



POLICY STATEMENT
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Records Office Operations		Policy Number: 11.5.1
Date of Issue: July 8, 2019	Authority: Signature on File John E. Wetzel	Effective Date: July 15, 2019

I. AUTHORITY

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

II. PURPOSE

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

III. APPLICABILITY

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

IV. DEFINITIONS

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

V. POLICY¹

It is the policy of the Department to maintain an accurate and up-to-date inmate record system that meets the needs of the Department in providing a base for its statistical system and in maintaining inmate sentence structures that comply with the mandates of the Court and the Commonwealth's Sentencing Rules, Regulations, and Laws.

¹ 5-1E-4095, 5-1E-4097

VI. PROCEDURES

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

VII. SUSPENSION DURING AN EMERGENCY

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

VIII. RIGHTS UNDER THIS POLICY

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

IX. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

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

2. Procedures Manual (if applicable)

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

B. Distribution of Policy

1. General Distribution

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

2. Distribution to Staff

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee

expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures.

X. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy

1. Department Policy

11.5.1, Records Office Operations Policy issued June 16, 2003, by former Secretary Jeffrey A. Beard, Ph.D.

2. Facility Policy and Procedures

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

B. Cross Reference(s)

1. Administrative Manuals

- a. DC-ADM 003, Release of Information
- b. DC-ADM 005, Collection of Inmate Debts
- c. DC-ADM 802, Administrative Custody Procedures
- d. DC-ADM 805, Outside Work and Housing Assignments, Community Work Programs, Forestry Units, Armed Mounted Work Detail, Administrative Procedures and Temporary Hold Ins
- e. DC-ADM 812, Inmate Visiting Privileges
- f. 1.1.4, Centralized Clearances
- g. 6.3.1, Facility Security
- h. 11.2.1, Reception and Classification
- i. 11.4.1, Case Summary
- j. 11.6.1, Sexually Violent Offender Registration
- k. 11.6.2, DNA Data and Testing

C. ACA Standards

1. Administration of Correctional Agencies: 2-CO-1E-01, 2-CO-1E-02, 2-CO-1E-03, 2-CO-1E-04
2. Adult Correctional Institutions: 5-1E-4095, 5-1E-4096, 5-1E-4097, 5-1F-4103, 5-1F-4104, 5-5A-4285, 5-5F-4446
3. PREA Standards 28 C.F.R. §: 115.41, 115.51, 115.53



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

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

**11.5.1, Records Office Operations Procedures Manual
Table of Contents**

**Section 1 - Processing of Receptions
(This Section Not for Public Dissemination)**

A. Initial Receptions.....	1-1
B. Parole Violators (PVs).....	1-5
C. Out-of-State Parole Violators (OPV).....	1-7
D. Community Parole Center (CPC) Program	1-7
E. County Prison Transfers.....	1-8
F. Return from Authorized Temporary Absence (ATA).....	1-8
G. Inter-Facility Transfer	1-9
H. Detentioners.....	1-10
I. Interstate Corrections Compact (ICC) Receptions	1-11
J. Bail Returns.....	1-12
K. Return of Inmate Following Retrial or Re-Sentence	1-12
L. Escape Returns.....	1-12
M. CCC Returns.....	1-14
N. Proclamation Counties	1-15
O. Civil Immigration Cases.....	1-15

DC-300B (Part I) Court Commitment State or County Correctional Institution.....	Attachment 1-A
DC-151A Body Receipt.....	Attachment 1-B
DC-2A Diagnostic Classification Report Reception Checklist.....	Attachment 1-C
DC-150B, Reception Worksheet.....	Attachment 1-D
DC-155, Legal Dispositions Form.....	Attachment 1-E
DC-16E, Sentence Status Summary	Attachment 1-F
DC-5B Petition for Transfer: County Prisons	Attachment 1-G
DC-185 Transmittal of Data for County Prison Transfer	Attachment 1-H
Recomputation of Sentence Memo	Attachment 1-I
DC-7X Temporary Transfer Information	Attachment 1-J

**Section 2 – Releases
(This Section Not for Public Dissemination)**

A. Information Applicable to ALL Permanent Releases	2-1
B. Types of Releases.....	2-4
C. Release Checklist.....	2-22
D. Sentence Computation Errors.....	2-23
E. Erroneous Release or Held Past Sentence Complete (SC) Date.....	2-24
F. Input into the Inmate Records System (IRS).....	2-24
G. Proclamation Counties	2-25

