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Section-16 Probation and Parole	OP-160201	Page: 1	Effective Date: 07/23/2014 Annual Review: 05/2015
Opening, Closing and Transferring Probation and Parole Cases	ACA Standards: 4-APPFS-2A-04, 4-APPFS-2A-13, 4-APPFS-2A-14, 4-APPFS-2C-03, 4-APPFS-2G-02, 4-APPFS-3D-27, 4-APPFS-3D- 28		
Robert Patton, Director Oklahoma Department of Corrections	Signature on File		

Opening, Closing and Transferring

Cases Under Supervision

I. Opening Cases

Supervision begins immediately upon a sentence to probation, release from incarcerated offender status to a period of probation, parole, court ordered post imprisonment supervision or knowledge that the offender has failed to initially report as instructed. Upon receiving notification that an offender has received a community-supervised sentence, contact with the offender shall be initiated within three working days. (4-APPFS-2A-04) Parolees, court ordered post imprisonment supervision offenders and probationers with split sentences will be advised to report for supervision within 24 hours of release from incarceration (excluding weekends and holidays). Offenders may be granted reasonable delays in initially reporting to the assigned office for reasonable cause and/or extenuating circumstances. (4-APPFS-2C-03)

A. General Orientation

General orientation is conducted in a manner and language that ensures understanding by the offender.

1. Intake

- a. The probation and parole staff member who has initial contact with the offender will ensure the offender completes the "Personal History Sheet" ([Attachment A](#), attached). If the offender does not have a Department of Corrections (DOC) number, one shall be obtained from the information management system by the designated staff member.
- b. A visual image of the offender, both frontal and side views, will be obtained and entered into the information management system. The image will also be printed for inclusion in the field file. If the offender has any visible bodily markings (scars and tattoos), an image of each will be obtained and entered into the information management system.

II. Deferred Cases

A deferred sentence is a type of sentencing agreement in which the sentencing date is deferred to a set time in the future, not to exceed ten years from the date the agreement was entered. The offender has been ordered to supervised probation, with a set of rules and conditions issued by the court of jurisdiction. If the offender complies with the rules and conditions and has no violations, the court may dismiss and expunge the charge. A deferred sentence is not considered a felony conviction. If the offender violates the rules and conditions of the probation, the sentencing date may be accelerated and the court can then take action to render an appropriate sentence.

A. Opening the File

The district/confining facility will ensure that the following information is placed in the field file for all deferred cases:

1. A court order deferring the sentencing (e.g., a court minute, Judgment and Sentence, Summary of Facts);
2. Rules and conditions;
3. "Personal History Sheet" ([Attachment A](#));
4. Printed photograph of the offender; and
5. Pre-Sentence Investigation, if available.

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#), attached) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the DOC information management system.

Copies of court documents regarding restitution, probation fees, pre-sentence/delayed sentencing investigation fees, and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is sentenced to supervision and was born, or is suspected of being born in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice, Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision, utilizing the "Foreign-Born & Suspected Foreign-Born Report" ([Attachment K](#), attached).

B. Intrastate Transfers

Prior to transfer to another district, the file will be opened and a DOC identifier number shall be assigned to the offender, the field file/computer records shall be current and all case reports will be submitted in accordance with this procedure. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify in any court actions resulting from case reports submitted prior to transfer. Offenders will not be transferred if placed in an inpatient treatment facility.

1. Transfer to Another District
 - a. The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#), attached). Within 24 hours, a copy of

the "Case Transfer Notice" shall be faxed to the records office/team clerk of the receiving district.

Distribution of the "Case Transfer Notice" is as follows:

- (1) Original to receiving district
 - (2) Receiving or sending districts records officer/team clerk
 - (3) Offender
 - (4) Offender field file
- b. The field file shall be submitted through the immediate supervisor to the records officer/team clerk who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
 - c. The records officer/team clerk of the sending district shall, within 24 hours of receipt of the "Case Transfer Notice", submit an electronic move of the offender record to the receiving district via the information management system.
2. To Receive a Transfer from Another District
- a. The records officers shall monitor the information management system for all incoming transfers on a daily basis.
 - b. Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer shall access the information management system and assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer/team clerk shall contact the transferring district and request immediate transfer of the electronic file. The transferring district shall affect the electronic transfer upon request.
 - c. A copy of the "Case Transfer Notice" shall be provided to the newly assigned supervising officer to advise the officer of the case assignment.
3. Supervision shall begin upon assignment to the supervising officer. If the offender fails to report, the receiving district will have 30 days to complete the following:
- a. Locate the offender; or
 - b. If unable to locate the offender, a detailed case note entry that documents all attempts to locate the offender will be entered in

the DOC Information Management System and the file will be submitted to the team supervisor to be forwarded to the originating district.

- c. The assistant district supervisor or designee shall approve all files returned to an originating district. The records officer/team clerk will initiate an electronic move on the information management system back to the originating district. The originating district will be responsible for preparation of the violation report to the court or supervising authority if necessary.
4. The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

C. Closing the File

1. Advance Termination

Advance termination applies to cases that have not met the two year statutory termination date. If the offender has successfully completed all programmatic module placements prior to the two year supervision date, supervision will be terminated utilizing the advance termination procedures unless the offender owes an outstanding balance of restitution that is paid through DOC or the court has ordered a specific period of supervision. In such instance, the case will be transferred to the administrative caseload as defined in [OP-160801](#) entitled "Administrative Caseload."

