



POLICY STATEMENT
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Records Office Operations		Policy Number: 11.5.1
Date of Issue: June 16, 2003	Authority: Signature on File Jeffrey A. Beard, Ph.D.	Effective Date: July 16, 2003

I. AUTHORITY

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206, 506, and 901-B of the Administrative Code of 1929, 71 P.S. §§61,66,186, and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

II. PURPOSE

This document establishes policy and procedures for the operation of the inmate records office and the maintenance of inmate records in the Department of Corrections.

III. APPLICABILITY

This policy is applicable to all inmates and staff in all Department of Corrections facilities, including Community Correction Centers.

IV. DEFINITIONS

All pertinent definitions are contained in the glossary of the confidential procedures manual for this policy.

V. POLICY¹

It is the policy of the Department to maintain an accurate and up-to-date inmate record system that meets the needs of the Department in providing a base for its statistical

¹ 4-4095, 4-4097

system and in maintaining inmate sentence structures that comply with the mandates of the Court and the Commonwealth's Sentencing Rules, Regulations, and Laws.

VI. PROCEDURES

All pertinent procedures and/or terms are contained in the procedures manual for this policy.

VII. SUSPENSION DURING AN EMERGENCY

In an emergency or extended disruption of normal facility operation, the Secretary/designee may suspend any provision or section of this policy, for a specific period.

VIII. RIGHTS UNDER THIS POLICY

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose(s) of the policies of the Department of Corrections.

IX. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

This policy document is public information and may be released upon request.

2. Procedures Manual (if applicable)

The procedures manual for this policy is not public information and shall not be released in its entirety or in part, without the prior approval of the Secretary of Corrections/designee. This manual or parts thereof, may be released to any Department of Corrections employee on an as needed basis.

B. Distribution of Policy

1. General Distribution

The Department of Corrections' policy and procedures manuals (when applicable) shall be distributed to the members of the Central Office Executive Staff, all Facility Managers, and Community Corrections Regional Directors on a routine basis. Distribution to other individuals and/or agencies is subject to the approval of the Secretary of Corrections/designee.

2. Distribution to Staff

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures.

X. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy

1. Department Policy

- a. 11.5.1, Records Office Operation issued September 1, 1993 by former Secretary Joseph D. Lehman.
- b. 11.5.1-1, Records Office Operation issued October 17, 1994 by former Executive Deputy Secretary Laurence J. Reid.
- c. 11.5.1-2, Records Office Operation issued February 6, 1998 by former Secretary Martin F. Horn.
- d. 11.5.1-3, Records Office Operation issued April 24, 1998 by former Secretary Martin F. Horn.
- e. 11.5.1-4, Records Office Operation issued October 14, 1998 by former Secretary Martin F. Horn.
- f. 11.5.1-5, Records Office Operation issued January 7, 1999 by former Secretary Martin F. Horn.
- g. 11.5.1-6, Records Office Operation issued January 29, 1999 by former Secretary Martin F. Horn.
- h. 11.5.1-7, Records Office Operation issued July 6, 1999 by former Secretary Martin F. Horn.

2. Facility Policy and Procedures

This document supersedes all facility policy and procedures on this subject.

B. Cross Reference(s)

1. Administrative Manuals

- a. DC-ADM 003, Release of Information
- b. DC-ADM 005, Collection of Inmate Debts
- c. DC-ADM 805, Application, Review, and Approval for Inmates Requesting Pre-Release Status, Placement in Operation Outward Reach, and Outside Assignments
- d. DC-ADM 812, Inmate Visiting Privileges
- e. DC-ADM 815, Personal Property, Basic/State Issued Items, and Commissary/Outside Purchases
- f. 1.1.4, NCIC/CLEAN
- g. 1.3.3, Inmate Identification Cards
- h. 6.3.1, Facility Security

- i. 6.7.1, Emergency Preparedness
- j. 11.2.1, Reception and Classification
- k. 11.4.1, Case Summary
- l. 11.6.1, Sexually Violent Offender Registration (Megan's Law)
- m. 11.6.2, Act 57 DNA Data and Testing

C. ACA Standards

1. **Administration of Correctional Agencies:** 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03, 2-CO-1E-04
2. **Adult Correctional Institutions:** 4-4446, 4-4095, 4-4096
3. **Adult Community Residential Services:** None
4. **Adult Correctional Boot Camp Programs:** 1-ABC-1E-01, 1-ABC-1E-02, 1-ABC-1E-04, 1-ABC-1E-05
5. **Correctional Training Academies:** None



PROCEDURES MANUAL
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Effective Date:

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Release of Information:

Policy Document: The Department of Corrections' policy document on this subject is public information and may be released upon request.

Procedures Manual: This Procedures Manual is not public information and **will not be released** in its entirety or in part, without the prior approval of the Secretary of Corrections or designee. This manual or parts thereof may be released to any Department of Corrections employee on an as needed basis.