Department Release Checklist	Attachment 2-A
Disposition of Arrests for Offenses	Attachment 2-B
DC-14A, Cumulative Adjustment Record for Unreported Dispositions	Attachment 2-C
DC-158, Release Worksheet.....	Attachment 2-D
Release Notification Letter (Sample).....	Attachment 2-E
PSP Sexual Offender Registration Notification Form	Attachment 2-F
Sexual Offender Address Work Sheet.....	Attachment 2-G

**11.5.1, Records Office Operations Procedures Manual
Table of Contents**

CLEAN System Sample Message	Attachment 2-H
DC-309, County Parole Application	Attachment 2-I
Sentence Computation Error Information Sheet	Attachment 2-J
Frequently Used Abbreviations.....	Attachment 2-K

Section 3 - Filing Procedures

A. DC-15, Inmate Records Jacket	3-1
B. DC-15 Filing - Left Side -Top to Bottom	3-1
C. DC-15 Filing - Right Side - Top to Bottom	3-4
D. Continuations	3-7

Section 4 - DC Forms

A. DC-2A, Diagnostic Classification Report: Reception Checklist	4-1
B. DC-3C, Transfer Petition	4-1
C. DC-5B, Petition to Transfer: County Prison.....	4-1
D. DC-7X, Temporary Transfer Information	4-1
E. DC-11B, Commutation/Arbitration Summary.....	4-1
F. DC-16D/16E, Sentence Status Summary	4-2
G. DC-17, Conduct Record	4-2
H. DC-19, Negative File Envelope	4-2
I. DC-23B, Sentence Status Change Report.....	4-2
J. DC-26, Detainer Action Letter	4-2
K. DC-150B, Reception Worksheet	4-2
L. DC-151A, Body Receipt	4-3
M. DC-158, Release Worksheet.....	4-3
N. DC-160B, Transfer Routing Sheet	4-3
O. DC-185, Transmittal of Data for County Prison	4-3
P. DC-186, Separation File.....	4-3
Q. DC-188, Escape Packet.....	4-3
R. DC-189, Wanted Poster	4-4
S. DC-300B Part I, Court Commitment.....	4-4
T. DC-300B Part II, Court Commitment Continuation Sheet.....	4-4
U. DC-309A, Application for County Parole from State or County Correctional Facility	4-4
V. Department Release Checklist.....	4-4
W. DNA Act Advisory Form	4-4
X. DNA Collection and Tracking Form.....	4-4
Y. Sexual Offender Registration (Megan’s Law) Form.....	4-5
Z. Sexual Offender Address Worksheet (Megan’s Law Change of Address Form).....	4-5
AA. Unreported Dispositions Form.....	4-5

Section 5 – Detainers

(This Section Not for Public Dissemination)

A. Lodging Detainers	5-1
B. Interstate Agreement on Detainers (Agreement).....	5-1
C. Suggested Instructions for Wardens and Other Custodial Officials in	

**11.5.1, Records Office Operations Procedures Manual
Table of Contents**

Actions Under the IAD.....	5-2
D. Inmates Required as a Witness in Another State.....	5-7
DC-26 Detainer Action Letter.....	Attachment 5-A
IAD Form I.....	Attachment 5-B
IAD Form II.....	Attachment 5-C
IAD Form III.....	Attachment 5-D
IAD Form IV.....	Attachment 5-E
IAD Form V.....	Attachment 5-F
IAD Form VI.....	Attachment 5-G
IAD Form VII.....	Attachment 5-H
IAD Form VIII.....	Attachment 5-I
IAD Form IX.....	Attachment 5-J

**Section 6 - Inmate Records System/Movement Reports
(This Section Not for Public Dissemination)**

A. Inmate Population Movements.....	6-1
B. Releases from Custody.....	6-2
C. Deleting Detainers.....	6-3

Section 7 – Act 84 of 1998 Information Exchange

A. Information Exchange.....	7-1
B. Subsequent Commitments after Initial Reception.....	7-5
C. Release to State Parole Supervision.....	7-6
D. 42 Pa.C.S.§9728 Collection of Restitution, Reparation, Fees, Costs, Fines, & Penalties.....	7-6
DC-301, Act 84 Information Transmittal.....	Attachment 7-A
Medical Information Checklist.....	Attachment 7-B

Section 8 - Record Retention and Disposition Schedule

A. Record Breakdown.....	8-1
B. Record Retention and Disposition Schedule.....	8-1

**Section 9 - Outside Clearance, RRRI, SIP/SIP Conversion, and Rebuttable Parole
(This Section Not for Public Dissemination)**

A. Review Process for Inmates in Outside Assignments.....	9-1
B. Act 81 of 2008 Recidivism Risk Reduction Incentive (RRRI).....	9-1
C. State Intermediate Punishment (SIP).....	9-2
D. Act 81 of 2008 SIP Conversion.....	9-4
E. Act 83 of 2008 Rebuttable Parole.....	9-4

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11.5.1, Records Office Operations

Section 1 – Processing of Receptions

This Section is confidential and not for public dissemination.