Offenders with a LSI-R score of 9 or less or a LSI-R score of 10-18 with no module placement required for substance abuse will normally not be supervised in excess of six months. Once the supervising officer determines that the offender has completed all supervision requirements, a "Notice of Termination of Active Probation Supervision" ([Attachment I](#), attached) will be completed and forwarded to the sentencing court and the district attorney's office advising that the offender has completed all supervision requirements/programming and that supervision has been terminated in accordance with 22 O.S. § 991c. A copy will also be forwarded to DOC Restitution and Accounting. The copy to the sentencing judge may be waived by the district supervisor if the sentencing judge has indicated that no copy of the notice is required.

Upon successful completion of all assigned programmatic modules, the supervising officer will request a criminal records check to include at a minimum, the Federal Bureau of Investigation (FBI), the

Oklahoma State Bureau of Investigation (OSBI), and Department of Public Safety (DPS) records. A local records check for outstanding warrants or charges will also be completed. Once the criminal records have been received, the officer will complete an exit LSI-R with the offender and enter the results in EZAssess (4-APPFS-2A-13). If no additional criminogenic needs are identified, the supervision will be terminated. The supervising officer will forward a "Notice of Termination of Active Probation Supervision" ([Attachment I](#)) to the sentencing court and the district attorney's office advising that the offender has completed all supervision requirements/programming and that supervision has been terminated in accordance with 22 O.S. § 991c.

The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is maintained in the district office for 60 days past the court ordered discharge of the deferred sentence. Subsequent to conclusion of the deferred sentence, the file shall be destroyed in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

Offenders will not be advance terminated if there is an outstanding felony warrant or if there is an Application to Accelerate pending.

If the sentencing court has requested notice prior to the termination of supervision of offenders with no module placement, the court will be notified by the submission of a special report that includes the results of the assessment and the request that the balance of the sentence be ordered unsupervised. Supervision will not be terminated until a response has been received from the court. Supervision may be transferred to the administrative caseload pending approval by the court to terminate supervision. The transfer to the administrative caseload will be in accordance with [OP-160801](#) entitled "Administrative Caseload."

2. Statutory Termination

In accordance with 22 O.S. § 991c., deferred sentences will be supervised in the community for a period not to exceed two years.

Forty-five days prior to the statutory termination date, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

Upon reaching the two year supervision date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess. The "Notice of Termination of Active Probation Supervision" ([Attachment I](#)) will be completed and a copy forwarded to the sentencing judge, the district attorney, DOC Restitution and Accounting, and the field file. The copy to the sentencing judge may be waived by the district supervisor if the sentencing judge has indicated that no copy of the

notice is required. The officer will ensure the case notes are updated. The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is maintained in the district office for 60 days past the court ordered discharge of the deferred sentence. Subsequent to conclusion of the deferred sentence, the file shall be destroyed in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

3. Expiration

Forty-five days prior to the expiration of the sentence, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and the OSBI records.

Thirty-days prior to the expiration date, the supervising officer will conduct an exit LSI-R and enter the results in EZAssess. In the event that a Violation Report has been submitted and there is action pending, a supplemental report will be submitted on the "Case Report" ([DOC 160301B](#)) to the court 30 days prior to the expiration date advising the court of the case status and including any information the officer may need if called to testify. The Summary/Recommendation section of the report shall state, "Supervision is being terminated pursuant to 22 O.S. 991c." The supervising employee will recommend either dismissal or acceleration of a deferred case.

The supervising employee will verify there are no outstanding warrants and enter chronological findings in the information management system prior to the closing. A deferred case with pending court action shall be closed upon reaching the statutory termination date. The district may retain the file until disposition of the court action, but shall not supervise the offender beyond the statutory termination date unless the case is accelerated to a suspended sentence. The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is maintained in the district office for 60 days past the court ordered discharge of the deferred sentence. Subsequent to conclusion of the deferred sentence, the file shall be destroyed in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

4. Acceleration

The supervising officer will submit the court documents for closure. If acceleration results in termination of supervision by probation and parole, an exit LSI-R will be conducted and the results will be entered into EZAssess. If acceleration is to a suspended sentence or a community sentence, the records unit shall be provided the sentencing documents in order to open the suspended case. If supervised by other than a state probation and parole officer, the sentencing document shall be forwarded to the community sentencing

local administrator. If acceleration is to the custody of DOC, the offender's file and the "Record Transfer/Verification" sheet ([DOC 060212E](#)) will be submitted to the immediate supervisor to be forwarded to the appropriate reception center within two days of notification of reception. The immediate supervisor will ensure the records office/team clerk is notified of the closure.

5. Intermediate Revocation Facility (IRF)

Upon receipt of documentation that an offender has been ordered confinement in an IRF, the supervising officer will NOT purge the file and will:

- a. Complete the exit LSI-R and enter the results in EZAssess;
- b. Complete a detailed chronological entry outlining the final disposition; and
- c. Submit the supervision file to the immediate supervisor.

