

IN THE OHIO SUPREME COURT
STATE EX REL. ALPHONSO MOBLEY JR.
RELATOR

V.

OHIO DEPARTMENT OF REHABILITATIONS
AND CORRECTIONS
RESPONDENT

CASE NO. 2021-0725
ORIGINAL ACTION IN MANDAMUS

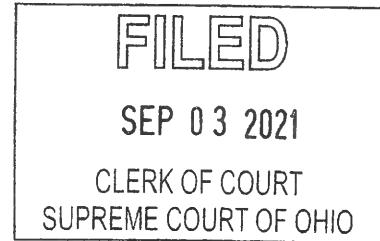
RELATOR'S AFFIDAVIT OF TRUTH

PURSUANT TO OHIO S.CT.PRAC.R. 12.06

I, Alphonso Mobley Jr. Relator in the instant action, do hereby swear do hereby swear under penalty of perjury the forgoing statements are true and correct to the best of my knowledge and understanding and I am competent to testify to the same:

1. The following "reference numbers consist of several informal complaints, grievances and appeals that have either been granted or exhausted pursuant to Ohio Administrative Rule ("OAC")
5120-9-31. Relator swears the attached OAC rule is true and correct:

- a. NEOCC0321001202
- b. NEOCC0321001171
- c. NEOCC0321000511
- d. NEOCC0221000834
- e. NEOCC0221000446
- f. NEOCC0121000995
- g. NEOCC0121000973
- h. NEOCC1220000780
- i. NEOCC0420000605
- j. NEOCC0120000171
- k. NEOCC1019000050



2. Specifically grievance number NEOCC0321001171 pertains to the exhaustion of the inmate grievance procedure in regards to the instant action. Here Relator would file a direct grievance to against the institutions inspector for violating Ohio law, specifically Ohio Revised code §2969.26. The "acting" chief inspector for NORTHeast Ohio Corrections Center would deny this grievance asserting that the prison was under no obligation to print administrative informal complaints grievances and appeals for inmates.
3. Relator only requested the informal complaints, grievances and appeals that pertains to himself only.
4. The kite requested, as referenced in the complaint, are too numerous to number in the instant affidavit. However, kites are identified as part of the Relator's Master Record pursuant to

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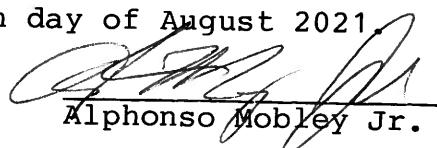
ODRC policy 07-ORD-03 & 07-ORD-13. Relator swears the attached policy is true and correct.

5. Relator requests kites from his Master Record that only pertain to himself.
6. Pursuant to ODRC policy 07-ORD-03 IV Definitions Unit File disciplinary infractions and the actions taken are part and parcel of my inmate master record and file.
7. Pursuant to OAC 5120-9-49 Charges and decisions in inmate disciplinary cases are public records. Relator swears that the attached OAC is true and correct.
8. Relator requests his inmate master record/file that pertains only to himself and what is defined as public records, i.e. inmate disciplinary infractions and decisions cases.
9. Relator offered to pay for a paper copies of those records which he is entitled.
10. Since the filing of the instant action and subsequent affidavit of truth Respondent has failed to provide me with any of the requested records.

Further affiant sayeth naught,

Sworn and subscribed before me this 30th day of August 2021


Diane Olekshuk
Notary Public


Alphonso Mobley Jr.

Feb. 6, 2024
My Commission expires



DIANE OLEKSHUK
Notary Public, State of Ohio
Recorded in Ashtabula County
My Commission Expires
February 6, 2024

Effective: 1/9/2020

Five Year Review (FYR) Dates: 10/9/2019 and 01/18/2023

Promulgated Under: 119.03

Statutory Authority: 5120.01, 5145.06

Rule Amplifies: 5145.06

Prior Effective Dates: 08/08/2003, 02/09/2009

5120-9-47 Sanctions for filing frivolous actions..

(A) At any time, and upon its own motion or on the motion of a party, a court may conduct an inquiry into whether any civil action or appeal brought by an inmate was brought in good faith. An inmate who is found by a court to have brought a frivolous civil action or appeal in any court of this state or in any federal court, or who is found by a state court to have brought a malicious civil action or appeal, or who is found by a state court to have filed false allegations of indigency in a poverty affidavit, or who is found by a state court to have filed additional affidavits relating to waiver, prior actions or appeals, and grievances, as set forth in section 2969.25 and 2969.26 of the Revised Code, that were materially false, is subject to loss of certain privileges and or extra work duty.