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11.5.1, Records Office Operations

Section 2 – Releases

This Section is confidential and not for public dissemination.

Section 3 - Filing Procedures¹

A. DC-15, Inmate Records Jacket

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

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

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

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

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

² 4-4095

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

3. DC-169, Separation Separator

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

4. DC-162, Legal Separator

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

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

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

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

5. DC-163, Identification Separator

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

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

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

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

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

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

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

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

h. worksheets for problematic pre-release.

3. DC-167, Correspondence Separator

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

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

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

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

4. DC-166, Institution Separator

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

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

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

- d. **DC-106B, Questionnaire – Employer, Social Agency, Institution, School;**
 - e. **DC-107A, Request for Military Record;**
 - f. **DC-109A, Questionnaire – Friend, Relative;**
 - g. **DC-2A, Diagnostic Classification Report: Reception Checklist;**
 - h. **DC-2B, Diagnostic Classification Report;** and
 - i. Personal Data Questionnaire.
6. **DC-164, Previous Inmate Number Separator (PIN)**
- Contents in the **DC-164** shall include the following:
- a. **DC-16D/16E** (previous inmate number); and
 - b. **DC-17** (previous inmate number).

D. Continuations

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

- 1. **DC-161, Summary Separator**
 - a. **DC-16D/16E** original filed under **DC-164, Previous Institution Separator**. A copy is to be maintained in the previous **DC-15** where it is normally filed;
 - b. **DC-17** original filed under **DC-164**. A copy is to be maintained in the previous **DC-15** where it is normally filed;
 - c. Reclassification Report Printouts, filed in reverse chronological order;
 - d. **DC-13A**, filed in reverse chronological order;
 - e. **DC-1, Classification Summary;**
 - f. Pre-Sentence Investigation reports; and
 - g. Philadelphia Court History.
- 2. **DC-169, Separation Separator**, a new report shall be run.

3. DC-162, Legal Separator

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

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

4. DC-163, Identification Separator

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

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

5. DC-167, Correspondence Separator

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

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

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

6. DC-166, Institution Separator

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

7. DC-165, Classification Separator

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

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

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

Section 4 - DC Forms

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

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

B. DC-3C, Transfer Petition

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

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

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

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

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

E. DC-11B, Commutation/Arbitration Summary

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

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

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

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

G. DC-17, Conduct Record

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

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

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

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

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

J. DC-26, Detainer Action Letter

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

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

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

¹ 4-4097

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

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

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

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

N. DC-160B, Transfer Routing Sheet

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

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

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

P. DC-186, Separation File

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

Q. DC-188, Escape Packet

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

R. DC-189, Wanted Poster

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

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

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

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

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

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

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

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

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

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

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

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

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

Y. Sexual Offender Registration Notification (Megan’s Law) Form (Department policy 11.61, Attachment B)

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

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

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

AA. Unreported Dispositions Form

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

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11.5.1, Records Office Operations

Section 5 – Detainers

This Section is confidential and not for public dissemination.

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11.5.1, Records Office Operations

Section 6 – Inmate Records System/Movement Reports

This Section is confidential and not for public dissemination.

Section 7 – Act 84 of 1998 Information Exchange

The Department will accept and confine those persons committed to it under lawful court orders which conform to 42 Pa.C.S. §9762 (relating to sentencing proceeding; place of confinement) when information has been provided to the Department as required by 42 Pa.C.S. §9764 (relating to information required upon commitment and subsequent disposition). The Department will also accept persons for whom transfer from other correctional facilities has been approved in advance by the Secretary/designee, under Section 1 of the Act of July 11, 1923 (P.L. 1044, No. 425) (61 P.S. §72). Commitments and transfers will be accepted only during the facility's normal business hours, except upon prior approval of the Facility Manager/designee.

