

Maintenance and Access of Offender Records.....	2
I. Type and Location of Records.....	2
A. Computer Record.....	2
B. Field Record.....	2
C. Commitment Documents .....	2
D. Medical Record .....	3
II. Offender Unique Numbering System.....	3
A. Initial Reception Information .....	3
B. Procedures for Assigning a Department of Corrections Number.....	4
C. Deletion of Department of Corrections Number .....	4
D. Legal Name Changes .....	4
III. Creation of the Record.....	5
A. Field Record (4-4095, 4-ACRS-7D-08, 4-APPFS-3D-29) .....	5
IV. Organization of Field Record (2-CO-1E-O3, 4-4095, 4-ACRS-7D-08, 4-ACRS-7D-09, 4-APPFS-3D-30) .....	5
A. Field Record.....	5
B. Commitment Document Folder (Legal File).....	8
C. Offender Identification and Reentry Envelope.....	9
V. Transfer of Offender Records.....	9
A. Interfacility Transfers.....	9
B. Transfer to Probation and Parole .....	9
C. Transfer of Field Records Maintained by Probation and Parole to a Reception Center....	9
VI. Removal of Nonessential Material During Interdivisional Transfer (2-CO-1E-09) .....	10
A. Purging of File by Probation and Parole.....	10
B. Purging of File During Incarceration .....	10
C. Purging of File Upon Discharge or Transfer to Probation and Parole .....	11
VII.Maintenance and Transfer of Records of Escapees and Absconders .....	11
VIII.Access to Department of Corrections Offender Records (2-CO-1E-06, 4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28).....	12
A. Restricted Access to Records.....	12
B. Employee Access to Offender Records.....	12
IX. Request for Temporary Custody of Closed Field Records.....	12
X. Inactivation of Field Records (4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28).....	12
A. Procedures for Closing Inactive Field Records .....	12
B. Disposition of Deferred Files.....	13
C. Closing Field Records of Deceased Offenders .....	13
XI. Maintenance and Retention of Inactive Field and Medical Records .....	14
A. Maintenance and Retention Procedures .....	14
XII.Privacy and Security of Offender Records .....	14
A. Releasable Information .....	14
B. Criteria to Release Additional Information .....	15
C. Guidelines to Release Additional Information .....	16
XIII.Offender Requests to Review Records.....	16
A. Review of Criminal History Record .....	16
B. Review of Case History Information .....	17
C. Items Accessible to the Offender.....	17
XIV.Pen Packets .....	18
A. Conviction Information .....	18
XV.References .....	19
XVI.Action.....	19
Referenced Forms .....	20
Referenced Attachments .....	20

Section-06 Classification	OP-060212	Page: 2	Effective Date: 09/25/2014
---------------------------	-----------	---------	----------------------------

Maintenance and Access of Offender Records	ACA Standards: 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03, 2-CO-1E-04, 2-CO-1E-06, 2-CO-1E-07, 2-CO-1E-08, 2-CO-1E-09, 4-4095, 4-4096, 4-4098, 4-4099, 4-4100, 4-ACRS-7D-05, 4-ACRS-7D-08, 4-ACRS-7D-09, 4-ACRS-7D-10, 4-ACRS-7D-11, 4-APPFS-3D-28, 4-APPFS-3D-29, 4-APPFS-3D-30
Robert Patton, Director Oklahoma Department of Corrections	Signature on File

## Maintenance and Access of Offender Records

### I. Type and Location of Records

A field record is maintained for all offenders committed to the Department of Corrections (DOC) for supervision or incarceration. Field records are maintained in a letter size, compartmentalized folder with six sections. For deferred supervision offenders, a two-part manila folder may be used. A computer record will also be maintained for each offender incarcerated or supervised by DOC.