The immediate supervisor will ensure the records office is notified of the placement and the file is forwarded to the appropriate assessment and reception center.

6. Court Release

Upon receipt of a court document releasing the offender from supervision prior to the normal expiration date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess, submit court documents and forward the file to the immediate supervisor. The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is maintained in the district office for 60 days past the court ordered discharge of the deferred sentence. Subsequent to conclusion of the deferred sentence, the file shall be destroyed in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

7. Death of Offender

Districts shall terminate supervision upon valid notice that the offender has died. A "Special Report" will be submitted to the sentencing court and to DOC restitution and accounting notifying of the death. If the offender was supervised in excess of six months, the supervising officer will review the LSI-R to determine if any significant change had occurred and will update EZAssess, utilizing the LSI-R. The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is maintained in the district office for 60 days past the court ordered discharge of the deferred sentence. Subsequent to conclusion of the deferred sentence, the file shall be destroyed in accordance with [OP-060212](#)

entitled "Maintenance and Access of Offender Records."

8. Conclusion of Supervision

At the conclusion of supervision, a "Probation and Parole Termination Summary" ([Attachment F](#), attached) will be prepared to summarize the performance of the offender during the entire period of supervision. (4-APPFS-2A-13) The "Termination Summary" shall be completed on the information management system and forwarded to the immediate supervisor. A "Termination Summary" is not required for each separate case the offender completes, only the entire period of supervision. A "Termination Summary" shall be completed on a probation offender who receives a sentence of incarceration but continues to have a probationary sentence which has not been accelerated and has not expired. A "Six Part Closure" ([Attachment C](#), attached) shall be completed, noting all cases closed. A copy shall be submitted to the team clerk/records officer to provide notice of closure and to update the information management system. For purposes of statutory termination of supervision, multiple cases shall be considered as one continuous term of supervision, except that cases that are preceded by a parole case shall not be terminated until the parole case has terminated, either by statutory termination or by case expiration. Any such subsequent case shall be considered for statutory termination.

D. Reactivation

Upon discovery of a new crime or other behavior that presents a risk to public safety, supervision ceased due to advanced termination may be reactivated within the initial two years of supervision. Supervision of the original sentence will not extend beyond the statutory termination date. If a case is reactivated, the offender's legal case will be opened as an intake in the information management system and reassigned to the previous officer, if feasible.

III. Suspended

A suspended sentence is a type of sentence where a term of incarceration is ordered for the defendant, and all or part of the sentence is suspended for a set period of time. The offender has been ordered to supervised probation, with a set of rules and conditions issued by the court of jurisdiction. Court ordered Post Imprisonment Supervision followed by court ordered suspended sentence will be considered one continuous period of supervision.

If the offender violates the rules and conditions of his probation, all or part of the sentence may be revoked or modified by the sentencing court.

A. Opening the File

The district/confining facility will ensure that the following information is

placed in the field file for all suspended cases:

1. Judgment and Sentence, or equivalent document;
2. Rules and conditions;
3. "Personal History Sheet;"
4. Printed photograph of the offender; and
5. Pre-Sentence Investigation, if available.

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#)) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the DOC information management system.

Copies of court documents regarding restitution, probation fees, pre-sentence/delayed sentencing investigation fees, and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is sentenced to supervision and was born, or is suspected of being born in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice, Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision.

B. Intrastate Transfers

Prior to transfer to another district, the file will be opened and a DOC identifier number shall be assigned to the offender, the field file/computer records shall be current and all case reports will be submitted per applicable policy. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify regarding any actions resulting from case reports submitted prior to transfer. Offenders will not be transferred if placed in an inpatient treatment facility.

1. Transfer to Another District
 - a. The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#)). One copy of the "Case Transfer Notice" shall be faxed within 24 hours to the records office of the receiving district, one copy will be provided to the offender to serve as reporting instructions, one copy will be submitted to the records officer/team clerk and one copy will be attached to the offender field file.

- b. The field file shall be submitted through the immediate supervisor to the records officer/team clerk who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
 - c. Within 24 hours, the records office/team clerk of the sending district shall submit an electronic move of the offender record to the receiving district via the information management system.
 2. To Receive a Transfer from Another District
 - a. The records officers/team clerk shall monitor the information management system for all incoming transfers on a daily basis.
 - b. Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer/team clerk shall access the information management system and assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer/team clerk shall contact the transferring district and request immediate transfer of the electronic file. The transferring district shall submit the electronic transfer upon request.
 - c. A copy of the "Case Transfer Notice" shall be provided to the newly assigned supervising officer to advise the officer of the case assignment.
 3. Supervision shall begin upon assignment to the supervising officer. If the offender fails to report, the receiving district will have 30 days to complete the following:
 - a. Locate the offender; or
 - b. If unable to locate the offender, a detailed chronological entry to document all attempts to locate the offender will be entered into the DOC Information Management System and the file submitted to the team supervisor to be forwarded file to the originating district.
 - c. The assistant district supervisor shall approve all files returned to an originating district. The records officer/team clerk will initiate an electronic move on the information management system back to the originating district. The originating district will be responsible for preparation of the violation report to the court or supervising authority if necessary.
 4. The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The

case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

C. Closing the File

1. Advanced Termination

Advance termination applies to cases that have not met the mandatory two year statutory termination date. If the offender has successfully completed all programmatic module placements prior to the two year supervision date, supervision will be terminated utilizing the advance termination procedures, unless the offender owes an outstanding balance of restitution that is paid through the Department of Corrections, the court has ordered a specific period of supervision.