Procedures Development: All required procedures shall be developed in compliance with the standards set forth in this manual and/or the governing policy. These standards may be exceeded, but in all cases these standards are the minimum standard that must be achieved. In the event a deviation or variance is required, a written request is to be submitted to the appropriate Regional Deputy Secretary and the Standards and Practices Unit for review and approval prior to implementation. Absent such approval, all procedures set forth in this manual must be met.

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CONFIDENTIAL

11.5.1, Records Office Operations

Section 1 – Processing of Receptions

**This section is confidential and not for
public dissemination.**

CONFIDENTIAL

11.5.1, Records Office Operations

Section 2 – Releases

**This section is confidential and not for
public dissemination.**

Section 3 - Filing Procedures¹

A. DC-15, Inmate Records Jacket

1. There is a need to ensure uniformity between the facilities of the Department in the filing of the various materials in the **DC-15**. Any authorized employee of the Department shall be able to pull a **DC-15** at any of the facilities and locate all materials in the same physical location.
2. It shall be the responsibility of the Records Supervisor or the Corrections Records Supervisor where applicable to ensure that Department filing procedures are being adhered to.
3. All materials generated for filing in the **DC-15** shall be forwarded to the Records Office the same day generated and they shall be filed as soon as possible. All filing shall be completed prior to the transfer of the inmate to another facility.
4. The original **DC-15** may not be released to any non-Department employee without specific authorization from the Records Coordinator or his/her designee. The original **DC-15** must be retained in the Records Office at all times and is not to be taken into areas to which inmates have access.²

B. DC-15 Filing - Left Side -Top to Bottom

All filing is to be completed in reverse chronological order (with the most recent date on top). Contents of the **DC-15** left side, shall include the following:

1. wanted queries for Outside Detail, pre-release staffing, and Community Corrections Center placement;
2. **DC-16D/16E, Summary Separator**. Contents in the **Summary Separator** shall include the following:
 - a. **DC-16D/16E, Sentence Status Summary**;
 - b. **DC-17, Conduct Record** (now automated);
 - c. **DC-18, Work and Quarters Assignment Record** (now automated);
 - d. reclassification report printouts (filed in reverse chronological order);
 - e. **DC-13A, Reclassification Summary** (filed in reverse chronological order);
 - f. **DC-1, Classification Summary** (one copy);

¹ 1-ABC-1E-01, 1-ABC-1E-02, 1-ABC-1E-04, 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03,
2-CO-1E-04

² 4-4095

- g. **DC-11B, Commutation/Arbitration Summary** (filed in reverse chronological order);
- h. non-Department classification/reclassification materials (classification materials developed by other jurisdictions);
- i. pre-sentence investigations, facts of crime, or copy of request for pre-sentence investigation or facts of crime; and
- j. Philadelphia court histories.

3. DC-169, Separation Separator

Contents in the **DC-169** shall include a **DC-186, Separation File** and/or Computerized Separation printout.

4. DC-162, Legal Separator

Contents in the **DC-162** shall include the following:

(Note: Items a through d, below, are required if the inmate is a parole violator [PV])

- a. **Department Release Checklist (Section 2, Attachment 2-A)** with the **DC-159**;
- b. **PBPP-10 Release Orders w/PBPP-11 Conditions of Release** attached or **PBPP-140 Order to Release/Lift PBPP-141 Warrant to Commit and Retain**;
- c. **PBPP-39 Recommitment Order**;
- d. all legal paperwork in reverse chronological order since being received as a PV;
- e. **PBPP-141 Warrant to Commit and Retain, PBPP-340 Notice of Charges and Hearing, and PBPP Return of PV Report** attached;
- f. **PBPP-10 Release Orders** – original release;
- g. vacated conviction/sentence orders;
- h. commutation charter;
- i. Post Conviction Collateral Relief Act (PCRA) decision/appeal decision attached to the commitment it pertains to;
- j. **DC-300B, Commitment or Written Sentence Order** in reverse chronological order, to include a printout of the sentence computation. This is to include **DC-5B, Petition to Transfer: County Prison** and **DC-185, Transmittal of Data for County Prison**;
- k. **DC-23B, Sentence Status Change Report** with appropriate documents attached, in reverse chronological order;

- l. legal opinion requests/sentence status requests;
- m. **DC-309A, Application for Parole from State or County Correctional Facility;**
- n. **DC-3C, Transfer Petition w/DC-160B Transfer Routing Sheet** and rationale attached, each set in reverse chronological order;
- o. **DC-151A, Body Receipt** with Writ/Transportation Order and **DC-7X, Temporary Transfer Information** attached, each set in reverse chronological order. If it is a transfer from one facility to another it shall be just the **DC-151A;**
- p. **DC-153, Inmate Personal Property Inventory;**
- q. **DC-154A, Confiscated Items Receipt;**
- r. **DC-155, Legal Disposition** form;
- s. miscellaneous legal material not otherwise listed, in reverse chronological order;
- t. **Act 27 of 1995** or **Act 86 of 2000, Crime Victim's Compensation Fee;**
- u. **Act 143 of 1998, Victim Awareness Education**, completed certificate;
- v. **Sexual Offender Registration Notification (Megan's Law)** with attached CLEAN response message, green return receipt from mail, etc.;
- w. DNA Act Advisory Forms; and
- x. DNA Sample Collect Tracking Sheet.