#### A. Computer Record

A computer record will be initiated at a reception center, or probation and parole district office or sub-office when an offender is first received. The record will be maintained and updated as needed by the district office, sub-office or facility having physical custody of or jurisdiction over the offender. The computer record will track the offender throughout the incarceration or supervision. (2-CO-1E-01, 4-4100, 4-ACRS-7D-05, 4-APPFS-3D-30)

#### B. Field Record

The field record, in which all major decisions, pertinent background, and events are recorded, will be initiated in the probation and parole district or the reception and assessment center where an offender is first received. (2-CO-1E-02, 4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28) The record will be maintained by the district or facility having custody of the offender and will follow the offender throughout the incarceration and/or supervision.

#### C. Commitment Documents

1. All certified commitment documents (i.e., Judgment and Sentence, revocation order), "Consolidated Record Card" (CRC) ([DOC 060211H](#)), original copy of the Disciplinary Hearing Report and all attachments, and field records of incarcerated offenders will be stored in lockable, fireproof file cabinets or fireproof compartments with fire rated doors and sprinkler system, in locations inaccessible to offenders.
2. All certified commitment documents and "CRC's" for current and past incarcerations will be stored in a manila folder in a location separate from the field record in facilities that utilize unit management. Copies of these documents will also be maintained in the field record. This

will ensure that a single field record is available to appropriate staff as the offender changes status throughout their incarceration and/or supervision. Such field records will remain active until the offender is released from supervision or custody. At that time, the field record will be forwarded to the Closed Records Unit for disposition.

3. All original forms of personal identification will be maintained in a sealed envelope and stored in the commitment document folder (legal file). Personal identification items include: a certified copy of the Birth Certificate, Social Security, state issued identification card, state issued driver license, United States passport, military records (DD214), Certificate of Degree of Indian Blood (CDIB), Oklahoma tribal photo ID card, or photo identification issued by an Oklahoma technology center school. Copies of these documents will also be maintained in the field record.

D. Medical Record

Medical records are created and separately maintained in accordance with [OP-140106](#) entitled "Healthcare Record System."

II. Offender Unique Numbering System

The records office at each reception center will ensure a unique number is assigned to each offender committed to DOC for incarceration. Each probation and parole district will ensure a unique number is assigned to each offender sentenced/ordered for supervision. Community sentencing staff will ensure a unique number is assigned to each offender sentenced to a community sentence.

A. Initial Reception Information

Upon initial reception of any person for supervision or incarceration, the following information, at a minimum, will be obtained:

1. Name as it appears on the current judgment and sentence, order of probation or other committing document;
2. Offender's true name;
3. Any known alias names;
4. Date of birth;
5. Race/gender;
6. Social security number;
7. Oklahoma State Bureau of Investigation (OSBI) number;
8. Federal Bureau of Investigation (FBI) number; and

9. Any known prior DOC numbers.

B. Procedures for Assigning a Department of Corrections Number

1. On new receptions, the reception center or probation and parole/community sentencing district will research the computer files to determine if a prior number had been assigned to the offender. The reception center or probation and parole/community sentencing district will request that the Offender Records Unit search the manual files, should they have cause to believe a prior number exists.
2. If a prior number or numbers exist for an offender, the offender will be given the highest number previously assigned. In some instances, the lower number may be given to ensure all the computer files are combined.
3. If no prior number exists, the offender will be assigned the next available identification number.
4. The coordinator of the Offender Records Unit is the final authority regarding number assignment.

C. Deletion of Department of Corrections Number

1. The Offender Records Unit will delete the assigned number of an offender upon receipt of a court-ordered expungement.
2. Numbers assigned in error must be deleted by the respective area making the assignment.
3. The numbers of deferred sentences that have expired and pre-sentence investigations in which no supervision or incarceration are ordered, will be deleted by the respective area making the assignment. Deleted numbers will not be reassigned.

D. Legal Name Changes

1. Offenders who receive a legal name change in accordance with current Oklahoma law will submit that information to records staff. The new name will be entered into the offender's record as an alias entry.
2. The commitment name as it appears on the judgment and sentence will not be changed on the agency's records unless the judgment and sentence is modified by the sentencing court.
3. The new name will be forwarded to the FBI and the OSBI on an updated fingerprint card.