(B) If a court issues such a written finding and forwards it to the appropriate institution for further action, the warden or designee shall, within a reasonable time, impose upon that inmate, one or more of the following sanctions:

- (1) Extra work duty, without compensation, for not more than sixty days;
- (2) The loss of commissary privileges for not more than sixty days;
- (3) The loss of television privileges for not more than sixty days;
- (4) The loss of radio privileges for not more than sixty days;
- (5) The loss of recreational activity privileges for not more than sixty days;
- (6) The loss of sundry package privileges for one time in any calendar year.

(C) The inmate shall receive written notice of the wardens or designees sanction(s) along with a copy of the courts finding. Department employees are not required to grant the inmate any further process.

Five Year Review (FYR) Dates: 01/07/2015 and 01/07/2020

Promulgated Under: 111.15

Statutory Authority: 5120.01, 5120.011

Rule Amplifies: 5120.011, 2969.24, 2969.25, 2969.26

Prior Effective Dates: 5/22/97

5120-9-49 Public records..

(A) A "record" means any item that is kept by the department of rehabilitation and correction (department) that:

- (1) is stored on a fixed medium,

(2) is created, received, or sent under the jurisdiction of a public office and
(3) documents the organization, functions, policies, decisions, procedures, operations, or other activities of the department. "Public record" means records kept by the department unless exempted by any provision of the Ohio Revised Code or other binding legal authorities. The records of the department that shall be deemed public records include, but are not limited to, the following:

(1) Rules of general applicability and procedure (i.e., rules of the Ohio Administrative Code) and statements of general policy (i.e., department policies exclusive of security).

(2) Charges and decisions in inmate disciplinary cases.

(3) Non-security related manuals and instructions.

(4) Determinations, orders and minutes made by the adult parole authority, including the parole board, resulting from any hearing required by law or Chapter 5120:1-1 of the Administrative Code.

(B) The following documents are not public records:

(1) Records, the release of which is prohibited by state law (e.g., all records referred to in section 5120.21 of the Revised Code, attorney-client privilege, attorney work product, and trade secrets) or federal law. See division (A)(1)(v) of section 149.43 of the Revised Code.

(2) Medical records that pertain to the medical history, diagnosis, prognosis, or medical condition of an inmate and that is generated and maintained in the process of medical treatment. "Medical records" does not include any document relating to birth, deaths, and the fact of admission to or discharge from a hospital. See divisions (A)(1)(a) and (A)(3) of section 149.43 of the Revised Code. However, pursuant to division (C) of section 5120.21 of the Revised Code, inmate medical and mental health records may be released, once every twelve months, if the inmate or former inmate to whom the record pertains, signs a written request designating a licensed attorney or licensed physician to receive the records and the designee signs on letterhead a request for the records. The executor or designated administrator of a deceased inmate's estate may request that inmate's medical records along with a designated attorney or physician.

(3) Recovery services files and information that would identify an offender or employee receiving alcohol and/or drug treatment. See section 5119.27 of the Revised Code.

(4) Information provided to the office of victim services by a victim of crime or a victim representative designated under section 2930.02 of the Revised Code for the purpose of program participation, of receiving services, or to communicate acts of an inmate or person under the supervision of the adult parole authority that threaten the safety and security of the victim. See section 5120.60 of the Revised Code.

(5) Residential and familial information of parole officers and correctional employees. See division (A) (7) of section 149.43 of the Revised Code.

(a) Under this rule, "correctional employee" means any department employee who in the course of performing job duties has or has had contact with inmates or persons under supervision. Under this rule, "residential and familial information" means any information that discloses any of the following about a correctional employee or a parole officer:

(i) Residential street address (the state and political subdivision are a public record).

- (ii) Information that is compiled from referral to or participation in an employee assistance program.
- (iii) Social security number.
- (iv) Residential and emergency telephone numbers.
- (v) Numbers of bank accounts (e.g., direct deposits) and debit, charge, and credit cards.
- (vi) Medical information.
- (vii) The name of any beneficiary of employment benefits (e.g., life insurance).
- (viii) The identity and amount of any charitable or employment benefit deduction (e.g., insurance for health, dental, vision, life, and disability, union dues, and leave donation).
- (ix) Name, residential address, employer name and address, social security number, residential or emergency telephone numbers, numbers of bank accounts and debit, charge, and credit cards of the spouse, former spouse, or children.

(b) A journalist may obtain the residential street address of a correctional employee or parole officer, as well as the name and address of that person's spouse, former spouse, or children, if employed by a public office. See division (B)(9) of section 149.43 of the Revised Code. To obtain this information, the journalist must submit a written request, which includes the journalist's name and title, the employer's name and address, and a statement that release of the information is in the public interest.