5. DC-163, Identification Separator

Contents in the **DC-163** shall include the following:

- a. dissemination sheet (for use with Department policy **1.1.4, "NCIC/CLEAN"**);
- b. unreported disposition form indicating inquiries to dispositions unreported;
- c. log for release of Criminal History Record Information (for release of information other than stated in "a" above);
- d. **DC-26, Detainer Action Letter(s)** (only if sent for unreported dispositions, otherwise, it is filed under the Legal Separator);
- e. PA State Police Criminal History Record Information, FBI and Out-of-State Criminal History Record Information to include a wanted query;
- f. Department copy of fingerprints; and

- g. most recent photographs attached to the inside cover of the **DC-15**.
6. It is essential that all copies of documents in the legal section of the file always remain in the possession of the facility responsible for the custody of the **DC-15**. There are times when it will be necessary for a facility to permit Department personnel outside the facility to temporarily take custody of a **DC-15**. When that occurs, photocopies of the documents in the legal section shall be inserted in the **DC-15** and the originals removed and retained by the facility prior to releasing the file.
7. The originals of the legal section documents may be released from the custody of the facility only upon approval from the Records Coordinator who shall confer with the Office of Chief Counsel prior to authorizing release of the documents. If the originals of these documents are released, copies must be retained.
8. When the file is returned, the original documents shall be reinserted into the **DC-15** and the photocopies destroyed.
9. When the Attorney General's Office requests a **DC-15** or a portion of a **DC-15**, they are to be provided copies only. An entry shall be made for a release of Criminal History Record Information in accordance with Department policy **DC-ADM 003, "Release of Information."**

C. DC-15 Filing - Right Side - Top to Bottom

Contents of the **DC-15** right side, should include the following:

1. **Escape Packet**, in accordance with Department policy **6.3.1, "Facility Security," Section 13 Escape Packets**.
2. **DC-168, Pre-Release Separator**

Contents in the Pre-Release Separator shall include the following:

- a. PBPP-15, Notice of Board Action;
- b. Parole Violation Report/Arrest Report;
- c. official pre-release correspondence and responses;
- d. official correspondence between facilities and the PBPP, Board of Pardons or County Probation and Parole Offices;
- e. **DC-46B Vote Sheet** - pre-release only;
- f. Pre-Parole Investigation;
- g. furlough letters, responses, and furlough Investigations; and

h. worksheets for problematic pre-release.

3. DC-167, Correspondence Separator

The following are filed in reverse chronological order: official correspondence from private/public agencies and the Department (except items noted above to be filed under the **DC-168**), familial correspondence of significance, and individual correspondence of significance. Contents in the **DC-167** shall include the following:

- a. **DC-135, Inmate Request to Staff Member**, filed in reverse chronological order;
- b. **DC-312A, Supplementary Authorized Visitors**, filed in reverse chronological order;
- c. **DC-311A, Authorized Visitors**, filed in reverse chronological order;
- d. **DC-313, Minor Visitor Inquiry**, filed in reverse chronological order;
- e. **DC-9, Inmate Telephone Authorization Supplement Form**, filed in reverse chronological order;
- f. **DC-8, Inmate Telephone Authorization Form**, filed in reverse chronological order;
- g. Facility Publication Review Committee correspondence; and
- h. **STD-501, Request for Mail Scrutiny**.

Examples of correspondence NOT filed are: transmittal letters adding nothing to materials transmitted, carbon copies of form letters, preliminary or intermediate drafts of letters or memoranda, and various transmittal letters from facilities and agencies.

EXCEPTIONS: Official correspondence between facilities and the PBPP, Pardon Board or County Probation and Parole Offices is filed under the **DC-168**.

4. DC-166, Institution Separator

Contents in the **DC-166** shall include the following:

- a. **DC-47C, Education and Vocational Cumulative Record** (after release);
- b. **DC-141** in the order below. All information pertaining to the same misconduct is to be stapled together. All misconducts are to be together, filed in reverse chronological order, and includes the following:
 - (1) **DC-141 Part IV, Facility Manager's Review**;

- (2) **DC-141 Part III, Program Review Committee Action;**
 - (3) **DC-141 Part II E, Misconduct Hearing Appeal;**
 - (4) **DC-141 Part II D, Waiver of Disciplinary Procedures;**
 - (5) **DC-141 Part II C, Inmate Version & Witness Statements;**
 - (6) **DC-141 Part II B, Disciplinary Hearing Appeal;**
 - (7) **DC-141 Part II A, Inmate Request for Representation & Witnesses;**
 - (8) **DC-141 Part I, Misconduct Report;**
 - (9) **DC-17X, Adjustment Record**, filed in reverse chronological order;
 - (10) **DC-121A, Report of Extraordinary Occurrence;** and
 - (11) **DC-804, Official Inmate Grievance**, filed in reverse chronological order.
- c. Outside Assignment Selection Criteria Checklist;
 - d. **DC-46B, Vote Sheet** except Pre-Release Vote Sheet, filed in reverse chronological order. Pre-Release Vote Sheet is filed under the **DC-168**;
 - e. **DC-43, Correctional Plan** (completed), filed in reverse chronological order;
 - f. Familial Death Notice, filed in reverse chronological order;
 - g. Acknowledgement of Orientation;
 - h. Inmate Handbook Acknowledgement;
 - i. Double Celling Agreement;
 - j. **DC-462, Release from Responsibility for Medical Treatment**, filed in reverse chronological order; and
 - k. housing and performance reports.
5. **DC-165, Classification Separator**
- Contents in the **DC-165** shall include the following:
- a. **DC-150B, Reception Worksheet;**
 - b. Psychometric Test Data (NOT handwritten notes provided for typing);
 - c. Classification Testing (NOT handwritten notes provided for typing);