In such instance, the case will be transferred to the administrative caseload as defined in [OP-160801](#) entitled "Administrative Caseload."

Offenders with a LSI-R score of 9 or less; or a LSI-R score of 10-18 with no module placement required for substance abuse, will normally not be supervised in excess of six months. Once the supervising officer determines that supervision requirements have been met, a "Notice of Termination of Active Probation Supervision" (Attachment I) will be completed and forwarded to the sentencing court and the district attorney's office advising that the offender has completed all supervision requirements/programming and that supervision has been terminated in accordance with 22 O.S. § 991b. A copy will also be forwarded to DOC Restitution and Accounting. The copy to the sentencing judge may be waived by the district supervisor if the sentencing judge has indicated that no copy of the notice is required. Upon successful completion of all assigned programmatic modules, the supervising officer will request a criminal records check to include at a minimum, the FBI, OSBI, and DPS records. A local records check for outstanding warrants or charges will also be completed. Once the criminal records have been received, the officer will complete an exit LSI-R with the offender and enter the results in EZAssess. (4-APPFS-2A-13) If no additional criminogenic needs are identified, the supervision will be terminated.

The "Notice of Termination of Active Probation Supervision" ([Attachment I](#)) will be completed and reviewed with the offender. A signed copy will be provided to the offender as notice of any remaining court-ordered conditions for which the offender is responsible. A copy will be forwarded to the sentencing judge, the district attorney, DOC Restitution and Accounting, and the field file. The copy to the sentencing judge may be waived by the district supervisor if the sentencing judge has indicated that no copy of the notice is required. The immediate supervisor will ensure the records office/team clerk is notified of the closure and shall ensure the file is

submitted to the closed records unit.

If the sentencing court has requested notice prior to the termination of supervision of offenders with no module placement, the court will be notified by the submission of a special report that includes the results of the assessment and the request that the balance of the sentence be ordered unsupervised. Supervision will not be terminated until a response has been received from the court. Supervision may be transferred to the administrative caseload pending approval by the court to terminate supervision. The transfer to the administrative caseload will be in accordance with [OP-160801](#) entitled "Administrative Caseload."

2. Statutory Termination of Active Supervision of Probation Sentences (4-APPFS-2A-14)

In accordance with O.S. 22 § 991a., supervision of a suspended probation case shall not exceed two years except as otherwise provided by law. If the court of jurisdiction should enter an order requiring the Department of Corrections to supervise the offender for a term that extends beyond the mandatory review date, such supervision will be provided but shall not extend beyond the original discharge date. In the case of a sex offense conviction, as defined in [OP-020307](#) entitled "Sex and Violent Crime Offender Registration," supervision will not be terminated unless so ordered by the court.

a. Process for Termination of Supervision of Suspended Sentences

When an offender has completed all programmatic module assignments, supervision shall be terminated and the file closed. The supervising officer will complete the exit LSI-R and enter the results in EZAssess.

Forty-five days prior to the two year statutory termination date, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

If, 30 days prior to the eligibility date for statutory termination, the offender has not successfully completed all assigned programmatic modules, the officer will complete an exit LSI-R and enter the results in EZAssess. The officer will evaluate the change in re-assessment results to determine whether or not significant decrease in risk and/or increase in protective factors are reflected. The supervising officer will meet with the team supervisor and review the results and their relation to the remaining programmatic module(s).

If it is determined that the offender has made sufficient progress in addressing identified criminogenic needs,

supervision will be terminated and the case will be closed in accordance with Section III. C. 2. b. items (1), (2) and (3) of this procedure.

If it is determined that the offender has not made sufficient progress in addressing criminogenic needs, a recommendation for continued supervision will be recorded on the "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form ([Attachment H](#), attached) along with the salient factors contributing to the suggested action.

A staffing will be conducted to advise the offender that, because of the lack of sufficient progress in completing the requirements of the transition plan, continued supervision will be required. The officer, offender and team supervisor will work to identify any barriers to the offender's continued progress toward completion of the requirements of the transition plan and to assist the offender in developing steps to penetrate those barriers. Any supportive actions or steps that can be offered by the officer will be discussed and included on the "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form ([Attachment H](#)).

The "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form must be submitted to the assistant district supervisor for approval to extend supervision beyond the statutory termination date. Once approved, notice will be provided to the team supervisor who will ensure the supervising officer and the records officer/team clerk is notified.

