard, or incident reporting module.
2. Information not entered directly shall be attached to the offender's record in OMS using the import/export capabilities of the OMS. All information attached to the offender's OMS record shall adhere to [categorical requirements and import/export requirements](#).

#### **HISTORIC CORE FILE**

1. Moving forward the DOC's goal is to have all offender records maintained in the OMS. To transition from the historic core file to a paperless record staff shall adhere to the [categorical requirements and import/export requirements guide](#).

2. Casework and administrative staff shall utilize any spare time to upload and import historic core files into the OMS pursuant to the [categorical requirements and import/export requirements](#).

### **DISPOSAL OF PAPER RECORDS**

Paper documents that are part of an offender's record may be shredded once they are uploaded into the offender's OMS record and the upload has been verified.

### **INTRA-SYSTEM TRANSFER OF OFFENDER**

When an intra-system transfer of an offender occurs, the Offender Local Record shall be sent to the receiving site. Any remaining historic core file documents that have not been uploaded into the OMS as an attachment shall also be sent to the receiving site. The Offender Local Record and any remaining historic core file documents shall be sent to the receiving site within one business day of transfer.

### **TRANSFERS OUT OF CUSTODY**

When an offender is transferred out of the DOC custody the Offender Local Record shall remain at the site where the offender was last supervised. Any remaining historic core file documents shall be uploaded to the OMS and then shredded.

### **FILES OF RELEASED OFFENDERS AND THEIR RETENTION**

When an offender completes supervision/maxes out, all records will be considered inactive. The facility or field office where the offender was last supervised shall maintain the Offender Local Record in a secure location pursuant to local procedure. Any remaining historic core file documents shall be uploaded to the OMS and then shredded.