DEPARTMENT OF CORRECTIONS

Policy Number: 106.320
Title: Offender/Resident Records
Effective Date: 11/19/19

PURPOSE: To ensure the department's records management practices comply with court orders and relevant law.

APPLICABILITY: Department-wide.

DEFINITIONS:
BCA Portals – secure website hosted by the Bureau of Criminal Apprehension (BCA) for allowing qualified criminal justice users a single sign-on that allows access to content on a number of BCA systems or servers.

Correctional Operations Management System (COMS) – a custom application used by the department to maintain information about offenders/residents.

Court Message Manager (CMM) – a custom application developed to receive case notifications from state court administration.

Minnesota Court Information System (MNCIS) – an application maintained by the state courts and used by department staff to obtain information on cases.

Minnesota Government Access (MGA) – an application used by state courts for electronic filing through which department staff can obtain court documents.

Offender Document System (ODocS) – a document management system the department uses for maintaining documents in individual files for offenders/residents.

PROCEDURES:
A. New Admissions
1. Minnesota courts
Facility records staff must monitor the court message manager (CMM) for new commitments, check to see if the offender has an offender identification number (OID) and commitment in the correctional operations management system (COMS), and, upon receipt of a Notice of Admission from a designated sheriff's office, prepare for new admissions by completing the following steps:
a) Post on iShare the arrival date for each new admission;
b) Complete a COMS progression event, upon the offender's arrival, transferring the offender under the designated facility custody;
c) Assign and enter a designated work assignment and caseworker;
d) Create a hard copy offender or resident identification (ID) file, which must include an Offender Summary, an Offender Sentence Memo, and any identification documents received, and store it in a secure, locked area;
e) Request a pre-sentence investigation (PSI) if one is not available in Minnesota Government Access (MGA);

f) For offenders at MCF-SHK, verify or arrange for completion of a DNA sample and verify whether the offender was alien born and, if so, verify citizenship status with U.S. Immigration and Customs Enforcement (ICE); and
g) When all steps have been completed, update CMM as "completed."

2. Release violators
After receiving notification via e-mail or CMM that an offender on release status will be returned to the facility, records staff must:
a) Contact the hearings and release unit (HRU), if necessary, to request violation paperwork and schedule an in-facility hearing;
b) Post the date the offender will return to the facility;
c) Assign and enter a caseworker and work assignment, complete a COMS progression event, and, if applicable, serve violation paperwork or arrange for another facility staff person to do so;
d) Complete a custody status entry (ECC) in BCA Portals;
e) Print and distribute the Offender Summary and Offender Sentence Memo and, if a hearing has already been conducted, the Hearing Report, and forward those documents to the offender.

B. Sentence Adjustments
Facility records staff must:
1. Monitor CMM for sentence adjustment information on offenders at the facilities based on court-ordered modifications of sentences or additional sentences;
2. After detainer administration unit (DAU) staff enter the update, print and distribute the Offender Summary and Offender Sentence Memo and update CMM as completed; and
3. Print and distribute the Offender Summary and Offender Sentence Memo from the iShare construction decision site.

C. Transfers of Offenders from Other DOC Facilities or Other Jurisdictions
When notified of a transfer, facility records staff must:
1. Post notification on iShare or send notification via e-mail;
2. Verify the receipt of the offender ID file, sign and date the Receipt of Offender/Resident and/or Records, and upload the signed and dated receipt into ODocS; and
3. Enter a COMS progression event upon the offender's arrival.

D. Transfers of Offenders to Other DOC Facility or Contract Jail Placement
When notified by department transportation staff, facility records staff must:
1. Post a notification on iShare or send a notification via e-mail;
2. Retrieve and send, upon transfer or within 72 hours, the offender ID file to the receiving facility's records staff, or to records staff at MCF-LL if the offender will be housed out-of-facility, including a signed and dated Receipt of Offender/Resident and/or Records; and
3. Enter the COMS progression event upon the offender's departure.

E. Requests for Temporary Transfers of Custody
When a facility receives notification of any request for temporary transfer of custody based on writs of habeas corpus, requests for rendition of material witness, or requests under the Interstate Agreement on Detainers, a facility records staff person or designee must:
1. Verify the authenticity of the court order through MGA or appropriate detainer paperwork;
2. Prepare a Delegation Authorization form;
3. Enter a COMS progression event upon the offender's/resident's departure; and
4. Enter a COMS progression event upon the offender's/resident's return to the facility.

