


Commonwealth of Pennsylvania  <b>Pennsylvania Parole Board</b>	Volume III Chapter 3  <b>Procedure 03.01.05</b>	Date Revised: 11/05/2020
Chapter Title <b>RECORDS AND CASE MANAGEMENT</b>		Date of Issue: 12/01/2020
Subject <b>ELECTRONIC FILE PREPARATION</b>		Effective Date: 12/01/2020  <b>PUBLIC</b>

I. AUTHORITY

This procedure is issued by the Chairperson, pursuant to 61 Pa.C.S. § 6112.

II. PURPOSE

The purpose of this procedure is to set forth rules for defining the steps necessary to prepare a case for decision makers to conduct parole interviews.

III. APPLICABILITY

This procedure is applicable to Parole Board staff.

IV. DEFINITIONS

Case Management Division: Responsible for evaluating cases listed on monthly institutional interview docket to determine file status and requirements; assigning parole numbers; establishing an electronic parole file, as necessary; entering sentencing information into the parole file; generating sentencing Judge/Prosecuting Attorney/Clerk of Court letters; managing responses from Judges, Prosecuting Attorneys and Clerks of Court; distributing Board Actions and related case finalization documents.

DOC Sentence Status Summary (16E): Sentence Status Summary from state correctional institutions.

DOC Correctional Plan (DC 43): A standard form that is generated in the Unit Management System and is used with all inmates to summarize the programmatic objectives and to document progress or the lack thereof. General Expectations, Recommended Programs, Enrolled Programs, and Previously Enrolled Programs are recorded on the DC-43 Report.

DOC Misconduct Report (DC 141): A document that is provided by the Department of Corrections that outlines an alleged violation of rules within the institution by the inmate.

V. POLICY

It is the policy of the Parole Board to review and prepare the electronic file for decision makers to utilize during the interview process.

## VI. PROCEDURE

- A. Case Management depends on state correctional institutional staff to place cases on the interview docket at least four months prior to subject minimum date.
- B. Case Management staff accesses institutional interview dockets at minimum three months prior to the interview month.
- C. Case Management staff researches docket entries in Department of Corrections (DOC) and Parole Board databases to determine if the subject already has been assigned a parole number, if a parole file currently exists, or if either must be created.
- D. Case Management staff reviews for accuracy the sentencing information by comparing DOC 16E to information in legacy Parole Board applications. If discrepancies exist, they are resolved to provide accurate information to the decision makers.
- E. Department of Corrections staff are responsible for providing up-to-date misconduct reports and correctional plans (DOC 141 and 43 respectively). Case Management staff include those completed forms with Judge/Prosecuting Attorney letters.
- F. Case Management staff conducts a final review of dockets and preparation materials one month prior to the interview month to determine changes to the docket and completeness of file preparations.

## VII. SUSPENSION DURING AN EMERGENCY

This procedure may be suspended during emergencies at the discretion of the Chairperson.

## VIII. RIGHTS UNDER THIS PROCEDURE

This procedure creates no rights in any official or employee of the Parole Board

## IX. RELEASE OF INFORMATION AND DISTRIBUTION OF PROCEDURE

This procedure is public and may be released to anyone upon request.

## X. CROSS REFERENCES

None