- b. Upon approval for termination of supervision, the following steps will occur:
 - (1) The "Notice of Termination of Active Probation Supervision" ([Attachment I](#)) will be completed and a copy forwarded to the sentencing judge, the district attorney, DOC Restitution and Accounting, and the field file. The copy to the sentencing judge may be waived by the district supervisor if the sentencing judge has indicated that no copy of the notice is required;
 - (2) The case notes will be updated; and
 - (3) The field file will be closed and forwarded to the Closed Records Unit.

Forty-five days prior to the expiration of the sentence, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

Thirty days prior to the expiration date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess. Upon the expiration date, the supervising officer will purge the file and submit the supervision file to the immediate supervisor. The supervisor will notify the records office/team clerk of the closure, and ensure the file is forwarded to Closed Records Unit.

4. Revoked

Upon receipt of documentation that a case has been revoked, the supervising officer will:

- a. Complete the exit LSI-R and enter the results in EZAssess;
- b. Complete a detailed chronological entry that outlines the final disposition;
- c. Purge the file; and
- d. Submit the supervision file to the immediate supervisor.

The immediate supervisor will ensure the records office is notified of the closure, and that the file is forwarded to the appropriate reception center or to the Division of Community Sentencing local administrator (if supervision is not provided by a state probation and parole officer) in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

5. Intermediate Revocation Facility (IRF)

Upon receipt of documentation that an offender has been ordered confinement in an IRF, the supervising officer will NOT purge the file and will:

- a. Complete the exit LSI-R and enter the results in EZAssess;
- b. Complete a detailed chronological entry that outlines the final disposition; and
- c. Submit the supervision file to the immediate supervisor.

The immediate supervisor will ensure the records office is notified of the placement and that the file is forwarded to the appropriate assessment and reception center.

6. Outstanding Warrant

A suspended sentence case which has an outstanding felony warrant and/or a pending Application to Revoke will not be closed until the warrant has been resolved, DOC has been released from supervision, or the original expiration date of the case has passed.

7. Court Release

Upon receipt of a court document releasing the offender from supervision prior to the normal expiration date, the supervising officer will:

- a. Complete the exit LSI-R and enter the results in EZAsses;
- b. Submit court documents;
- c. Purge the file; and
- d. Forward the file to the immediate supervisor.

The immediate supervisor shall ensure the records office is notified of the case closure and submit the file to the Closed Records Unit.

8. Death of an Offender

Districts shall terminate the supervision of probationers upon valid notice that the offender has died. A "Special Report" will be submitted to the sentencing court and to DOC Restitution and Accounting with notification of the death. If the offender was supervised in excess of six months, the supervising officer will review the LSI-R to determine if any significant change had occurred and will update EZAssess, utilizing the LSI-R. The immediate supervisor shall ensure the records office/team clerk is notified of the case closure and submit the file to the Closed Records Unit.

9. Conclusion of Supervision

At the conclusion of supervision, a "Probation and Parole Termination Summary" ([Attachment F](#)) will be prepared to summarize the performance of the offender during the entire period of supervision. (4-APPFS-2A-13) The "Termination Summary" shall be completed on the information management system and forwarded to the immediate supervisor. A "Termination Summary" is not required for each separate case the offender completes, only the entire period of supervision. A "Termination Summary" shall be completed on a probation offender who receives a sentence of incarceration but continues to have a probationary sentence which has not been revoked and has not expired. A "Six Part Closure" ([Attachment C](#)) shall be completed, noting all cases closed. A copy shall be submitted to the team clerk/records officer to provide notice of closure

and to update the information management system. For purposes of statutory termination of supervision, multiple cases shall be considered as one continuous term of supervision, except that cases that are preceded by a parole case shall not be terminated until the parole case has been terminated, either by statutory termination or by case expiration. Any such subsequent case shall be considered for statutory termination.

D. Reactivation

Upon discovery of a new crime or other behavior that presents a risk to public safety, any supervision ceased due to Advanced Termination may be reactivated within the initial two years of supervision. Supervision of the original sentence will not extend beyond the statutory termination date. If a case is reactivated, the offender's legal case will be opened as an intake in OMS and reassigned to the previous officer, if feasible.

IV. Parole

Parole is a conditional release from a period of incarceration, granted by the Governor, and subject to rules and conditions as established by the Pardon and Parole Board and/or the Governor. Violation of the rules and conditions may result in the parole being revoked by the Governor.

A. Opening the File

The district/confining facility will ensure that the following information is placed in the field file for all parole cases:

1. Parole Certificate, with rules and conditions; signed by the Governor, the offender and the Secretary of State;
2. Printed photograph;
3. "Personal History Sheet;" and
4. Pre-Sentence Investigation, if available.

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#)) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the information management system.

Copies of court documents regarding restitution, parole fees, pre-sentence/delayed sentencing investigation fees, and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

B. Intrastate Transfers

Prior to transfer to another district, the file shall be opened and a DOC identifier number shall be assigned to the offender, the field file/computer records shall be current and all case reports will be submitted per this procedure. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify in any court actions resulting from case reports submitted prior to transfer. Offenders will not be transferred if placed in an inpatient treatment facility.