III. Creation of the Record

A. Field Record (4-4095, 4-ACRS-7D-08, 4-APPFS-3D-29)

1. Upon reception of an offender, either for supervision or incarceration, the receiving district or facility will ask the Closed Records Unit for an existing closed field record. The Closed Records Unit will search DOC files for any record of previous periods of supervision or incarceration. Within one working day, the appropriate district or facility will be advised by the Closed Records Unit of the existence or nonexistence of prior records.
2. In instances in which a prior record is located, the Closed Records Unit will send the record to the appropriate district or facility within two working days. In instances in which no prior record exists, the district or facility will create a field record for the newly received offender.

IV. Organization of Field Record (2-CO-1E-O3, 4-4095, 4-ACRS-7D-08, 4-ACRS-7D-09, 4-APPFS-3D-30)

A. Field Record

The following materials (when applicable) will be placed in the record sections as indicated and will be maintained in chronological order, the most recent material on top. All materials will have the appropriate signatures and dates prior to placement in the field record.

**Section One--Legal, Institutions and CCC's**

Acknowledgment of Release to Deportation Order	Copies of Offender Identification and Re-Entry Envelope
Court Minutes	Order Revoking Parole/Probation
Death Warrants	Parole Certificate
Death Certificate	Pardon Certificate
Detainers	Property Inventory Form
Designation for Disposition of Personal Property	Photo Packet
District Attorney's Information	Rap Sheet
Executive Leave	Reception Intake Form
Extradition Paperwork	Receipt for Prisoner/Documents/ Detainer
Fingerprint Card	Requests for Notification
Identification Packet	Sheriff's Receipt
Interstate Agreement on Detainers Forms	Specialized Offender Accountability Plan
Jail Time Statement	Stay of Execution
Judgment and Sentence	Warrants
Mandates and Opinions	Writs
NCIC Search	Related Correspondence
Notice of Court Cost Hearing	
Notice of Transportation Costs	

### **Section One--Legal, Probation and Parole**

Application to Accelerate	Parole Certificate
Application to Revoke	Rap Sheet
Court Minutes	Requests for Notification
Death Certificate	Restitution Schedule
District Attorney's Information	Rules and Conditions
Judgment and Sentence	Specialized Offender Accountability Plan
Mandates and Opinions	Summary of Facts
Motion to Dismiss	Warrants
NCIC Search	Writs
Copies of Offender Identification and Re-Entry Envelope	Related Correspondence

### **Section Two--Credit and Sentence Information, Institutions and CCC's**

Certificate of Release	In-Processing & Time Calculation Audit Form
Consolidated Record Card (Copy only, original in commitment folder)	Intrafacility Assignment Form (if used to award credits)
Earned Credit Class Report	Monthly Earned Credit Report
Eligibility for Enhanced Level 3 and 4 Credits	Rebill Form
Escape Reports	Release Checkout Sheet
Final Disposition Report	Reporting Instructions & Acknowledgments

### **Section Two--Credit and Sentence Information, Probation and Parole**

Deferred Evaluation Summaries	Termination Summary
Discharge Notices	Transmittals Regarding Openings and Closure
Final Disposition Report	Verification of Closure
Information Acknowledgment	Related Correspondence
Summary of Supervision	

### **Section Three--Assessment and Intake Information, Institutions and CCC's**

Assessment of Protective Measure Need	Assessment Instruments
Case Plan	Offender Case History
Cell Assessment Form	Offender Accountability Plan
Classification Audit Form	Physical Description
Custody Assessment Scale	Protective Custody Review
District Attorney's Narrative	Reassessment of Protective Measure Need
Family/Employment History	Reception/Intake Form
Facility Assignment Form	Record of Chemical Abuse Testing (if positive)
Housing Assignment Form	Reintegration Assessment Referral Form
Initial Custody Assessment/Facility Assignment Form	Related Correspondence
Offender Profile Screening	Request for Protective Measures
Interstate Investigation	Separatee/Medical Flag
Intra-Facility Assignment	Test Results
Juvenile Criminal Records	Verifications