(c) For a department employee that does not meet the definitions of correctional employee or parole officer, their home address may not be a public record. The analysis is whether the address is a "record," in that it documents the organization, functions, policies, decisions, procedures, operations, or other activities of the department. For example, if a department employee is required to live in a certain area as a condition of employment, the portion of the home address that documents compliance with that condition is a record. If the address is kept by the department for administrative convenience, it is not a record.

(6) Infrastructure records. An "infrastructure record" means any record that discloses the configuration of the department's critical systems, such as its communications, computer, electrical, mechanical, ventilation, water, plumbing, or security systems. Infrastructure records may be disclosed for purposes of construction, renovation, or remodeling of the department's institutions and facilities without waiving the non-public status of that record. Simple floor plans or records showing the spatial relationship components of the public office are not infrastructure records. See section 149.433 of the Revised Code. However, pursuant to section 5120.21 of the Revised Code, architectural, engineering, or construction diagrams, drawings, or plans of a correctional institution are not public records.

(7) Security records. A "security record" means any record that contains information directly used for protecting or maintaining the security of the department against attack, interference, sabotage, or to prevent, mitigate, or respond to acts of terrorism. Security records may be disclosed for purposes of construction, renovation, or remodeling of the department's institutions and facilities without waiving the non-public status of that record. See section 149.433 of the Revised Code.

(8) Criminal history "rap sheets" obtained from the federal national crime information center system or through the state law enforcement automated data system. Also, records from the bureau of criminal

identification and investigation. See section 3789(g) of 42 U.S.C. as amended January 5, 2006 and section 109.57 of the Revised Code.

(9) Federal, state, and municipal income tax returns and social security numbers contained in personnel files. See section 6103 of 26 U.S.C. as amended July 2, 2010 and section 5703.21 and 718.13 of the Revised Code.

(10) Public employee retirement system personal history information. See section 3307.20 of the Revised Code.

(11) Records of open internal equal employment opportunity investigations are confidential law enforcement investigatory records under division (A)(1)(h) of section 149.43 of the Revised Code, if conducted pursuant to Chapter 123:1-49 of the Administrative Code.

(12) Information contained in a certain employment record if the department employee whose information is recorded therein can demonstrate a high potential for victimization or a substantial risk of bodily harm or death from the release of such record.

(13) Pursuant to division (A)(2) of section 149.43 of the Revised Code, confidential law enforcement investigatory records pertaining to a law enforcement matter of a criminal, quasi-criminal, civil, or administrative nature to the extent that the release of the record would create a high probability of disclosure of any of the following:

(a) The identity of a suspect who has not been charged with the offense to which the record pertains, or of an information source or witness to whom confidentiality has been reasonably promised.

(b) Specific confidential investigation techniques or procedures or specific investigatory work product.

(c) Information that would endanger the life or physical safety of law enforcement personnel, a crime victim, a witness, or a confidential information source.

(d) Information provided by an information source or witness to whom confidentiality has been reasonably promised, which information would reasonably tend to disclose the source's or witness's identity.

(14) Personal information listed online (i.e., numbers for federal tax identification, social security, driver's license, state identification, and accounts for checking, savings, and credit cards) must be redacted upon a person's request pursuant to section 149.45 of the Revised Code.

(15) Records maintained by the department of youth services pertaining to children in its custody, that are released to the department for the limited purpose of carrying out the duties of the department. See division (A)(1)(l) of section 149.43 and section 5139.05 of the Revised Code.

(16) Reports of a pre-sentence investigation and an offender background investigation. The department may disclose, in a confidential manner, any such report to courts, law enforcement agencies, community-based correctional facilities, halfway houses, and medical, mental health, and substance abuse providers. Prior to such disclosure, the department shall redact the victim impact section and any information identifying a witness. See section 2951.03 of the Revised Code.

(17) Education records without student consent. School transcripts, attendance records, or other individually identifiable student records. See section 3319.321 of the Revised Code.

(18) Certain records that identify an inmate or former inmate concerning transfer of mentally ill or mentally retarded inmates from a department correctional institution to a psychiatric hospital. See section 5120.17 of the Revised Code.

(19) Department quality assurance records. See section 5120.211 of the Revised Code.

(20) Inmate records released by the department to the department of youth services or a court pursuant to division (E) of section 5120.21 of the Revised Code. See division (A)(1)(k) of section 149.43 of the Revised Code.