1. Transfer to Another District

- a. If the parolee has a pending violation (to include a violation addressed with the imposition of an intermediate sanction), the assistant district supervisor from the sending district will contact the assistant district supervisor from the receiving district for approval prior to the transfer.
- b. The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#)). One copy of the "Case Transfer Notice" shall be faxed within 24 hours to the records office of the receiving district, one copy will be provided to the offender to serve as reporting instructions, one copy will be submitted to the records officer and one copy will be attached to the offender field file.
- c. The field file shall be submitted through the immediate supervisor to the records officer who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
- d. Within 24 hours of receipt of the "Case Transfer Notice," the records officer/team clerk of the sending district shall submit an electronic move of the offender record to the receiving district via the information management system.

2. To Receive a Transfer from Another District

- a. The records officers shall monitor the information management system for all incoming transfers on a daily basis.
- b. Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer shall access the information management system and assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer/team clerk shall contact the transferring district and request immediate transfer of the

electronic file. The transferring district shall send the electronic transfer upon request.

- c. A copy of the "Case Transfer Notice" shall be provided to the newly assigned supervising officer to advise the officer of the case assignment.
3. Supervision shall begin upon assignment to the supervising officer. If the offender fails to report, the receiving district will have 30 days to complete the following:
 - a. Locate the offender; or
 - b. If unable to locate, a detailed chronological entry to document all attempts to locate the offender will be entered in the DOC Information Management System and the file will be submitted to the team supervisor to be forwarded to the originating district.
 - c. The assistant district supervisor shall approve all files returned to an originating district. The records officer will initiate an electronic move on the information management system back to the originating district. The originating district will be responsible for preparation of the violation report to the court or supervising authority if necessary.
 4. The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

C. Closing the File

1. Advance Termination

Advance termination applies to cases that have not met the three year statutory termination date. If the offender has successfully completed all programmatic module placements prior to the three year supervision date, supervision will be terminated utilizing the advance termination procedures unless the offender owes an outstanding balance of restitution that is paid through DOC. In such instance, the case will be transferred to the administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload."

Offenders with a LSI-R score of 9 or less or a LSI-R score of 10-18 with no module placement required for substance abuse will normally not be supervised in excess of six months. Once all supervision requirements have been met, an "Inactive Parole Supervision Notice",

([Attachment J](#), attached) will be completed and signed by the parolee. A copy will be forwarded to the Pardon and Parole Board and to DOC Restitution and Accounting. The file will then be transferred to the administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload."

Upon successful completion of all assigned programmatic modules, the supervising officer will request a criminal records check to include at a minimum, the FBI, OSBI, and DPS records. A local records check for outstanding warrants or charges will also be completed. Once the criminal records have been received, the officer will complete an exit LSI-R with the offender and enter the results in EZAssess. (4-APPFS-2A-13) If no additional criminogenic needs are identified, active supervision will be terminated. The "Inactive Parole Supervision Notice", ([Attachment J](#)) will be completed and signed by the parolee and the file transferred to the administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload."

2. Statutory Review for Inactive Supervision of Parole Sentences

In accordance with title 57 O.S. § 512.1, active supervision of a parole case will not exceed three years unless the best interests of the public and the parolee would be served by an extended period of supervision. However, in the case of a sex offense conviction as defined in [OP-020307](#) entitled "Sex and Violent Crime Offender Registration," parole cases are not eligible for inactive parole supervision under this statute.

Any extended period of supervision will not exceed the expiration of the maximum term or terms for which the parolee was sentenced. The district supervisor or designee will have the final decision in the termination or continued supervision of parolees.

a. Process for Termination of Active Supervision of Parole Sentences

Each district will ensure all parole supervision cases, excluding sex offenses as defined in [OP-020307](#) entitled "Sex and Violent Crime Offender Registration," are reviewed for termination upon successful programmatic module completion or 30 days prior to the three year eligibility, whichever occurs first. If an offender has completed all programmatic module assignments, active supervision shall be terminated and the file closed and transferred to an administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload."

Forty-five days prior to the three year statutory termination date, the supervising officer will complete a current criminal records check to include at a minimum, the "FBI and OSBI

records.

If 30 days prior to the eligibility date for statutory termination, the offender has not successfully completed all assigned programmatic modules, the officer will complete an exit LSI-R and enter the results in EZAssess. The officer will evaluate the change in re-assessment results to determine whether or not a significant decrease in risk and/or increase in protective factors are reflected. The supervising officer and the team supervisor will evaluate the results and their relation to the remaining programmatic module(s).

If it is determined that the offender has made sufficient progress in addressing identified criminogenic needs, supervision will be terminated and the case will be closed in accordance with Section IV. C. 2. b. items (1) and (2) of this procedure.

If it is determined that the offender has not made sufficient progress in addressing criminogenic needs, a recommendation for continued supervision will be recorded on the "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form along with the salient factors contributing to the recommendation.

A staffing will be conducted to advise the offender that due to lack of sufficient progress in completing the requirements of the transition plan, continued supervision will be required. The officer, offender and team supervisor will work to identify any barriers to the offender's continued progress toward completion of the requirements of the transition plan and to assist the offender in developing steps to penetrate those barriers. Any supportive actions or steps that can be offered by the officer will be discussed and included on the "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form ([Attachment H](#)).