- d. **DC-106B, Questionnaire – Employer, Social Agency, Institution, School;**
- e. **DC-107A, Request for Military Record;**
- f. **DC-109A, Questionnaire – Friend, Relative;**
- g. **DC-2A, Diagnostic Classification Report: Reception Checklist;**
- h. **DC-2B, Diagnostic Classification Report;** and
- i. Personal Data Questionnaire.

6. **DC-164, Previous Inmate Number Separator (PIN)**

Contents in the **DC-164** shall include the following:

- a. **DC-16D/16E** (previous inmate number); and
- b. **DC-17** (previous inmate number).

D. Continuations

When an inmate is continued to a new inmate number, the information listed below is transferred to the **DC-15** under the new inmate number.

1. **DC-161, Summary Separator**

- a. **DC-16D/16E** original filed under **DC-164, Previous Institution Separator**. A copy is to be maintained in the previous **DC-15** where it is normally filed;
- b. **DC-17** original filed under **DC-164**. A copy is to be maintained in the previous **DC-15** where it is normally filed;
- c. Reclassification Report Printouts, filed in reverse chronological order;
- d. **DC-13A**, filed in reverse chronological order;
- e. **DC-1, Classification Summary;**
- f. Pre-Sentence Investigation reports; and
- g. Philadelphia Court History.

2. **DC-169, Separation Separator**, a new report shall be run.

3. DC-162, Legal Separator

Contents in the **DC-162** shall include the following:

- a. all Commitment Orders for the sentences that shall be served on the new inmate number;
- b. PBPP-39, Recommitment Order, Previous Inmate Number - Original from the previous inmate number is maintained under the **DC-162** in the previous **DC-15**. A copy from the previous inmate number is to be maintained in the new **DC-15** under the **DC-162**;
- c. all detainees that remain active;
- d. all legal documents received since inmate's return as a PV; and
- e. any Megan's Law and/or DNA registration documents.

4. DC-163, Identification Separator

Contents in the **DC-163** shall include the following:

- a. dissemination sheet;
- b. unreported disposition information sheet from previous Department number;
- c. log for release of Criminal History Record Information;
- d. PA State Police Criminal History Record Information, FBI and Out-of-State Criminal History Record Information to include wanted query;
- e. Department copy of fingerprints; and
- f. photograph with inmate's new Department number attached to inside cover of the **DC-15**.

5. DC-167, Correspondence Separator

Contents in the **DC-167** shall include the following:

- a. **DC-312A**, filed in reverse chronological order;
- b. **DC-311A**, filed in reverse chronological order;
- c. **DC-313**, filed in reverse chronological order;
- d. **DC-9**, filed in reverse chronological order; and

e. **DC-8**, filed in reverse chronological order.

6. DC-166, Institution Separator

All facility documents received since inmate's return as a PV shall be transferred to the new **DC-15**. There shall be no previous pre-release items filed in the new **DC-15** under this separator. Any pre-release documents relating to the inmate's continuation are filed under the **DC-162** of the new **DC-15**.

7. DC-165, Classification Separator

All contents from the previous **DC-15** under the **DC-165** shall be transferred to the new **DC-15**.

8. DC-164, Previous Inmate Number Separator (PIN)

- a. original **DC-16D/16E** from the previous Department number. A copy is to be maintained in the previous **DC-15** where it is normally filed;
- b. original **DC-17** from the previous Department number. A copy is to be maintained in the previous **DC-15** where it is normally filed;
- c. original **DC-18** from the previous Department number. A copy is to be maintained in the previous **DC-15** where it is normally filed; and
- d. original PSFS from previous Department number. A copy is to be maintained in the previous **DC-15** where it is normally filed.

Section 4 - DC Forms

A. DC-2A, Diagnostic Classification Report: Reception Checklist (Section 1, Attachment 1-C)

This form is used at the time of initial reception and contains staff observations of an inmate's potential medical and housing needs based on physical and mental condition as well as signs of intoxication, assaultiveness, etc. Escape history and separation issues are also addressed.