(C) Upon request from a representative of an approved news media organization or a private citizen, the following non-public information about an inmate, parolee, probationer or other releasee may be made available upon the prior approval from the department's bureau of communication or from the appropriate managing officer:

(1) Name and number.

(2) Age and date of birth.

(3) Race and sex.

(4) Physical description.

(5) Admission date.

(6) Sentencing entry.

(7) Prison transfers (i.e., dates and locations only).

(8) Outside court actions regarding confinement and release.

(9) Institutional work assignments.

(10) Security level.

(11) Prior department incarceration.

(12) Release eligibility and supervision history (i.e., date and type).

(13) Time at large (i.e., absconded or escaped).

(14) Death. The identity of a deceased inmate shall be withheld until next-of-kin have been notified or twenty-four hours following death, whichever occurs first.

(D) Rule 5120:1-1-36 of the Administrative Code lists certain non-public parole board records which may be disclosed, according to the procedures established in that rule, to the following representatives:

(1) Approved news media organizations.

(2) Government officials.

(3) Victims of any offense of commitment or a subsequent parole violation.

(4) An attorney designated by the victim or the inmate.

(E) The department must organize and maintain its records so that they can be made available in response to public requests. On receiving a public records request for specific, existing records, the department must provide prompt inspection at no cost during regular business hours, or provide copies at actual cost within a reasonable period of time, if requested. The department may withhold or redact specific records which are covered by an exception to the Public Records Act, but is required to give the requester an explanation and legal authority. If a requester makes an ambiguous or overly broad request, or the department believes that asking for, but not requiring, the request in writing, or for the requester's identity, or for the intended use of the requested information would benefit the requester by enhancing the ability of the department to provide the records, the Public Records Act provides for negotiation to help identify, locate, and deliver the requested records. In addition to denials justified by exceptions to the Public Records Act, the department may deny a request in the extreme circumstance where compliance would unreasonably interfere with the discharge of the department's duties.

(F) Non-public records of the department may, in the sole discretion of the director, or designee, be made available to counsel of record of an inmate or releasee, researchers, law enforcement agencies, or other persons with a need for access to such documents, subject to other restrictions on such access as may be provided by law.

Effective: 1/25/2016

Five Year Review (FYR) Dates: 09/21/2015 and 01/12/2021

Promulgated Under: 111.15

Statutory Authority: 5120.01

Rule Amplifies: 149.43, 5120.21, 5120.60, 149.433, 109.57, 2930.02, 3307.20, 3793.13, 5703.21, 718.13, 149.45, 5139.05, 2951.03, 5120.17, 3319.321, 5120.211

Prior Effective Dates: 8/1/80; 10/15/75; 11/17/97; 4/1/05, 9/15/10

5120-9-50 Escorted inmate release for deathbed or private funeral home visit..

(A) As used in this rule:

(1) "Felony Commitment" means an admission to an adult correctional institution of this or any other state, or the United States to serve a prison term for one or more felony offenses.

(2) "Crime of an assaultive nature" means an offense in which the inmate caused or attempted to cause actual physical to a person.

(B) Inmates who are not likely to pose a threat to the public safety and who are statutorily eligible pursuant to division (C) of section 2967.22 of the Revised Code may, at the discretion and professional judgment of the warden, be permitted an escorted visit for the specific purpose of visiting a dying relative or attending a private viewing of a deceased relative.

(C) An inmate is statutorily ineligible if:

(1) The inmate has a record of more than two felony commitments (including the present charge). This means the inmate must not be serving his third or greater commitment at the time of the requested visit; or,



Department of
Rehabilitation & Correction

SUBJECT: Master File	PAGE <u>1</u> OF <u>5</u>
NUMBER: 07-ORD-03	
RULE/CODE REFERENCE:	SUPERSEDES: 07-ORD-03 dated 05/29/15
RELATED ACA STANDARDS: 4-4095; 2-CO-1E-02, 1E-03, 1E-06, 1E-08, 1E-09; 2-1075	EFFECTIVE DATE: January 3, 2017
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish procedures for the maintenance and control of both unit management and record office documents in a combined electronic repository.

III. APPLICABILITY

This policy is applicable to all persons employed by the Ohio Department of Rehabilitation and Correction (DRC), independent contractors providing a service to the department, inmates, and volunteers.

IV. DEFINITIONS

Access – The ability or right to view contents of the Master File based on the job assignment.

DOTS Portal – The web-based information platform which serves as the primary information system for information on all offenders under DRC supervision. The system contains information regarding the offender from admission at reception to the final release under supervision. This system is updated throughout each day. Access is restricted to essential users only.

Master File – A combined inmate record including previous Unit File and Record Office File information.