### **Section Three-Assessment and Intake Information, Probation and Parole**

Interstate Investigations (Plus Forms III & V)	Pre-Pardon Investigation
LSI/ASUS	Pre-Parole Investigation
Mediation Report	Pre-Sentence Investigation
Offender Accountability Plan	Screening Information
Personal History Summary	Verifications
	Related Correspondence

### **Section Four-Programs/Case Management, Institutions and CCC's**

Adjustment Review	Offender Financial Responsibility
Administrative Segregation Hearing	Pre-Release Checklist
Administrative Special Management	Program/Work Referral
Offender Notice	Related Case Material or Correspondence
Chronological Record	Release of Information Authorization
Education and Vo-Tech Information	Request for Review of Individual
Escorted Leave Forms	Department of Corrections Record
Halfway House/GPS/EMP Screening Form	Segregation Housing Order
New Arrival Review	Segregation Review
	Substance Abuse Information
	Visiting and Telephone Information

### **Section Four-Programs/Case Management, Probation and Parole**

Assessment of Needs	Request for Review of Individual
Assessment of Risk	Department of Corrections Record
Chronological Record	Special Reports
Reassessment of Needs	Substance Abuse
Reassessment of Risks	Related Memos & Correspondence
Release of Information Authorization	

**Section Five-Parole Consideration/Probation and Parole Supervision, Institutions and CCCs**

Notice of Pardon and Parole Board Hearing Results	Parole Stipulation Report
Pardon and Parole Board Investigator Report	Parole Waiver
Parole Matrix Assessment	Parole Status Report
	Related Memos & Correspondence

**Section Five--Parole Consideration/Probation and Parole Supervision, Probation and Parole**

Court Cost Receipts	Probation Fee Receipts and Notices
Delinquent Notices	Restitution Receipts and Notices
Notice of Change of Address	Travel Permits
	Written Reports

**Section Six--Misconducts and Revocations, Institutions and CCCs**

Administrative Review Authority	Incident Reports
Correspondence	Misconducts

**Section Six--Misconducts and Revocations, Probation and Parole**

Arrest Reports	Parole Revocation Documentation
Notice of Executive Revocation Hearing	Supplemental Reports
Notice of Probable Cause Hearing	Violation Reports
	Waiver of Executive Hearing

**B. Commitment Document Folder (Legal File)**

The following documents for all incarcerated offenders will be maintained in a manila folder separate from the field record:

1. Certified commitment documents; parole revocation certificates;
2. Consolidated Record Cards (CRC's) for all closed sentences and for any unrevoked or consecutive parole violation sentences;
3. Original copy of the "Disciplinary Hearing Report" and all attachments; and
4. Jail time statements.

Section-06 Classification	OP-060212	Page: 9	Effective Date: 09/25/2014
---------------------------	-----------	---------	----------------------------

5. All original forms of personal identification will be maintained in a sealed envelope and stored in the commitment document folder (legal file). Personal identification items include: a certified copy of the Birth Certificate, Social Security, state issued identification card, state issued driver license, United States passport, military records (DD214), Certificate of Degree of Indian Blood (CDIB), Oklahoma tribal photo ID card, or photo identification issued by an Oklahoma technology center school.
  - a. When an offender discharges or paroles, they are to be given all forms of identification contained in the envelope.
  - b. When an offender discharges or paroles, the commitment document folder will be retained in Section 2 of the file.

C. Offender Identification and Reentry Envelope

A copy of the forms of personal identification in the commitment folder and original offender identification (ID) cards will be maintained in Section 1 of the field record in an envelope no larger than 8 ½ x 11. The contents will be documented on the cover of the envelope.

V. Transfer of Offender Records

Any record created by or assigned to a facility/district is the responsibility of that entity until such record is transferred to either another facility/district or the Closed Records Unit.