B. DC-3C, Transfer Petition

1. This is a formal petition to the Regional Deputy Secretary from one of the Diagnostic and Classification Centers (DCCs) or a facility to transfer an inmate to another facility or Community Corrections Center following a formal or informal classification or reclassification. In either case, the Regional Deputy Secretary approves or disapproves the transfer and designates an appropriate facility.
2. There are reasons to temporarily transfer an inmate to another facility: for example, court appearance, barber examinations, medical, etc. The **DC-3C** shall also be used for this purpose and is prepared at Central Office.
3. Although these petitions are now automated, some records may contain manually prepared documents with this form number indicated at the top left.

C. DC-5B, Petition to Transfer: County Prisons (Section 1, Attachment 1-H)

An inmate may serve a county sentence in a state correctional facility. An inmate may also serve a state sentence in a county prison (**reverse 5B**). An untried or unsentenced inmate may be housed in a state correctional facility. The **DC-5B** is the document used to approve inmate transfers between state and county facilities in these situations. The **DC-5B** is initiated by the county and sent to the Chief of Classification for approval. Legal references include: 61 P.S. § 72, P.L. 1044 (July 11, 1923) as amended.

D. DC-7X, Temporary Transfer Information (Section 1, Attachment 1-K)

1. This form was designed to exchange information on those inmates going Authorized Temporary Absence (ATA) to a county facility and on temporary transfers between state facilities. Completion of this form is merely transference of data already available in the central file and medical department.
2. Although these documents are now automated, some records may contain manually prepared documents with this form number indicated at the top left.

E. DC-11B, Commutation/Arbitration Summary

This form is the first page of a Commutation Summary (report which is ordered by the Board of Pardons after an inmate applies for commutation). This form contains information

including: filing date and number, an inmate's personal data, sentencing information, confinement information, data regarding accomplices and detainers, criminal history, etc.

F. DC-16D/16E, Sentence Status Summary (Section 1, Attachment 1-E)¹

This document lists all sentences an inmate is serving and the inmate's minimum and maximum sentence expiration dates, credit received, and any detainers to which the inmate is subject. The **DC-16D/16E** is the Department's official transcript of an inmate's sentence.

G. DC-17, Conduct Record

1. This form is a cumulative, formal account of the inmate's conduct record since his/her reception into the Department.
2. This process is now automated. Records staff shall be aware that there may be manually prepared forms contained in records with this form number indicated at the top left reflecting misconducts received prior to automation.

H. DC-19, Negative File Envelope (Section 1, Attachment 1-G)

This envelope is used in the ID Office to hold inmate photographs and negatives. Although photos are now digitally produced by the Photo Imaging System, some records may still contain photos and/or negatives that should be retained in the **DC-19**.

I. DC-23B, Sentence Status Change Report (Section 1, Attachment 1-J)

This form is used to officially notify an inmate, PBPP, Department, and Pennsylvania State Police (PSP) of a change to the inmate's sentence status or detainers. This form also serves as notice of commutation actions. The inmate's SID number must be placed on the form as this number is used by PSP in filing their copy of the document. Although this form is being replaced with the introduction of the **DC-16E**, some records may contain these manually prepared documents with this form number indicated at the top left.

J. DC-26, Detainer Action Letter

This snap-set document is used to request the status of detainers, to clarify if a jurisdiction wishes to lodge a detainer, to advise various agencies that their detainer(s) have been lodged or removed and to follow up on unreported dispositions of arrests.

K. DC-150B, Reception Worksheet (Section 7, Attachment 7-A)

This form is used when an inmate is initially received into the Department as a new reception or as a parole violator. Information that needs to be completed includes personal and physical data, information related to reception, steps taken, and documents received relative to Act 84 (at the time of reception and what information is to be received at a later date).

¹ 4-4097

L. DC-151A, Body Receipt (Section 1, Attachment 1-B)

1. This document is used when an inmate is transferred between facilities, between a facility and a county, or to or from another authorized authority.
2. Although these forms are now automated, some records may contain manually prepared documents with this form number indicated at the top left.

M. DC-158, Release Worksheet (Section 2, Attachment 2-B)

The Records Office prior to the inmate's release/discharge from the facility initiates this document. It lists mandatory release stations that an inmate must visit to obtain a staff member's signature prior to his/her release.

N. DC-160B, Transfer Routing Sheet

This document is used when inmate records are transferred from facility to facility. The form is completed by Records Office staff to indicate what records are being sent and shall be signed and dated by the receiving Records Office indicating that all records were received as noted on the form.

O. DC-185, Transmittal of Data for County Prison (Section 1, Attachment 1-I)

This form is used in conjunction with the **DC-5B**. The county prison requesting transfer shall forward the completed form and one copy of each appropriate commitment paper or warrant to the Regional Deputy Secretary. If complete, this form shall be forwarded to the receiving facility along with copies of all appropriate commitment papers. If incomplete, it shall be returned to the county prison for completion prior to formal approval of the **DC-5B**.

P. DC-186, Separation File

This document is used by facility staff to file separations. (Separations can be filed for inmate/inmate, inmate/staff, or inmate/facility issues that are verifiable.) When completed, the original of the form is forwarded to the Classification Section of Central Office for computer entry and a copy of the form is retained in the inmate's **DC-15**.