OnBase – An enterprise content management system utilized by DRC for electronic document archival and retrieval. Access to OnBase is restricted to essential users only.

Record Office File – Prior to August 11, 2014, records that contained confidential information regarding inmates that could include PSI, LEADS reports, sentencing documents, SSN's, FBI and BCI numbers, sex offender registration requirements and other sensitive data.

Unit File – Prior to August 11, 2014, records that were maintained in the office areas of inmate living units with defined contents limited to non-confidential information which would not present a clear security risk if accessed by inmates. Examples of content include personal property, receipts, visitor lists, photographs, custody level, disciplinary infractions and actions taken, work assignments, program participation and miscellaneous correspondence.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to provide guidelines for the maintenance and management of the Master File documents concerning its use, preservation, security, confidentiality, and inaccessibility to inmates.

VI. PROCEDURES

A. Establishment and Maintenance of the Master File

1. Effective August 11, 2014, the previously titled Unit File and Record Office File are merged into one file type or document group titled Master File.
2. The Master File shall be created electronically in DOTS Portal and OnBase at the reception center that initially processes the inmate into the DRC.
3. All staff with access to the information contained in the electronic records shall be responsible for maintaining, updating, and reviewing the Master File to ensure it is current and accurate. At a minimum, this includes the following staff: Record Office, Bureau of Sentence Computation (BOSC), Bureau of Records Management (BORM), and Unit Staff.
4. BORM shall ensure all corresponding checklists are completed at admission and/or prior to release of all inmates: OTC Checklist, Intake Checklist, Release Checklist. The completed checklists shall be scanned into OnBase Master File Section 4.

B. Electronic Record Document Storage

1. Master File documents shall be scanned into the OnBase system into the following document types as appropriate. Refer to Appendix 1 for a directory listing the proper location for scanning and retrieving documents.
 - a. Records Section 3 (Detainer Information Only)
 - b. Records Section 4 (Release and other misc. documents)
 - c. 80% Court Release Packet
 - d. Release Doc No Supervision (for use by BORM staff only)
 - e. Kites/Correspondence
 - f. Medical/Job Restriction
 - g. Orientation
 - h. Placement Documentation

- i. PREA Risk Assessment
- j. Program Certificates
- k. Re-Entry/Reintegration
- l. LEADS/NCIC Reports – Computerized Criminal History
- m. PSI/OBI
- n. Unit Management Confidential – Memos/Correspondence

C. Security and Confidentiality

- 1. LEADS Documents – All reports and printouts generated from the LEADS system are classified as confidential documents and the access to these documents is limited to employees based on job duties. Under no circumstance is an inmate/offender permitted access to these documents. Employees are not permitted to print LEADS from OnBase at any time.
- 2. PSI/OBI Documents – All PSI and OBI investigations are classified as confidential documents and the access to these documents is limited to employees based on job duties. Under no circumstance is an inmate/offender permitted access to these documents.
- 3. Hard copy former record office files and unit files shall be maintained in Reception Center Record Offices or placed in storage in accordance with DRC policy 07-ORD-13, Inmate Master Record and DRC policy 07-ORD-01, Records Management Program.
- 4. Reception Centers with a Record Office shall remain locked other than normal working hours when Record Office staff is present. The files shall be inaccessible to inmates.
- 5. Removal of any hard copy former Record Office File or Unit File from the Reception Record Office shall be limited to:
 - a. Transport to/from storage
 - b. As requested by the Bureau of Sentence Computation/Bureau of Records Management
 - c. For use by the Managing Officer/designee
- 6. Personnel having unlimited access to the master file information includes:
 - a. Managing Officer;
 - b. Record Office Staff;
 - c. Managing Officer's Assistant;
 - d. Managing Officer's Secretary;
 - e. Security Chief;
 - f. Mental Health staff;
 - g. Operation Support Center Legal staff;
 - h. Recovery Services staff;
 - i. Parole Board Hearing Officers;
 - j. Bureau of Records Management staff;
 - k. Bureau of Sentence Computation staff;

- l. Deputy Warden(s);
- m. Unit Management staff;
- n. Inspector;
- o. Investigator;
- p. Parole Board Parole Officers;
- q. Parole Board Members;
- r. Auditors assigned by the Director/designee;
- s. Any other person as designated in writing by the Managing Officer.

7. Inmates may obtain information, not otherwise restricted, from the Master File by contacting their unit staff or writing to BORM at the Operation Support Center. Copies from the Master File shall not be provided to the inmate.
8. Information contained in the Master File shall be carefully evaluated by the staff to ensure the release of information shall not endanger either the inmate others and is not prohibited by law.

