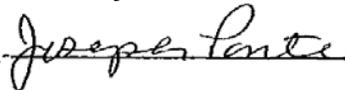


POLICY TITLE: TRANSFER OF PRISONER RECORDS, GENERAL		PAGE <u>1</u> OF <u>3</u>
POLICY NUMBER: 11.7		
CHAPTER 11: RECORDS		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner: 	PROFESSIONAL STANDARDS: See Section VII
	EFFECTIVE DATE: February 1, 2002	LATEST REVISION: November 21, 2011

I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A. Section 1403.

II. APPLICABILITY

All Departmental Adult Facilities

III. POLICY

It is the policy of the Department of Corrections to provide the Consolidated Record to a Departmental facility that a prisoner is transferred to. It is also the policy of the Department of Corrections to provide copies of the Administrative Record, a summary of the Health Care Record, and copies of other relevant documents to another jurisdiction upon transfer to a facility in that jurisdiction. To ensure efficient processing of prisoners when they are transferred to other facilities, records are to be forwarded at the time the prisoner is transferred to other facilities.

IV. CONTENTS

- Procedure A: Transfer of Records, General
- Procedure B: Security Procedures, Transfer and Transport of Prisoner Records
- Procedure C: Receipt of Prisoner Records
- Procedure D: Returning Inactive Prisoner Records to Reception Facility

V. ATTACHMENTS

None

VI. PROCEDURES

Procedure A: Transfer of Records, General

1. Each facility shall transfer prisoner records consistent with applicable legal requirements, professional standards and the Department's policies and procedures.
2. The consolidated record, with the exception of the financial record, shall accompany the prisoner at the time of transfer to another Departmental facility. The financial record shall be transferred at the time of the prisoner's transfer, if possible or, at a minimum, within three (3) working days of transfer. Copies of the administrative record, the prisoner's complete active health care record (secured separately), and copies of other relevant documents shall accompany the prisoner at the time of transfer to a facility in another jurisdiction. In an emergency, a minimum of the prisoner's Universal Sheet, medication(s), and a summary of the health care record or any available medical information shall be transferred with the prisoner. If not provided at the time of transfer, the prisoner's complete active health care record shall be sent to the receiving facility within twenty-four (24) hours. Everything else required to be sent to the receiving facility shall be sent as soon as possible, but no later than three (3) working days after the transfer.
3. The Chief Administrative Officer, or designee, shall ensure that appropriate coordination and communication with the Central Office Director of Classification occurs to facilitate decisions regarding transfers of prisoners and their records.
4. For each interstate transfer, the Classification Officer, or designee, shall be responsible for providing the Director of Classification with copies of each item indicated on the Interstate Transfer Information Sheet.
5. The facility's Director of Support Services, or designee, shall be responsible for reconciling the prisoner's financial record for inclusion in the consolidated record or forwarding within three (3) working days.
6. The Property Officer, or other designated staff, shall be responsible for reconciling the prisoner's property record for inclusion in the consolidated record.

Procedure B: Security Procedures, Transfer and Transport of Prisoner Records

1. The Chief Administrative Officer, or designee, shall ensure that appropriate security procedures are implemented for the transfer and transport of prisoner records.
2. Upon notification that a prisoner is being transferred, the facility's Classification Officer or Records Officer, or other designated staff, shall ensure all records required for the prisoner's transfer are collected and provided to the transporting staff.
3. The prisoner's health care record and any medication provided by the sending

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facility's health care staff shall be placed and secured in a carrying case(s) identified with the receiving facility's name or initials. The carrying case(s) shall be sealed with a numbered tag.

4. Prior to departure from the sending facility, the transporting staff shall sign the Prisoner Records Movement Sheet.
5. The sending facility's Classification Officer, Records Officer, or designee, shall retain a copy of the receipt signed by the transporting staff for a minimum of thirty (30) days after the transfer.
6. The transporting staff shall ensure the transferred prisoner records are never left unattended or made accessible to prisoners in transit. The carrying case shall not be opened, unless authorization is received from the Chief Administrative Officer of the sending or receiving facility or the Department's Director of Classification.
7. The transporting staff shall give the records to the staff receiving the prisoner. Staff receiving the records bag shall sign the Record's Movement Sheet. The receipt shall be included in the prisoner's Administrative Record by the Classification Officer, Records Officer, or designee.

Procedure C: Receipt of Prisoner Records

1. Upon receiving transferred records, the receiving facility's Classification Officer, Records Officer, or designee, shall be responsible for inspecting all transferred records, including transfer receipts.
2. The Classification Officer, Records Officer, or designee, shall confirm all required components of the consolidated record have been received and shall distribute the components to the appropriate department.

Procedure D: Returning Inactive Prisoner Records to Reception Facility

1. Inactive prisoner records shall be transferred to the reception facility on a quarterly basis.

VII. PROFESSIONAL STANDARDS

ACA:

ACI - 4-4096 Written policy, procedure, and practice provide that an updated case file for any inmate transferred from one institution to another is transferred simultaneously or, at the latest, within 72 hours.

4-ACRS-7D-10 An updated case record for any offender transferred from one facility to another is transferred simultaneously or at the latest within seventy-two hours.

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