Q. DC-188, Escape Packet

The Escape Packet contains pertinent inmate information to be used if an inmate escapes, including a wanted poster, two sets of color photographs (front and profile), photographs of tattoos, scars, brands or other deformities on the face, neck, arms, and/or hands of all inmates approved for outside clearance, the inmate's Automated Telephone System "PIN" number (when applicable) and other information as identified in policy **6.3.1**. Routine information is placed in the Escape Packet initially and additional information is added if the inmate escapes from custody.

R. DC-189, Wanted Poster

A form used for notification and dissemination of information associated with an escapee. Although these are now available from the Photo Imaging System, some records may contain the manually produced version, which shall be replaced at the time of annual case review and/or in accordance with Department policy 1.3.3, “**Inmate Identification Cards.**”

S. DC-300B Part I, Court Commitment (Section 1, Attachment 1-A)

This document is printed by the Department and provided free of charge to counties to provide sentencing information on an inmate. Counties are not required to use this form but it is the Department’s preferred method of receiving commitment information.

T. DC-300B Part II, Court Commitment Continuation Sheet (Section 1, Attachment 1-A)

This is the continuation sheet for **DC-300B, Part I** and is used if a Judge orders an inmate to serve more than one sentence.

U. DC-309A, Application for County Parole from State or County Correctional Facility

This form is a standard parole application and petition for parole that is presented to the sentencing Judge or President Judge for those prisoners not falling under the jurisdiction of the PBPP (maximum sentences of less than two years fall under the jurisdiction of the sentencing court). An inmate may submit a county parole application on a county sentence at any time but it shall be general policy of the facilities to formally process the **DC-309A** form only one or two months before the minimum of a county sentence or at the expiration of one-half the maximum of a definite/flat county sentence.

V. Department Release Checklist (Section 2, Attachment 2-A)

This document shall be completed on every inmate being released from state custody. This document includes specific instructions for the review of an inmate’s file prior to authorizing the inmate’s release. This document cannot be revised or modified from its original form except by revision of policy by Central Office.

W. DNA Act Advisory Form (Department policy 11.6.2, Attachment A)

This form is used to provide advance notification to an inmate of his/her need to register for the DNA Act. Two versions of the form exist: one for convictions prior to the enactment of this act, and one for convictions after the enactment of the act.

X. DNA Collection and Tracking Form (Department policy 11.6.2, Attachment C)

This form is completed on every inmate who is processed per the DNA Act.

Y. Sexual Offender Registration Notification (Megan’s Law) Form (Department policy 11.6.1, Attachment B)

This document is used to register an inmate per criteria outlined in Act 24 of 1995 and as amended by Act 18 of May 10, 2000. Refer to Department policy **11.6.1, “Sexually Violent Offender Registration (Megan’s Law)”** for related forms.

Z. Sexual Offender Address Worksheet (Megan’s Law Change of Address Form) (Department policy 11.6.1, Attachment D)

This document is used to update the address of any individual who was previously registered per Act 24 of 1995 and as amended by Act 18 on May 10, 2000. Refer to Department policy **11.6.1** for related forms.

AA. Unreported Dispositions Form

This document shall be used to record the findings of cases with unreported dispositions.

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11.5.1, Records Office Operations

Section 5 – Detainers

**This section is confidential and not for
public dissemination.**

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11.5.1, Records Office Operations

**Section 6 – Inmate Records
System/Movement Reports**

**This section is confidential and not for
public dissemination.**

Section 7 - Act 84 Inmate Restitution and Information Exchange

A. Act 84 of 1998

42 Pa.C.S. §97.28, Act 84 of 1998, referred to as the "Inmate Restitution and Information Exchange Bill," became effective October 16, 1998. Department policy regarding Act 84 of 1998 can be found in **DC-ADM 005, "Collection of Inmate Debts."**

B. Information Exchange - Inmate Reception

Act 84 of 1998 requires the transmittal of certain information when an inmate is transferred to or from a County Correctional Facility or the Department. The required information is as follows:

1. Schedule A Documents

The following documents are due at the time of reception:

- a. court commitment order;
- b. record of facility adjustment;
- c. written notice of current medical/psychological conditions regarding treatment;
- d. written notice of current or previously ordered/administered medications; and
- e. a 48-hour supply of medication(s).

2. Schedule B Documents

The following documents are due within 20 days of reception:

- a. Pre-Sentence Investigation (PSI) or official version or guilty pleas transcript or colloquy Preliminary Hearing transcript or docket transcript form;
- b. criminal complaint or affidavit of probable cause accompanying the arrest warrant;
- c. police report summarizing facts of the crime, when available;
- d. Sentencing Guideline Form issued by the PA Sentencing Commission; and
- e. record of any money paid by the inmate and any balance remaining toward satisfaction of restitution or any other court ordered financial obligations.