The "Statutory Termination Review for Continued Supervision on Suspended/Parole Cases" form ([Attachment H](#)) must be submitted to the assistant district supervisor for approval to extend supervision beyond the statutory termination date. Once approved, notice will be provided to the team supervisor who will ensure the supervising officer and the records officer/team clerk is notified.

- b. Upon Approval for Termination of Active Supervision
 - (1) The case notes will be updated to reflect the final determination.

- (2) The case will be transferred to an administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload" with the following completed by the supervising staff member:
 - (a) The supervising staff member will complete the "Inactive Parole Supervision Notice" ([Attachment J](#), attached) and forward the form and the field file to the team supervisor for review.
 - (b) The supervising staff member will notify the parolee of the termination of active supervision, and the consequences of any violations while on inactive status. The parolee will sign the "Inactive Parole Supervision Notice."
 - (c) The team supervisor will ensure that the "Inactive Parole Supervision Notice" is forwarded to the parole process coordinator for delivery to the Pardon and Parole Board. A copy will be forwarded to DOC Restitution and Accounting and to the parolee as notification of inactivation.

3. Reactivation

Reactivation will be in accordance with [OP-160801](#) entitled "Administrative Caseload." The supervising officer will notify the parolee of the reactivation of supervision with reporting instructions.

4. Expiration

Forty-five days prior to the expiration of the sentence, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

a. Post Imprisonment Supervision and Suspended Portion Not Ordered

Thirty days prior to the expiration date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess. The "Record Transfer/Verification Sheet" and a "Six-Part Closure" will be completed upon the expiration of parole. After purging the file, the officer will attach the completed information and forward to the immediate supervisor for closure. The immediate supervisor will ensure the records officer is notified of the closure and the file is forwarded to the Closed Records Unit.

b. Post Imprisonment Supervision Ordered:

Should the court order a period of Post Imprisonment Supervision, the supervising officer will complete the "Case Opening Audit" form and submit the file to the immediate supervisor for opening. A "Termination Summary" and exit LSI-R are not required at this time.

5. Revoked

Upon receiving notice that the offender's parole has been revoked, the supervising officer will conduct the exit LSI-R and enter the results in EZAssess. The officer will submit the revocation documents and forward to the immediate supervisor.

If revocation is to the custody of DOC, the revocation documents and the "Record Transfer/Verification" ([DOC 060212E](#)) will be forwarded to the immediate supervisor to be forwarded to the appropriate assessment and reception center (or confining facility) within two days of notification of reception and the supervisor will notify the records officer of the closure.

If revocation is made while the offender is incarcerated in another state, the offender's file and the "Record Transfer/Verification" will be forwarded to the immediate supervisor to be forwarded to an administrative caseload in accordance with [OP-160801](#) entitled "Administrative Caseload."

6. Death

Districts shall terminate supervision of parolees upon valid notice that the offender has died. A "Special Report" will be submitted to the Pardon and Parole Board, the sentencing court and to DOC Restitution and Accounting notifying of the death. If the offender was supervised in excess of six months, the supervising officer will review the LSI-R to determine if any significant change had occurred and will update in EZAssess. The immediate supervisor shall ensure the records office/team clerk is notified of the case closure and the file will be submitted to the Closed Records Unit.

7. Conclusion of Supervision

At the conclusion of supervision, a "Termination Summary" will be prepared to summarize the performance of the offender during the entire period of supervision. (4-APPFS-2A-13) The "Termination Summary" shall be completed on the information management system and forwarded to the immediate supervisor. A "Termination Summary" is not required for each separate case the offender completes, only the entire period of supervision. A "Six Part Closure" ([Attachment C](#)) shall be completed, noting all cases closed. A copy shall be submitted to the team clerk/records officer to provide notice of closure and to update the information management system. For

purposes of statutory termination of supervision, multiple cases shall be considered as one continuous term of supervision, except that cases that are preceded by a parole case shall not be terminated until the parole case has been terminated, either by statutory termination or by case expiration. Any such subsequent case shall be considered for statutory termination.

V. Interstate-In

An Interstate-In is an offender received for supervision from another state. The offender is subject to the rules and conditions established by the sending state. Additional rules may be imposed by the receiving state.

A. Opening the File

The district/confining facility will ensure that the following information is placed in the field file for all interstate-in cases:

1. Judgment and Sentence or equivalent sentencing document (i.e., a court minute);
2. Parole certificate (if applicable);
3. Rules and conditions;
4. Completed investigation;
5. Printed photograph; and
6. "Personal History Sheet."

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#)) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the DOC information management system.

Copies of documents regarding probation/parole fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is sentenced to supervision and was born, or is suspected of being born in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice, Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision.