A. Interfacility Transfers

When an offender is transferred from one facility or district to another, the offender's records will normally be transferred with the offender or transferred within 72 hours. (2-CO-1E-04, 4-4096, 4-ACRS-7D-10)

B. Transfer to Probation and Parole

Upon an offender's release to probation or parole, the field record will be forwarded within five working days to the appropriate probation and parole district for use in supervision of the offender. The offender's medical record will be transferred to the Closed Records Unit. The "Record Transfer/Verification" ([DOC 060212E](#), attached) will be completed and attached to the field record prior to transfer.

C. Transfer of Field Records Maintained by Probation and Parole to a Reception Center

1. Upon notification that an offender supervised by probation and parole is received at a reception center, the records officer will notify the supervising probation and parole district and request the field record be sent to the appropriate reception center. The district supervisor

Section-06 Classification	OP-060212	Page: 10	Effective Date: 09/25/2014
---------------------------	-----------	----------	----------------------------

will ensure the records are sent to the reception center within two working days following the notification of reception.

2. The appropriate district supervisor will ensure the field record accompanies a parole client who is pending revocation and is returned to the reception center.
3. The field record of a confined incarcerated offender who also has an unrevoked parole or suspended sentence will remain in the possession of the facility at which the offender is incarcerated.

VI. Removal of Nonessential Material During Interdivisional Transfer (2-CO-1E-09)

Materials deemed to be nonessential will include all duplicate materials, any hard copy recreation of a microfilmed record, and the specific items cited below.

A. Purging of File by Probation and Parole

Items to be removed by the probation and parole district office when a record is transferred by probation and parole to a departmental facility or the Closed Records Unit are:

1. FBI/OSBI rap sheets (except most recent);
2. Verification of general orientation;
3. Risk Assessment/Reassessment (except most recent);
4. Needs Assessment/Reassessment (except most recent);
5. Non-monetary restitution (if sentence is completed);
6. Written reports (except most recent);
7. Probation fee receipts and notices (only if sentence is completed and fees have been reconciled with Restitution and Accounting);
8. Court cost receipts (only if sentence is completed); and
9. Restitution receipts and notices (only if sentence is completed and fees have been reconciled with Restitution and Accounting).

B. Purging of File During Incarceration

Items to be removed by the facility during incarceration are:

1. FBI/OSBI rap sheets (except most recent);
2. Monthly current release date report (computer printout);

Section-06 Classification	OP-060212	Page: 11	Effective Date: 09/25/2014
---------------------------	-----------	----------	----------------------------

3. Local forms;
4. "Record of Chemical Abuse Testing" (unless used for disciplinary purposes).

C. Purging of File Upon Discharge or Transfer to Probation and Parole

Items to be removed and destroyed by the facility when a record is transferred to the Closed Records Unit or to a probation and parole district are:

1. All visiting information (except visitor card and any pertinent information concerning denials of visits);
2. Leave requests;
3. Pride contracts;
4. Correspondence requests; and
5. Needs assessment.

VII. Maintenance and Transfer of Records of Escapees and Absconders

- A. Maintenance of field records subsequent to an offender escaping or absconding, but prior to disposition of the case, will be performed by the facility or the probation and parole district from which the offender is absent.
- B. Once an escape or act of absconding has been confirmed, the computer record of the offender will be updated no later than the next working day to reflect the occurrence as a movement.
- C. Subsequent to a parole absconder's apprehension, the district supervisor will ensure the field record accompanies the offender pending revocation when returned to a reception center.
- D. Should the disposition of an escape case require the return of the offender to a more secure DOC facility, the record will be transported with the offender.
- E. Immediately upon reception of an offender for service of an escape charge, the reception center records officer will contact the facility from which the offender escaped and request that the field record be sent within 48 hours.

Section-06 Classification	OP-060212	Page: 12	Effective Date: 09/25/2014
---------------------------	-----------	----------	----------------------------

VIII. Access to Department of Corrections Offender Records (2-CO-1E-06, 4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28)

A. Restricted Access to Records

Areas in which offender field records are actually maintained will have restricted access to offenders, the public, and staff whose duties do not require access.