D. Historical Document/File Retrieval

1. Hard copy Unit and Record Office Files are no longer in use for active inmates. Inactive hard copy files of inmates who are under supervision are stored at the Reception Center Record Offices. When/if inmates violate supervision and return to prison, the files shall be retrieved and scanned to OnBase by the Record Office, BOSC or BORM staff.
 - a. Files and documents for active inmates are located on OnBase in the following document types/locations in addition to those listed in Section B.1 (above):
 - i. Converted Unit File Section 1
 - ii. Converted Unit File Section 2
 - iii. Converted Unit File Section 3
 - iv. Converted Unit File Section 4
 - v. DRC Form 2099
 - vi. Institution Summary Report
 - vii. Memos/Incident Reports
 - viii. Unit Copy of Master File Documentation

Attachment:**Appendix A****Document Location Directory****Related Department Forms:**

Acknowledgement of Safety Practices	DRC1177
Transfer Authorization Request	DRC2003
Kites	DRC2005
Inmate Evaluation	DRC2012
Inmate Property Record Disposition and Receipt	DRC2055
Inmate Property Record Disposition/Reception Inmate	DRC2258
Family Serious Illness/Death	DRC2291
Inmate Property Record Disposition/Reception Female	DRC2369
IPP Notice of Approval	DRC2382
Application for Community Release	DRC2428
IPP Checklist	DRC2453
Inmate Separation Order	DRC2456
Record Office File Review Checklist	DRC2463
Recommended Placement into IPP	DRC2502
Voluntary Statement	DRC2570
Cease Correspondence Form	DRC2575
Inmate Confidential Statement	DRC2590
Reception Center Housing Form	DRC2673
Use of Force Committee Report	DRC2694
Notice of Appeal Supervision/Security	DRC2680
Transitional Control Rules of Participation	DRC3005
Waiver/Extradition Transitional Control	DRC3096
Criminal History Risk Score	DRC3153
Transitional Control Program Request Waiver	DRC3181
Reintegration Unit Screening	DRC3207
Denial of Cell Privileges/Placement	DRC4087
Segregation Unit Individual Record Sheet	DRC4118
Control Unit Individual Activity Log	DRC4121
Orientation Acknowledgement Checklist	DRC4141
Inmate Property Theft/Loss Report	DRC4194
Inmate Accident Report	DRC4198
Alternative Meal Service	DRC4258

Appendix 1

Master File Document Location Directory

Document / Form Title	Form Number	Scanning Responsibility	Current Location (for scanning current documents)
Acknowledgement of Safety Practices (OPI Only)	DRC 1177	Institution	Scan to Job Classification Section.
Administrative Transfer Packets	DRC 2003 and supporting documents	Bureau of Classification	Bureau of Classification will forward to OSC- Document Management to be scanned to the Transfer Section.
Alternative Meal Service Request Form	DRC 4258	Institution	Scan to Discipline- Segregation
Application for Community Release and Special Labor Assignments	DRC 2428E	OSC Document Management	OSC- Document Section will scan to Office of Prison-Community Release Section.
Cease Correspondence	DRC2575	Institution	Scan to Unit Management- Confidential File
Control Unit Individual Activity Log (5A, 5B, 4B)	DRC 4121	Institution	Scan to Discipline- Segregation
Criminal History Risk Score	DRC 3153	Institution	To be scanned Reentry/ Reintegration Section.
Family Serious Illness/Death and Screening Criteria	DRC2291 DRC 2612	Institution	Scan to Unit Management- Kites /Correspondence
Inmate Accident Report	DRC4198	Institution	Scan to Medical/ Job Restrictions Section.
Inmate Classification Appeal	DRC 2680	Institution	Scan to Job Classification Section
Inmate Confidential Statement	DRC2590E	Institution	Scan to Discipline- Inmate Confidential Statement DRC 2590.
Inmate Evaluation	DRC2012	Institution	Scan to Job Classification Section