F. Detainers

1. Untried detainers

   Facility records staff must:

   a) Monitor and access forms through the OnBase workflow queue;
   b) Print and send forms to the offender and remove unsigned forms from the workflow queue; and
   c) Upon receipt of signed forms from the offender, upload the signed forms into the workflow queue and send a signed copy to the offender.

2. Tried detainers, detainer cancellation, 180-day notification

   Facility records staff must:

   a) Monitor and access forms through the OnBase workflow queue;
   b) Print copies, send them to the offender, and remove them from the workflow queue; and
   c) Verify that a DAU staff person has initialed/acknowledged new sentence entries in CMM and mark as completed.

G. Releases from the Facility

At the following times, or under the circumstances described, facility records staff must:

1. 60 days prior to release
   a) Check for detainers in COMS and, if out-state or ICE, verify transport and/or schedule a waiver of extradition hearing;
   b) Verify that DNA was taken; and
   c) Verify predatory offender registration is completed if applicable.

2. One week prior to release
   a) Ensure HRU has approved the release plan and prepare Conditions of Release and a Gate Pass;
   b) Print Policy 106.112, "Approval and Modification of Release Plans," when notified to do so by the caseworker;
   c) Verify there is no change in the COMS release date;
   d) Check for detainers in COMS and confirm transportation when applicable; and,
      (1) If the requesting agency cannot take custody of the offender on the offender's actual date of release, notify that agency it must contact the local jail and make arrangements for jail officials to pick up the offender and assume custody until the requesting agency can take custody, obtain documentation from the placing authority regarding specific arrangements, and scan and upload the documentation in ODocS;
      (2) If the placing authority does not make arrangements with the local county jail to hold the offender, arrange to release the offender to a secondary plan.

3. 24 hours prior to release
   a) Confirm that a final DAU warrant check was completed;
   b) Verify there is no change in the COMS release date;
   c) Verify there is no pending discipline; and
   d) If releasing the offender to a state hospital, e-mail victim assistance.

4. Day of release
   a) Provide the offender a copy of the Conditions of Release (the Conditions of Release must not be provided until the date of release), and
   b) If applicable, provide the offender a copy of Policy 106.112, "Approval and Modification of Release Plans," or,

c) If the offender is being released at the offender's expiration date, provide the offender a Notice of Discharge and Civil Rights Restoration; an information sheet on voting with a criminal record; any identification documents from the ID file; gate money; and the balance from the offender's account, if any; and
d) Document, in COMS, the IDs given to the offender upon release;
e) Forward a copy of the signed Conditions of Release to the assigned agent;
f) Upload a copy of the Conditions of Release and Gate Pass to ODocS;
g) Document the release, update relevant chronos, and deactivate visitors in COMS; and
h) Notify the BCA of the change of status through BCA Portals.
i) For residents:
(1) Provide the resident any identification documents from the ID file, and the balance from the resident's account, if any;
(2) Document, in COMS, the IDs given to the resident upon release; and
(3) Document the release, update relevant chronos, and deactivate visitors in COMS.

5. Day after release:
a) Publish the COMS Obligation Administration (OA) entry; and
b) Upload the completed Facility Release Checklist to ODocS.

H. Post-Release
After an offender's release from a correctional facility, the central office records unit must:
1. Retain offender medical records upon receipt from the facility and return them to the facility if the offender is brought back during the offender's current obligation;
2. Monitor and update agents and addresses when applicable;
3. Notify the BCA of change of status by making a custody status entry (ECC) in BCA Portals; and
4. Respond to data requests.

INTERNAL CONTROLS:
A. The Offender Summary and Offender Sentence Memo are retained in ODocS.

B. The Facility Release Checklist is retained in ODocS.

ACA STANDARDS: 2-CO-1E-02; 2-CO-1E-042-CO-1E-05; 4-4097; 4-4095

REFERENCES: Policy 106.112, "Approval and Modification of Release Plans"

REPLACES: Policy 106.220, "Offender/Resident Case Records," 2/21/17; and
Policy 106.225, "Adult Records Release Process," 9/5/17.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: Available on the Records iShare site:
Receipt of Offender/Resident and/or Records
Delegation Authorization form
Facility Release Checklist
Gate Pass
Notice of Discharge and Civil Rights Restoration Letter
Secretary of State Voting Rights Information

APPROVALS:
Deputy Commissioner, Community Services
Deputy Commissioner, Facility Services
Assistant Commissioner, Operations Support
Assistant Commissioner, Facility Services