B. Employee Access to Offender Records

DOC employees whose duties require access to offender records will be provided access to such records upon request. An employee may be required to demonstrate the relationship between the request for the offender's records and their job duties. Written authorization by the employee's supervisor may be required before record access is permitted.

IX. Request for Temporary Custody of Closed Field Records

If the need for temporary custody of a closed field record arises, the requesting agency employee will contact the Closed Records Unit, providing the offender name and DOC number. The question may be asked to the specific need and duration for temporary custody of the closed record. If the request is questionable, the closed records coordinator will be contacted.

X. Inactivation of Field Records (4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28)

A. Procedures for Closing Inactive Field Records

After termination of DOC jurisdiction over any offender, including corrections compact and interstate compact offenders, the facility or district having custody of the offender's field record will be responsible for the following:

1. Placing at the front of each of the six sections of the file, the "Six Part Closure" termination sheet ([OP-160201, Attachment C](#)) on which the offender's name, number, date and reason for closure have been noted;
2. Completing a "Final Disposition Report" (FBI Form R-84) and submitting the original to the Oklahoma State Bureau of Investigation (OSBI). A copy will be retained in the file. (For discharging or paroling sentences of incarceration only);
3. Filing all required documents and purging from the file all duplicate and nonessential material;
4. Completing any specialized closing procedures required by the respective division; and

5. Forwarding within 20 working days, the field record to the Closed Records Unit. The "Record Transfer/Verification" ([DOC 060212E](#)) will be completed and attached to the field record prior to transfer.

B. Disposition of Deferred Files

1. Deferred files will be retained in the district office until 60 days after expiration of the deferred period, and then destroyed. Deferred cases with a pending Application to Accelerate will be maintained by the district until disposition of such action.
2. Files may be destroyed by shredding, burning, or using an approved document destruction company.
3. Approval to use a document destruction company will be obtained from the offender records coordinator.

C. Closing Field Records of Deceased Offenders

1. Upon notification by appropriate health services personnel of an offender death, the field record will be closed in accordance with this procedure. In cases of suspicious death, homicides, and suicides, the field file will be maintained at the facility/district until any investigation surrounding the death has been completed.
2. When a probationer, parolee, or other offender under the supervision of a district dies, district personnel may close the field record upon verification of the death with any of the following documentation:
  - a. Obituary or newspaper article;
  - b. Written statement from a doctor or funeral director; and
  - c. Notification by a law enforcement agency.
3. If a probationer or parolee is believed to be deceased and the above documentation cannot be obtained, it will be necessary to obtain a death certificate. District personnel will ensure completion of "Request for Death Certificate" ([DOC 060212A](#), attached).
  - a. The completed form will be forwarded to the Offender Records Unit who will use the information to obtain a death certificate from the Bureau of Vital Statistics.
  - b. Upon receipt of the death certificate from the Offender Records Unit, the field record may be closed.

## XI. Maintenance and Retention of Inactive Field and Medical Records

### A. Maintenance and Retention Procedures

All inactive records will be maintained indefinitely in numerical order in the Closed Records Unit.

1. The conversion to digital format, microfilming or destruction of offender records will be in accordance with the retention schedule established and approved by the State Archives and Records Commission.
2. All microfilm of field records will be maintained as a part of the Offender Records Unit and will be accessible within that unit. Records converted to a digital format are maintained on an agency server and accessible to designated staff.
3. The Offender Records Unit will maintain an index of all records available on microfilm and digital format, and will provide for the viewing and copying of such records.

## XII. Privacy and Security of Offender Records

Confidentiality of information contained in offender records will be maintained according to the following procedures. (2-CO-1E-08, 4-4095, 4-ACRS-7D-08, 4-APPFS-3D-28)

### A. Releasable Information

The following information may be released concerning an offender (either active or inactive):

1. Criminal justice agencies- Any information contained within an offender file will be made available to criminal justice agencies when an official request is made in conjunction with an ongoing investigation or prosecution of an active or inactive offender or when such request is being made in the course of official business. This information will not include any content from the medical record. Requests for information from the medical record will be in accordance with [OP-140108](#) entitled "Privacy of Protected Health Information."
2. Other agencies, organizations, or individuals:
  - a. Offender name--true, committed, and alias;
  - b. Current offender register number;