Inmate Separation	DRC 2456	Bureau of Classification for Institution Separation and Institutions for Local Separations	Scan to Classification- Separation Section.
Inmate Training	DRC 1953	Institution	Scan to Job Classification
IPP	DRC 2382,2453,2502, 2570, Certified Mail Receipt	Institution	Scan to Classification- IPP
Kites/Correspondence		Institution	Scan to Unit Management- Kites/ Correspondence
Orientation Acknowledgement Checklist	DRC4141	Institution	Scan to Unit Management- Orientation
Power of Attorney/ Living will		Institution	Should be placed in inmate's medical file
PREA Risk Assessment		Institution	Scan to Unit Management- UM/ PREA Risk Assessment
Program Certificates	None	Institution	Scan to Unit Management- Certificates
Property	DRC 2055/2369/2258	Institution	Scan to Property
Property Theft/Loss Report	DRC4194	Institution	Scan to Property
Reintegration Unit Screening	DRC 3207	Institution	Scan to Re-entry/Reintegration
Report of Denial of Cell Privileges	DRC 4087	Institution	Scan to Discipline- Segregation
Rules of Transitional Control	DRC3005	Institution to upload to ORAS as part of placement packet	Upload to ORAS
Security Control Extension Request	DRC 2724	Institution	Scan to Discipline- Segregation Sheets
Segregation Sheets	DRC4118	Institution	Scan to Discipline- Segregation Sheets
Signed copy of ORAS Case Plan		Institution	Scan to Case Plan Section
Signed copy of RAP Case Plan		Institution	Scan to Case Plan Section

TC Ineligibility	Memo	Institution PBPO forwards to OSC- Document Imaging	Scan to Transitional Control
TC Waiver	DRC3181	Institution PBPO forwards to OSC- Document Management	Scan to Transitional Control
TC Waiver of Extratition	DRC3096	Institution to upload to ORAS as part of the placement packet.	Upload to ORAS
Update & Correction	DOTS PORTAL	BOSCO	Scan to the inmate's Legal File.
Use of Force Committee Report	DRC 2694	Institution	Scan to Unit Management - Confidential File
Visiting Forms and Related Documents (PARENT INSTITUTIONS AND CADRE UNITS ONLY)	ALL	Institution	Scan to Visiting.
Visiting Forms and Related Documents (RECEPTION CENTERS ONLY)	ALL	OSC- Document Management	Scan to Visiting

STATE OF OHIO



DEPARTMENT OF REHABILITATION
AND CORRECTION

SUBJECT: Inmate Master Record	PAGE <u>1</u> OF <u>4</u>
	NUMBER: 07-ORD-13
RULE/CODE REFERENCE:	SUPERSEDES: 07-ORD-13 dated 12/01/14
RELATED ACA STANDARDS: 4-4095, 4-4096, 4-4098	EFFECTIVE DATE: May 24, 2016
	APPROVED: 

I. AUTHORITY

This policy is issued in compliance with Ohio Revised Code 5120.01 which delegates to the Director of the Department of Rehabilitation and Correction the authority to manage and direct the total operations of the Department and to establish such rules and regulations as the Director prescribes.

II. PURPOSE

The purpose of this policy is to establish an accurate, efficient, and secure system for the recording, management, maintenance, and retention of the inmate master record.

III. APPLICABILITY

This policy applies to all institution and Operation Support Center employees of the Ohio Department of Rehabilitation and Correction (DRC).

IV. DEFINITIONS

Active File – Inmate master records for inmates who are incarcerated, Absent With Leave, Escape, Parole, Shock Parole, Transitional Control, Furlough, Risk Reduction, Treatment Transfer, IPP Suspended Sentence, Judicial Release, Appeal Bond, and Post Release Control.

Electronic File – Any files pertaining to an inmate's master record that are stored electronically (OnBase). This includes active and inactive inmate files.

Inactive File – Inmate master records for inmates who have reached and/or been granted Expiration of Definite Sentence, Expiration of Stated Term, Final Release, Administrative Release, Vacated Sentence, Maximum Expiration of Sentence, Suspended Sentence/Judicial Release Probation Terminated, Discharged by Court Order, Pardoned, or who are deceased.

Inmate Master Record – An accurate and complete record documenting the incarceration of each inmate consisting of the master file and all satellite files. Portions of this record may be stored electronically.

Onbase – An enterprise content management system utilized by DRC for electronic document archival and retrieval. Access to OnBase is restricted to essential users only.

Satellite File – Any file except the master file maintained in the institution to document the incarceration of an inmate including but not limited to unit, medical, mental health, recovery services, dental, property, and SORRC.

V. POLICY

It is the policy of the Ohio Department of Rehabilitation and Correction (DRC) to compile, manage, maintain and update each inmate master record accurately and in a standardized manner.

