


<b>POLICY TITLE: CASE RECORDS - SECURITY</b>		<b>PAGE 1 OF 3</b>
<b>POLICY NUMBER: 9.2 - ACC</b>		
<b>CHAPTER 9: SUPERVISION AND CASE MANAGEMENT</b>		
	<b>STATE of MAINE</b> <b>DEPARTMENT OF CORRECTIONS</b> <b>Adult Community Corrections</b>	<b>PROFESSIONAL STANDARDS</b>  <b>See Section VII</b>
	<b>Approved by:</b> <u><i>Martin Magnusson</i></u> <b>Signature of Commissioner</b>	
<b>EFFECTIVE DATE:</b> September 5, 2006	<b>LATEST REVISION:</b>	<b>CHECK ONLY IF</b> APA [ ]

**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**

Adult Community Corrections

**III. POLICY**

It is the policy of the Department of Corrections that case records for Adult Community Corrections be created, maintained, and disposed of in accordance with all legal requirements and Departmental policy and procedures. This policy and procedures shall be reviewed on an annual basis and updated as necessary.

**IV. CONTENTS**

Procedure A: Creation and Maintenance of Case Records  
 Procedure B: Storage and Security of Case Records  
 Procedure C: Maintenance and Disposal of Inactive Case Records

**V. ATTACHMENTS**

None

**VI. PROCEDURES**

**Procedure A: Creation and Maintenance of Case Records**

1. A case record shall be created and maintained for every client, consistent with legal requirements and Departmental policy and procedures.

2. The case record shall consist of the following:

- a. Court documents
- b. Intake documents
- c. Restitution set-up documentation
- d. Correctional facility documents
- e. Criminal justice agency documents
- f. Copies of documents filed by a Probation Officer with the court
- g. Release documents
- h. Investigation reports, including pre-sentence investigations, pardon investigations, furlough investigations, supervised community confinement investigations, probation violation reports, post sentence investigations
- i. Interstate Compact documents
- j. DNA testing verification and documentation
- k. Correspondence from outside agencies, including treatment agencies, educational institutions, medical or psychiatric facilities, legal counsel, and other state agencies
- l. Correspondence from probationers, including letters, notes and assignments
- m. Case notes (a.k.a. road notes)
- n. Other documents or copies of correspondence generated by Probation & Parole, including but not limited to case plans, risk assessments, letters and written warnings to probationers.
- o. Any of the items listed above in items a. through n. which may have been part of a closed case record and have been made part of a more recent case record relating to the same client.

3. Case notes shall be maintained in CORIS by Probation Officer's to record formal and informal observations, interviews, interactions with the probationer, all relevant communications, all collateral contacts, and actions taken with the case.

#### **Procedure B: Storage and Security of Case Records**

1. All case records, automated and manual, shall be kept confidential and secure at all times. At all times, manual case records shall be stored in either probation and parole regional offices or sub-offices or in the Central Office of the Maine Department of Corrections.
2. Automated case records shall only be saved and stored on computers and equipment issued or approved by the Department. Any software or equipment storing case record information shall be kept in a secure manner and location.
3. Whenever any authorized employee of the Maine Department of Corrections accesses one or more case file(s), they must take every precaution to ensure that the case file(s) is not left where it can be found or easily accessed by unauthorized

<b>POLICY NUMBER/TITLE</b>	<b>CHAPTER NUMBER/TITLE</b>	<b>PAGE NUMBER</b>
<b>9.2 – ACC - Case Records - Security</b>	<b>9. Supervision and Case Management</b>	<b>Page 2 of 3</b> 9/5/06

people and to return it to its secure location as designated by the Regional Correctional Administrator.

4. Whenever a probationer is transferred to another office, the sending officer shall ensure that the automated records and a copy of the manual records are sent to the appropriate office.

**Procedure C: Storage and Disposal of Inactive Case Records**

1. All inactive, manual case record files shall be stored in filing cabinets located in a secure location designated by the Regional Correctional Administrator for at least ten (10) years following the date on which the respective client was last in an active status.
2. Any inactive case records relating to a client who re-enters an active status shall be consolidated with and made part of the active case record.
3. Case records which have been stored in an inactive status for at least ten (10) years following the date on which the respective client was last in an active status may be sent to State Archives by the Regional Correctional Administrator for storage as required by law.

**VII. PROFESSIONAL STANDARDS**

**ACA: 3-3101, 3102 (APPFS)**

POLICY NUMBER/TITLE	CHAPTER NUMBER/TITLE	PAGE NUMBER
9.2 – ACC - Case Records - Security	9. Supervision and Case Management	Page 3 of 3 9/5/06