Section-06 Classification	OP-060212	Page: 15	Effective Date: 09/25/2014
---------------------------	-----------	----------	----------------------------

- c. Current place of incarceration or supervision and any movement history;
  - d. Current age and/or date of birth;
  - e. Race/gender;
  - f. Offense;
  - g. County of conviction;
  - h. Sentence information;
  - i. Current release date;
  - j. Program status;
  - k. Institutional adjustment/conduct;
  - l. Any official action or due process;
  - m. Date and type of release; and
  - n. Sex Offender Registration data (except social security number).
3. The above referenced items may be released when the information is available on a DOC court document, or any form or document issued by another agency, organization, or individual that has been sent to DOC for inclusion in an offender record. Copies may be obtained by non-government entities at a cost of \$.25 per page.
  4. Where a question may exist concerning the identity of the offender about whom information is sought, the requestor may be required to provide further identification of the offender before a response is provided.

**B. Criteria to Release Additional Information**

Information in addition to that previously stated will only be released to non-criminal justice agencies, organizations, or individuals when one of the following criteria is met:

1. A specific agreement exists between DOC and the requesting agency, organization, or individual to provide services to offenders supervised or incarcerated by DOC.
2. The information is needed by a government agency to accomplish its authorized responsibilities.

3. A court requires the release of such record.
4. Subject to restrictions as defined in this memorandum, the offender about whom the information relates requests the release of information by properly completing an "Authorization to Release Department of Corrections Record Information" ([DOC 060212F, attached](#)) itemizing the specific information to be released. (2-CO-1E-07, 4-4099, 4-ACRS-7D-08)
5. The information is requested by the United States Census Bureau for use in statistical reporting.
6. There exists a research agreement between DOC and the requesting agency, organization or individual in accordance with [OP-021501](#) entitled "Procedures Regulating Research."
7. As approved by the director, associate director of Field Operations, division manager, General Counsel or public information officer.
8. The information is a part of an announcement or a poster relating to the escape and apprehension of an offender.

C. Guidelines to Release Additional Information

Information released in accordance with the above will follow the guidelines listed below:

1. It will be as brief, concise, and as specific as possible, with no family or social history disclosed.
2. Disclosure of any criminal history or rap sheet information obtained from an official government criminal history record repository will only be provided to federal, state, county, or city law enforcement agencies.

XIII. Offender Requests to Review Records

Offenders wishing to review their records will be allowed to do so once every six months unless significant changes occur more frequently. (4-4098, 4-ACRS-7D-11)

A. Review of Criminal History Record

The offender wishing to review the criminal history information will complete a "Request for Review of Individual Criminal History Record" ([DOC 060212B, attached](#)) and forward the form to the assigned case manager or supervising officer.

Section-06 Classification	OP-060212	Page: 17	Effective Date: 09/25/2014
---------------------------	-----------	----------	----------------------------

1. Upon receipt of such request, the case manager or supervising officer will ensure that an up-to-date FBI or OSBI abstract is available and will schedule an appointment for the offender's review of the criminal history information. The review will be conducted by the case manager or supervising officer with the offender. Under no circumstance will the offender be given the file to conduct the review.
2. If, during the course of such review, the offender determines that an item of information contained in the record is in error, the case manager or supervising officer will provide the offender a copy of that portion of the record that is under question.
3. The case manager or supervising officer will then assist the offender in the completion of a "Challenge of Criminal History Record" ([DOC 060212C](#), attached). The challenge will be forwarded to the reporting agency for response. Should DOC be the reporting agency in such a challenge, the request for corrections will be forwarded to the offender records coordinator for disposition.

**B. Review of Case History Information**

An offender desiring to review case history materials maintained in their record will complete a "Request for Review of Individual Department of Corrections Record" ([DOC 060212D](#), attached) and forward the form to their case manager or supervising officer.

