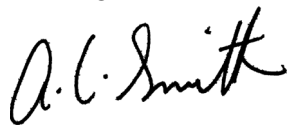




Department of
Rehabilitation & Correction

SUBJECT: APA Field Officer Tablet and File Policy	PAGE <u> 1 </u> OF <u> 4 </u>
	NUMBER: 100-APA-23
RULE/CODE REFERENCE: ORC 5120.01	SUPERSEDES: 100-APA-23 dated 06/03/2019
RELATED ACA STANDARDS: 4-APPFS-3D-27 thru 3D-29	EFFECTIVE DATE: February 1, 2021
	APPROVED: 

I. AUTHORITY

Ohio Revised Code 5120.01 authorizes the Director of the Department of Rehabilitation and Correction, as the executive head of the department, to direct the total operations and management of the department by establishing procedures as set forth in this policy.

II. PURPOSE

The purpose of this policy is to set forth a standard procedure and format for documenting information regarding an offender's supervision.

III. APPLICABILITY

This policy applies to all employees of the Adult Parole Authority (APA).

IV. DEFINITIONS

The definitions for the below listed terms can be found at the top of the ODRC policies page on the ODRC Intranet at the following:

<http://intra/policies/pagecontent/files/Policy%20Definition%20Spreadsheet%20-%20Intranet%202021.pdf>

Case Files
Caseload
Community Corrections Information System (CCIS)
Contact
Domain Intervention (DI)
Family Involvement (FI)
Field Officer Tablet (FOT)
In-Custody
No Contact (NC)
NOTEC
Offender Services Network (OSN)
Other Contact (OC)
Positive Contact (PC)
Positive Incentive (PI)

**Sanction
Situational Staffing
Staffing
Synchronization
Telephone Contact (TC)**

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (ODRC) that the field officer tablet (FOT) and case files be maintained for each offender under the supervision of the APA and shall be considered official documents.

VI. PROCEDURES

A. Field Officer Tablet (FOT)

1. The unit supervisor shall ensure all parole officers under their supervision who supervise offenders have a FOT and notes for each offender.
2. The parole officers shall ensure the FOT is always secure.
3. The parole officer shall ensure the information contained in the FOT is complete, updated, and accurate (e.g., supervision level, change in status, address, employment, etc.). All tabs in the officer's tablet shall be filled out when applicable.
4. If a parole officer is off work for more than two weeks, the unit supervisor/designee shall transfer all cases to another parole officer(s).

B. Field Officer Notes

1. The parole officer shall maintain supervision notes on each offender assigned to their caseload. The supervision notes shall be current, accurate, and contain a chronological record of contacts that describe events which occur during the offender's supervision period.
2. The parole officer shall document all contacts pertaining to the offender's supervision as soon as possible in the contact/notes tab on the tablet. Each entry shall, at a minimum, include the following:
 - a. Date of contact or date information received;
 - b. Type of contact (i.e., PC, TC, NC, and OC);
 - c. Individual with whom contact was initiated (e.g., employer, relative, treatment provider, etc.);
 - d. Location of contact (e.g., residence, office, place of employment, etc.);
 - e. Summary of information obtained (e.g., employment information, chemical dependency, urinalysis results, etc.) unless documented in ORAS. This information shall contain as much detail as possible;
 - f. Instructions by the parole officer and/or unit supervisor (if appropriate).

3. Parole officers shall record a positive contact (PC) on the supervision notes to designate when a face-to-face visit occurs with the offender. Information obtained by reviewing pay stubs, receipts, etc., shall not be recorded as an “other contact” (OC), on the notes when it occurs during a face-to-face visit. Documentation should be centered around the offender’s supervision adjustment to include Parole Board conditions, ORAS high risk needs, triggers and family support.
4. If the Supervision Report (DRC3250) is completed, the offender must be interviewed by ODRC staff for a PC contact to be listed. If the offender is not seen at the time the Supervision Report (DRC3250) is submitted, no contact credit shall be given except for low cases that are not required to be seen per ODRC Policy 100-APA-13, Supervision Reentry Planning, Offender Classification, Case Planning and Contact Standards.
5. All staffing involving the offender, including but not limited to situational staffing, shall be documented in NOTEC.
6. The parole officer shall not re-write or alter any of the entries on the supervision notes without prior approval from their unit supervisor.

C. Portable Computing - Physical Security

1. When not in use, state-owned portable computing devices, portable computing media and portable removable computing components shall be stored in a secure environment, preferably in a locked office, locked drawer or locked cabinet.
2. When in use, state-owned portable computing devices, portable computing media and portable removable computing components shall not be left unattended for any period of time. State owned portable computing devices are outlined in ODRC Policy 05-OIT-15, Portable Computing Devices, Media and Removable Components.

D. Synchronization

To ensure data is not lost, officers shall complete a full synchronization of their caseload and daily activities must be locked and submitted at a minimum of every two (2) weeks and more frequently when possible.

E. Case Files

All documents shall be maintained electronically or in case files. The document’s location shall be determined by the APA policy governing that document.

1. If a document is maintained electronically, the document does not need to be maintained in the case file. If a document is maintained in the case file, the completed document shall be placed in the file.
2. Documents maintained in the case file on post release control (PRC) and parole files shall only be sent to the Bureau of Records Management (BORM) for scanning into OnBase when generated or received for storage. This does not include any presentence investigations, or any investigations currently maintained in the investigation application.

3. Case files for APA offender investigations shall be maintained according to the ODRC records retention schedule.
4. Preparation and labeling of the files:
 - a. Support staff shall be responsible for the initial preparation, organization, and labeling of all files.
 - b. Labels shall be placed on the tab of the file and include last name, first name, middle name/initial, docket number and CCIS number.
 - c. For offices using other file system, the protocol governing the system being used shall prevail.
5. Combining of Files - If new case materials arrive in the local office and other files exist for the same offender these files shall be combined.
 - a. In cases where there is more than one supervision jurisdiction, the files shall remain separate.
 - b. An available PSI/OBI file that is in the office shall be combined with the parole/PRC file.
6. File Security
 - a. All files shall be accessible to authorized personnel only and maintained in a centralized secure location unless office layout prevents centralized filing. Regions that have multiple district offices may have files at their location but shall be kept in a secure or locked facility with restricted access.
 - b. Support personnel are responsible for file maintenance.
7. The ODRC record retention schedule shall be followed when closing all case files. APA case files shall be purged two years after the case is closed in CCIS.

Referenced ODRC Policies:

05-OIT-15 Portable Computing Devices, Media and Removable Components
100-APA-13 Supervision Reentry Planning, Offender Classification, Case Planning and Contact Standards

Related Department Forms:

Supervision Report Form DRC3250