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3. Documentation of Receipt of Information
 - a. Upon reception of an inmate, the completed **DC-301, Act 84 Information Transmittal form (Attachment 7-A)** is provided by county authorities. The snap-set form is then separated and distributed as indicated.
 - b. Records office staff shall conduct reception processing; recording required information on the **DC-150B, Reception Worksheet (Attachment 7-B)**, to document the receipt or lack thereof, of the information required at the time an inmate is received or transferred.
 - c. Information is also to be recorded in the automated Act 84 screens of the Inmate Records System (IRS). The IRS is to be updated as additional required information is received, or as notice is given that, the information is unavailable.
4. Information Exchange - Transfer to County Facility
 - a. The **Department Release Checklist, Section 6, Act 84 Information Requirements Transfer to County (Section 2, Attachment 2-A)** is to be used by Records Office staff to document when the required information was requested from the Medical Department, when it has been received, and that the required information was supplied to the County.

NOTE: Inmate "transfer" includes inmates temporarily housed at a county facility while on authorized temporary absence (ATA). The Records Office shall notify the appropriate departments to supply county authorities with all Schedule A items, excluding the court commitment order. County facilities are not required to reciprocate the required information if an inmate is housed in their facility for less than seven days. Section 6 of the checklist must be completed for each ATA.
 - b. When 24-hour advance notice is not given by the county, medical shall be notified; however, documents listed in Schedule A need not be provided.
 - c. The **Department Release Checklist, Section 6, Act 84 Information Requirements Transfer to County (Section 2, Attachment 2-A)** also includes information to be supplied to the Pennsylvania Board of Probation and Parole (PBPP) at the time of an inmate's release to parole and to the Probation Department at the time of the inmate's completion of his/her maximum sentence.
5. Collection of Inmate Debts
 - a. Act 84 of 1998 and Department policy **DC-ADM 005**, require the collection of inmate debts and the disposition of inmate funds collected, consistent with current law.
 - b. It is the responsibility of the Inmate Records Office to provide copies of any court order or official county document involving inmate debt to the Business Office, as soon as it is received. It is recommended that daily incoming mail be sorted

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promptly, with Act 84 materials treated as priority filing. Applicable documents shall be date-stamped to indicate date of receipt.

- c. Court orders dated after October 16, 1998 must be recognized and enforced. Valid documents which pre-date the effective date of the Act and which indicate a debt owed must be recognized and enforced if received **after** the effective date of Act 84 of 1998.
- d. Records Offices shall not initiate Act 84 on inmates currently serving and who were sentenced prior to the enactment of the act unless documentation is received from the county ordering the collection of that debt.
- e. It should also be noted that the Department has determined that it will collect out-of-state restitution for inmates held in Department facilities. These orders are to be treated as if they were issued by the Pennsylvania courts.

6. Dissemination of Record of Money Paid by the Inmate

Record of any money paid by the inmate and any balance remaining toward satisfaction of restitution or any other court ordered financial obligation shall be provided by the Business Office to the Inmate Records Office at the time of notification of impending release. This information shall then be disseminated by the Records Office to the PBPP for inmates being released on parole, and to the Adult Probation Office at the County level, for inmates being released at the expiration of maximum sentence. In the event that an inmate is being transferred to a CCC, this information should be forwarded to the receiving CCC.

Section 8 - Record Retention and Disposition Schedule¹

This section establishes procedures for retention of inmate records and disposition upon release or discharge from the Department. The Records Office is responsible for the breakdown and the retention of files of released or discharged inmates prior to sending the files to the State Records Center.

A. Record Breakdown

Each Department within the facility maintaining records on an inmate is responsible to store and purge their records upon release of an inmate. Each Department will place the record in an inactive status and then purge the record in accordance with the Record Retention Schedule. Upon discharge/release of the inmate, the inmate Records Office is responsible to keep the **DC-15, Inmate Records Jacket, the DC-14, Counselor file**, the employment file, and the Education file for two years after the release. After two years, the Records Office staff will adhere to the Record Retention schedule.

B. Record Retention and Disposition Schedule

Records will be retained at the facility for two years after the discharge/release of the inmate.² Records of inmates released from the Community Corrections Center will be returned to the inmate's last facility (permanent) where he/she was housed. These records shall be returned to that facility immediately following release. The Records Offices shall maintain a listing of all records sent to another facility.

1. All inmate records are retained and disposed under schedule number 67.³ Records are maintained at the releasing facility for two years following their release from custody. Documents are to be purged as described below and the remaining **DC-15** file is to be transferred to the State Records Center.⁴
 - a. Public Safety Face Sheets (PSFS) - Destroy all existing PSFS(s).
 - b. Summary Section - Retain all records in this section.
 - c. Separation Section - Destroy all records in this section.
 - d. Legal Section - Retain all records in this section.
 - e. Identification Section - Destroy all records in this section except information related to resolution of unreported dispositions and the dissemination log.
 - f. Escape Packet - Destroy the envelope and all enclosed information.
 - g. Pre-Release Section - Retain all record in this section.