A. Information Exchange

1. Inmate Reception

- a. At a minimum of 72 hours prior to commitment to the Department, the following information shall be provided:
 - (1) a copy of the **DC-300B, Court Commitment** generated from the Common Pleas Criminal Court Case Management System (CPCMS);
 - (2) records of adjustment in the county correctional facility, including, but not limited to, misconducts and escape history;
 - (3) any current medical or psychological conditions requiring treatment, including, but not limited to, suicide attempts;
 - (4) all medical records of the county correctional facility relating to the inmate to the extent that those records may be disclosed under Federal and State Law. The records shall include admission testing performed by the county and the results of those tests and any testing related to hepatitis, HIV/AIDS, tuberculosis, or other infectious disease testing;
 - (5) notice of current or previously administered medications;
 - (6) a written statement by the county correctional facility relating to any sentencing credit to which the inmate may be entitled;
 - (7) a written statement by the county correctional facility setting forth all the following:
 - (a) the dates on which the inmate was incarcerated;
 - (b) the charges pending against the inmate with the Offense Tracking Number (OTN); and

11.5.1, Records Office Operations Procedures Manual
Section 7 – Act 84 of 1998 Information Exchange

- (c) the date on which the inmate was released on bail, if any, and a copy of the bail order.
 - (8) a copy of the sentencing order and any detainers filed against the inmate which the county has notice.
- b. A 48-hour supply of medications shall be supplied at the time of reception. Medications available over-the-counter may be exempt from this requirement.
- c. Information shall be provided in advance using the U.S. mail system. Information will be accepted at the time of reception when not provided in advance.
- d. The facility Medical Department will be responsible for tracking medical information listed in **Subsections A.1.a.(3), (4), (5)** and **A.1.b. above**.
- e. Records Offices shall maintain a suspense system to track information listed in **Subsections A.1.a.(1)-(8) above**, except for medical information; provided in advance by the counties.
 - (1) The Records Office shall immediately notify the county if any of the documents listed in **Subsections A.1.a.(1)-(8) above** are missing (excluding medical information).
 - (2) The county shall be advised that the missing information must be received prior to the Department receiving the inmate or it must be provided at the time of reception.
 - (3) The notification will be recorded on a **DC-14, Cumulative Adjustment Record** and will include the inmate's name, county, missing document(s), date and time of call, and name/position of person called.
 - (4) If the county attempts to deliver the inmate into the custody of the Department with the required information still missing, the Records Administrator or Assistant Records Administrator shall be contacted for further direction.
- f. If information is not provided 72 hours in advance:
 - (1) the county may continue to commit inmates to the Department without providing information 72 hours in advance;
 - (2) in those cases the Sheriff/transporting official must bring the required documents at the time of commitment;
 - (3) if the county attempts to deliver the inmate into the custody of the Department with the required information still missing, the Records Administrator/Assistant Records Administrator shall be contacted for further direction;

11.5.1, Records Office Operations Procedures Manual
Section 7 – Act 84 of 1998 Information Exchange

- (4) the transporting authority shall present the **DC-301, Act 84 Information Transmittal (Attachment 7-A)** for signature; and
 - (5) page two of the **DC-301** shall be used to record multiple indictments.
- g. Upon reception of an inmate, the information received shall be recorded in the automated Act 84 screens of the Inmate Records System (IRS).
- h. The **Medical Information Checklist (Attachment 7-B)** shall be provided to the medical staff along with the medical documentation received from the county.
- (1) Designated medical staff shall complete this form and return it to the Records Office within two business days.
 - (2) Records staff shall use the **Medical Information Checklist** to complete the Mainframe Act 84 entries.
- i. Additional information to be provided within 30 days of reception.
- (1) Within ten days from the date sentence is imposed, the court shall provide to the county correctional facility the below listed information and within 20 days of receipt, the county correctional facility shall forward the information to the Department.
 - (a) A copy of the Presentence Investigation Report (PSI), where a PSI is not ordered by the court, the official version of the crime or a copy of the guilty plea transcript or a copy of the preliminary hearing transcript may be sent.
 - (b) The criminal complaint or affidavit of probable cause.
 - (c) A copy of the completed guideline sentence form.
 - (d) A written sealed sentencing order from the county.
 - (e) The sentencing colloquy sealed by the court.
 - (f) Court Commitment Orders.
 - (g) The **DC-300B** generated from the CPCMS.
 - (h) Any detainers filed against the inmate of which the county has notice.
 - (2) The information listed in **Subsections A.1.i.(1)(a)-(h) above** may also be received in advance or at the time of reception and may be recorded on the **DC-301**.

11.5.1, Records Office Operations Procedures Manual
Section 7 – Act 84 of 1998 Information Exchange

- (3) Upon receipt of the document(s), the information received shall be recorded in the automated Act 84 screens of the IRS.
- (4) When Act 84 information is received for an inmate that has been permanently transferred to a different facility:
 - (a) the Act 84 information shall be forwarded to the facility housing the inmate;
 - (b) upon receipt of the document(s), the facility housing the inmate shall record them in the automated Act 84 screens;
 - (c) for cases in which the inmate is not physically present in a facility but under the jurisdiction of the Bureau of Community Corrections (BCC), the facility that last housed the inmate shall update the Act 84 screens; and
 - (d) if the inmate has been released, the information will not be recorded until such time that the inmate is returned to the Department.