VI. PROCEDURES

- A. Each new inmate admission from court shall receive a unique identification number to identify them from other inmates and any previous incarcerations. This number shall be designated on all files within the inmate master record and for each electronic record.
- B. All information pertaining to the inmate shall be maintained within the master file, a satellite file, or electronically to document the incarceration of each inmate.
- C. With the exception of dental records, the size of each hard copy satellite file must be 10 by 12 inches or smaller.
- D. The DRC shall control access to information in the inmate master record as required by the Ohio Revised Code and Administrative Regulations.
- E. All departments within the DRC shall be responsible for creating, maintaining and reviewing their files in accordance with the Ohio Revised Code, Administrative Regulations, and DRC policies to ensure they are current and accurate.
- F. Security
 1. All hard copy files within the inmate master record shall be maintained within a secure area as designated by the managing officer of the institution.
 2. No original hard copy inmate master record shall be removed from the institution while the inmate is incarcerated at that institution, unless transported by the managing officer/designee or as ordered by the Bureau of Sentence Computation and Bureau of Records Management.
- G. Privacy of Inmate Master Records
 1. No employee of the DRC shall copy any document from the inmate master record except when it is in their official capacity to do so.
 2. While incarcerated, an inmate may obtain information from his/her inmate master record through the institutional kite system. Upon release, an inmate may make a request for

information from their inmate master record to either the Bureau of Records Management or the institution where their record is maintained.

3. Information contained in the inmate master record shall be carefully evaluated by staff to ensure the release of information will not endanger either the inmate or others and is not prohibited by law or statute.

H. Intra-System Transfer of Inmate Record:

1. When an inmate is transferred from one institution to another the managing officer/designee shall notify all departments that maintain inmate files of the upcoming transfer.
2. The inmate education, recovery services, medical and mental health files shall be documented on a Receipt of Offender Records (DRC2014) and packed in a sealed box or large envelope. A copy of the Receipt of Offender Records (DRC2014) shall be taped to the top of the sealed box or envelope with the name of the receiving institution. The recovery services, medical and mental health files must transfer with the inmate. The education file shall be transferred with the inmate or within seventy-two (72) hours of the transfer.
3. The assigned transportation officer shall transport the inmate record(s) from the sending institution to either the receiving institution or centralized hub transportation officer. Staff at the receiving institution shall be responsible for completing the Receipt of Offender Records (DRC2014) and returning a signed copy to the sending institution.
4. All satellite files with the exception of education, recovery services, medical, and mental health that remain in hard copy format must be uploaded electronically (OnBase) within seventy-two (72) hours of the transfer of an inmate.
5. Each institution is to develop a plan that is institution specific to transfer the recovery services, medical and mental health files. Mental health and medical staff will work together to make file transfer arrangements. Recovery services departments shall designate someone to work with medical and mental health staff on these arrangements. Education staff will handle the transfer of their own records.

I. Records of Released Inmates and their Retention:

1. All satellite files, excluding recovery services, medical, mental health, and medical x-rays, shall be scanned to OnBase within forty-eight (48) hours of release.
2. The record retention coordinator or managing officer's designee at the institution shall be responsible for ensuring the recovery services, medical, dental and mental health files are processed as follows:
 - a. Supervision files (Parole, PRC, IPP, Judicial Release, Suspended Sentence, Appeal Bond) shall be transferred to the reception center of origin within seventy-two (72) hours of release.

- b. Transitional Control files shall be retained at the parent institution until the inmate is released from this status. Once released from Transitional Control status, the files shall be transferred to the reception center if the inmate is under PRC supervision or to the document management section if released with no supervision.
- c. Treatment Transfer files shall be transferred to the reception center of origin within seventy-two (72) hours of release.
- d. No supervision files (EST, Max Expiration, EDS) shall be forwarded to the document management section within thirty (30) days of release in accordance with DRC policy 07-ORD-01, Record Management Program.

3. When supervision is complete, the reception center record offices shall forward all files to the document management section within thirty (30) days of release in accordance with DRC policy 07-ORD-01, Record Management Program.
4. Miscellaneous filing for these files shall not be forwarded to the reception center or the document management section but shall be scanned by the file owner into the appropriate section on OnBase. Medical x-rays shall be retained at the parent institutions.
5. Education staff shall maintain either the hard copy education file or scan to OnBase after the inmate's release.
6. The inmate master record shall be maintained in compliance with DRC Policy 07-ORD-01, Records Management Program.

J. Records Converted From Paper to Electronic (OnBase)

1. All paper files that are scanned to OnBase shall be recorded on Record of Files Scanned to OnBase (DRC3154). The completed form shall be signed by the respective record retention coordinator and forwarded to the document management section.
2. A quality check of files scanned to OnBase shall be performed to ensure the scan is legible. Once documented on the Record of Files Scanned to OnBase (DRC3154) and OnBase is reviewed for readability, the files shall be held for thirty (30) calendar days and then destroyed.

Related Department Forms:

Receipt of Offender Records	DRC2014
Transfer Sheet	DRC2719
Record of Files Scanned to OnBase	DRC3154