¹ 1-ABC-1E-04

² 4-4095, 4-4281-8

³ 4-4281-8

⁴ 4-4095

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- h. Correspondence Section - Destroy all records in this section.
 - i. Institution Section - Retain Vote Sheets and Misconducts only from this section.
 - j. Classification Section - Destroy all records in this section.
 - k. P'IN Section - Destroy all records in this section.
 - l. **DC-19 - Negative File Envelope (Section 1, Attachment 1-G)** - Retain it.
2. The following special notes are made in regards to breakdown and purging of the following cases:
- a. **DECEASED INMATE RECORDS (From Natural Causes During Incarceration)** - Retain these records for two years at the facility, then purge and forward them to the State Records Center for destruction 10 years following date of death. One original copy of the death certificate should be in the **DC-15**.
 - b. **DECEASED INMATE RECORDS (From Other Than Natural Causes During Incarceration)** - Retain these records for two years at the facility, then purge and forward them to the State Records Center for permanent retention. The item number for these is 63. One original copy of the death certificates should be put in the **DC-15**.
 - c. **INMATE RECORDS WITH A MAXIMUM LIFE SENTENCE** - Retain these records at the facility until death then transfer to the State Records Center for destruction 10 years following date of death.
 - d. **UNSENTENCED OR UNTRIED INMATE RECORDS** - Take appropriate records action as follows:
 - (1) transfer records to facility to which inmate has been assigned; or
 - (2) destroy records upon unconditional release, if found innocent; or
 - (3) retain record if assigned to same facility.
 - e. **INMATES RELEASED ON BAIL OR VACATED SENTENCES** - Once follow up has been completed on this type of release and the case has been closed, records can be transferred to the State Records Center if two years has elapsed since the release.
 - f. **INMATES TRANSFERRED TO OTHER STATES - DC-15s** of inmates that are serving PA sentences in another state under the Interstate Corrections Compact must be maintained and processed for Record Retention until two years after the date of release.

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3. After records are purged, they should be transferred to the State Records Center for storage until 10 years past the expiration of the maximum sentence.⁵

⁵ 4-4095

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**Section 9 – Outside Clearance, RRRI,
SIP/SIP Conversion & Rebuttable Parole**

**This section is confidential and not for
public dissemination.**

Bail – the security or other guarantee required and given for the release of a person, conditioned upon a written undertaking, in the form of a bail bond, that the person would appear when required and comply with all conditions set forth in the bail bond.

Capital Offense – a crime for which the death penalty may be imposed. [From Pa. Rules of Criminal Procedures.]

Clerk of Courts – the official in each judicial district who has the responsibility and function under state or local law to maintain the official criminal court file and docket, without regard to that person's official title. [From Pa. Rules of Criminal Procedures.]

Guilty But Mentally Ill – a plea to a criminal charge where an individual acknowledges that he or she committed the offense, but that they were mentally ill when the offense was committed.

Indictment – a bill of indictment which has been approved by a grand jury and properly returned to court, or which has been endorsed with a waiver as provided by the Pa. Rules of Criminal Procedure. [From Pa. Rules of Criminal Procedures.]

Information – a formal written accusation of an offense made by the attorney for the Commonwealth, upon which a defendant may be tried, which replaces the indictment in all counties since the use of the indicting grand jury has been abolished. [From Pa. Rules of Criminal Procedures]

Merge - a determination that two or more crimes arose out of same criminal act, transaction, or episode, and that the statutes defining the crimes charged were directed to substantially same harm or evil.

Nolo Contendere - A plea of "nolo contendere" is an implied confession of guilt only and cannot be used against pleader as an admission in any civil suit for same act, but, where a Commonwealth administrative agency is acting to protect citizens by regulating conduct of licensees, a plea of nolo contendere is admissible as evidence of guilt.

Rebuttable Parole – *A process for the Pennsylvania Board of Probation and Parole (PBPP) to follow for less violent offenders who meet established criteria and successfully complete prison programming to be paroled on his/her minimum sentence date. The parole process for eligible offenders is streamlined to facilitate parole release as early as possible. Rebuttable Parole will apply to an offender that is currently incarcerated in the Department as well as to new commitments. An eligible offender would be paroled at his/her minimum sentence date if the PBPP confirms the following:*

1. *The less violent offender has successfully completed all programs required by the Department, and has maintained good conduct;*

2. *The less violent offender has an adequate reentry plan to the community that addresses the needs for housing, employment, or treatment and established conditions of parole; and*
3. *There is no compelling reason why releasing the offender on parole would be dangerous or detrimental to public safety.*

Recidivism Risk Reduction Incentive (RRRI) – A type of sentence for eligible offenders in which the court imposes a regular minimum and maximum sentence and the court indicates that the imposed sentence is also eligible for the Recidivism Risk Reduction Incentive. Eligible offenders will have the opportunity to serve $\frac{3}{4}$ of the minimum sentence for sentences up to three years, and $\frac{5}{6}$ of the minimum sentence for sentences greater than three years by completing program recommendations and maintaining positive adjustment. In order for an inmate to be released at the RRRI minimum sentence, the Department must certify that the inmate has maintained positive adjustment and that the inmate has completed all recommended treatment programming.

Sexual Offenders Assessment Board (SOAB) - The board created by Megan's Law that is responsible for the assessment of sexual offenders and for monitoring the compliance of a sexually violent predator.