1. The case manager or supervising officer will ensure that a personal interview is scheduled to provide documents to the offender within 15 days following such request. The review will be conducted by the case manager or supervising officer with the offender. Under no circumstance will the offender be given the file to conduct the review.
2. Offenders who are no longer actively supervised or incarcerated may request to review their record from the Closed Records Unit. The closed records coordinator will ensure the record is made available for review within 30 days following receipt of such request.

**C. Items Accessible to the Offender**

All items maintained in an offender record will be accessible to the offender with the following exceptions:

1. Information which is created by an outside agency or jurisdiction or is submitted by a private citizen;
2. Confidential statements from offenders and staff concerning misconducts or serious incidents;
3. Investigatory material gathered and prepared by the Department of

Corrections or other criminal justice agencies; and

4. Any other material deemed confidential by the director of the Department of Corrections.

If the offender desires copies of accessible items maintained in their record, copies may be provided at a cost of 25¢ per page with no waiver of costs or credit allowed.

#### XIV. Pen Packets

##### A. Conviction Information

Prior conviction information, commonly referred to as a “Pen Packet,” will be provided by the Offender Records Unit to district attorneys and other law enforcement officials in the state of Oklahoma, in other states, and the federal government. With information provided by this service, prosecutors can prove previous convictions, thus allowing them to request enhanced punishment through “After Former Conviction of Felony” provisions of the law. Similar information may be obtained for defense attorneys upon receipt of signed release of information forms completed by the offender. All requests, unless approved by the offender records coordinator in an emergency situation, must be made in writing on the official letterhead of the agency or jurisdiction prosecuting an offender.

1. The information will be obtained from the closed record or, in the case of actively supervised or incarcerated offenders, the active field record. At a minimum, copies of the following documents will be collected to comprise the information packet:

- a. Photograph, if available;
- b. All commitment documents;
- c. Fingerprint card, if available; and
- d. Parole certificate.

2. Judgment and Sentence

If the FBI and OSBI abstract (rap sheet) or other departmental references indicate service of a term for which no judgment and sentence can be located within the record, the offender records coordinator or designee will contact the court clerk of the county of conviction in order to obtain a copy of the required judgment and sentence.

3. Affidavit of Authenticity

Once all necessary documentation has been received and collected; an affidavit of authenticity will be prepared and signed by the offender records coordinator or properly registered designee. This notarized affidavit and all copies of documentation will then be delivered to the office of the Secretary of State for the state of Oklahoma for certification.

4. Signed Authenticity

After the certificate of authenticity has been signed by the Secretary of State, the Offender Records Unit will send all documentation to the party requesting prior incarceration information.

XV. References

Policy Statement No. P-060100 entitled "Classification and Case Management of Offenders"

OP-021501 entitled "Procedures Regulating Research"

OP-140106 entitled "Medical Record System"

OP-140108 entitled "Privacy of Protected Health Information"

XVI. Action

The appropriate division manager is responsible for compliance with this procedure.

The associate director of Field Operations is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-060212 entitled "Maintenance and Access of Offender Records" dated August 22, 2012

Distribution: Policy and Operations Manual  
Agency Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
<a href="#">DOC 060211H</a>	"Consolidated Record Card"	<a href="#">OP-060211</a>
<a href="#">DOC 060212A</a>	"Request for Death Certificate"	Attached
<a href="#">DOC 060212B</a>	"Request for Review of Individual Criminal History Record"	Attached
<a href="#">DOC 060212C</a>	"Challenge of Criminal History Record"	Attached
<a href="#">DOC 060212D</a>	"Request for Review of Individual Department of Corrections Record"	Attached
<a href="#">DOC 060212E</a>	"Record Transfer/Verification Sheet"	Attached
<a href="#">DOC 060212F</a>	"Authorization to Release Department of Corrections Record Information"	Attached
<u>Referenced Attachments</u>	<u>Title</u>	<u>Location</u>
<a href="#">Attachment C</a>	"Six Part Closure" (Termination Sheet)	<a href="#">OP-160201</a>