2. Transfer to County Facility

a. Permanent Transfers

Upon transfer of an inmate from a state correctional facility to a county correctional facility, the Department shall provide to the county facility, unless the facility prior to the time of transfer agrees to accept the inmate with the information, the following:

- (1) the record of the inmate's facility adjustment including, but not limited to, misconducts and/or escape history;
- (2) written notice of any current medical or psychological condition requiring treatment including, but not limited to, suicide attempts;
- (3) notice of current or previously ordered medication; and
- (4) a 48-hour supply of medication. Medications available over the counter may be exempt from this requirement.

b. Temporary Transfers

Upon transfer of an inmate from a state correctional facility to a county correctional facility, the Department shall provide to the county facility, unless the facility prior to the time of transfer agrees to accept the inmate with the information, the following:

- (1) the information as outlined in **Subsections A.2.a.(1)-(3) above**; and

- (2) when 24-hour advance notice is not given by the county, medical shall be notified; however, items listed in **Subsections A.2.a.(1)-(4) above** need not be provided.

B. Subsequent Commitments after Initial Reception

1. Reception Documents

- a. Inmates sentenced as a result of being Authorized Temporary Absence (ATA) to the county:
 - (1) the procedures outlined in **Subsections A.1.a.(1)-(8) above** shall be followed; missing information shall be documented in the IRS and on the **DC-14**; and
 - (2) no inmate being returned from ATA will be refused for lack of required documents.
- b. For inmates sentenced via video conference, the county shall have 72 hours to provide the information outlined in **Subsections A.1.a.(1), (6), (7), and (8) above**, missing information shall be documented in the IRS and on a **DC-14**.
- c. The records staff at the facility housing the inmate shall contact the county correctional facility and request the documents from **Subsections A.1.a.(1) & (6)-(8) above** be sent to the Department for Court Commitment Orders received for additional sentences that are not as a result of being ATA or videoconferencing.

2. After Initial Reception

- a. Within 30 days of return to the Department, the information in **Subsections A.1.i.(1)(a)-(h) above** shall be provided to the Department for inmates sentenced as a result of being out ATA to the county.
- b. Within 30 days of sentence, the information in **Subsections A.1.i.(1)(a)-(h) above** shall be provided to the Department for inmates sentenced via videoconference.
- c. The Records Office staff of the facility housing the inmate shall contact the county correctional facility and request the documents from **Subsections A.1.i.(1)(a)-(h) above** be sent to the Department for Court Commitment Orders received for additional sentences that are not as a result of being ATA or videoconferencing.
- d. The IRS is to be updated as additional information is received or as notice is given that the information is unavailable.

C. Release to State Parole Supervision

Prior to the release of the inmate from the Department to State Parole supervision, the Department shall provide to the PA Board of Probation and Parole (PBPP) copies of the information received in **Subsections A.1.a.(2) and A.1.i.(1)(a)-(h) above**.

D. 42 Pa.C.S. §9728 Collection of Restitution, Reparation, Fees, Costs, Fines, and Penalties

1. In accordance with 42 Pa.C.S. §9728, the Department was directed to establish guidelines by the General Assembly which resulted in the Department issuing the **DC-ADM 005, “Collection of Inmate Debts”** to come into compliance with the legislative directive.
2. In accordance with Department policy **DC-ADM 005**, Inmate Records staff, upon receipt of documentation involving inmate debt, shall file original copies in the inmate’s **DC-15, Inmate Records Jacket**, and provide photocopies of any court order, sentencing sheet, court transcript, and **DC-300B** involving inmate debt to the facility Business Office as soon as it is received. Inmate Records staff will serve as the point of coordination for all inmate information received and/or distributed.

Section 8 - Record Retention and Disposition Schedule¹

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

A. Record Breakdown

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

B. Record Retention and Disposition Schedule

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

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

¹ 1-ABC-1E-04

² 4-4095, 4-4281-8

³ 4-4281-8

⁴ 4-4095

11.5.1, Records Office Operations Procedures Manual
Section 8 - Record Retention and Disposition Schedule

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

11.5.1, Records Office Operations Procedures Manual
Section 8 - Record Retention and Disposition Schedule

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

⁵ 4-4095

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11.5.1, Records Office Operations

Section 9 – Problematic Offenses, Outside Clearance, and Escapes

This Section is confidential and not for public dissemination.

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

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

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

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

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

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

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

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

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

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

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

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

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