B. Transfers

1. Intrastate Transfers

Prior to transfer to another district, the file will be opened and a DOC identifier number shall be assigned to the offender, the field file/computer records shall be current and all case reports will be submitted per this procedure. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify regarding any court actions resulting from case reports submitted prior to transfer.

a. Transfer to Another District

- (1) The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#)). One copy of the "Case Transfer Notice" shall be faxed within 24 hours to the records office of the receiving district, one copy will be provided to the offender to serve as reporting instructions, one copy will be submitted to the records officer and one copy will be attached to the offender field file.
- (2) The field file shall be submitted through the immediate supervisor to the records officer/team clerk who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
- (3) Within 24 hours of receipt of the "Case Transfer Notice," the records officer/team clerk of the sending district shall submit an electronic move of the offender record to the receiving district via the information management system.

b. To Receive a Transfer from Another District

- (1) The records officers/team clerks shall monitor the information management system for all incoming transfers on a daily basis.
- (2) Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer/team clerk shall utilize the information management system to assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer shall contact the transferring district and request immediate transfer of the electronic file. The transferring district shall send the electronic transfer upon request.

receiving state that the offender's transfer to the subsequent receiving state has been approved.

- e. Notification of offender's departure and arrival shall be made.
- f. Acceptance of the offender's transfer of supervision by a subsequent state and issuance of reporting instructions to the offender terminate the receiving state's supervisory obligations for the offender. A "Case Closure Notice" shall be transmitted through ICOTS to the Interstate Compact Office.
- g. The offender will remain in Oklahoma until instructed otherwise by the original sending state. In case of an emergency, the Interstate Compact administrator may contact the sending state for permission to move. If granted, a "Travel Permit" ([DOC 160103B](#)) shall be issued to the offender and the case closed in accordance with Section V. B. 2. b. items (1)-(4) below. If denied, the offender will remain in Oklahoma until the formal acceptance is received.
- h. Acceptance by Third State

Upon notice of acceptance by the third state, the following will occur:

- (1) An exit LSI-R will be completed and entered in EZAssess;
- (2) The offender will be issued a "Travel Permit" ([DOC 160103B](#)) and the case closed in accordance with Section II. E. item 1. of this procedure;
- (3) An ICAOS "Closure Notice" form shall be completed and forwarded to the Interstate Compact Office; and
- (4) The records officer/team clerk will be notified of the closure and the file will be forwarded to the Closed Records Unit.

3. Return to Sending State

When an offender decides to return to the sending state, a "Request for Reporting Instructions" shall be forwarded to the Interstate Compact Office. The offender will remain in Oklahoma until reporting instructions are received. Once the offender has received reporting instructions, the supervising officer shall complete the exit LSI-R and enter the results in EZAssess, complete a "Probation and Parole Termination Summary" ([Attachment F](#)) (making notation of the offender's proposed address in the comment section), and submit the supervision file to the immediate supervisor. The immediate

supervisor shall ensure the records unit is notified of the case closure and the file is transferred to the Closed Records Unit. An ICAOS [“Closure Notice”](#) shall be transmitted through the Interstate Compact Offender Tracking System (ICOTS).

C. Mail In

1. Assignment Requirements

- a. The offender has a LSI-R score of 9 or less or an LSI-R score of 10-18 with no module placement required for substance abuse;
- b. The offender has successfully completed all assigned programmatic modules;
- c. The supervising officer has completed all requirements as outlined in the “Mail In” section of the “Administrative Caseload Checklist;” and
- d. The supervising officer has submitted the checklist and the file to the team supervisor for approval.

D. Closing the Case

1. Expired

Forty-five days prior to the expiration of the sentence, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

Thirty days prior to the expiration date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess. Upon the expiration, the “Record Transfer/Verification” sheet ([DOC 060212E](#)) and will forward the file to the immediate supervisor. The supervisor will ensure that the records office is notified of the closure and that the file is transferred to the Closed Records unit. An ICAOS [“Closure Notice”](#) form shall be completed and transmitted through ICOTS.

2. Absconders and Incarcerated Offenders

An ICAOS [“Violation Report”](#) shall be transmitted through ICOTS stating, “Oklahoma is closing interest in this case, effective (Date).” The officer will complete an exit LSI-R with results entered in EZAssess. The file and forwarded to the immediate supervisor. The immediate supervisor will ensure that the records office is notified of the closure and that the file is transferred to the Closed Records unit. An ICAOS [“Closure Notice”](#) shall be completed and transmitted through ICOTS.

3. Death

Districts shall terminate supervision of offenders under supervision upon valid notice that the offender has died. If the offender was supervised in excess of six months, the supervising officer will review the LSI-R to determine if any significant change had occurred and will update EZAssess, utilizing the LSI-R. The immediate supervisor shall ensure the records office/team clerk is notified of the case closure and submit the file to the Closed Records Unit. An ICAOS [“Closure Notice”](#) shall be completed and transmitted through ICOTS along with documentation of the death.

4. Conclusion of Supervision

At the conclusion of supervision, a “Termination Summary” will be prepared to summarize the performance of the offender during the entire period of supervision. (4-APPFS-2A-13) The “Termination Summary” shall be completed on the information management system and forwarded to the immediate supervisor. A “Termination Summary” is not required for each separate case the offender completes, only the entire period of supervision.

An ICAOS [“Closure Notice”](#) shall be completed and transmitted through ICOTS. A “Six Part Closure” ([Attachment C](#)) shall be completed, noting all cases to be closed. A copy shall be submitted to the team clerk/records officer to provide notice of closure and to update the information management system. For purposes of statutory termination of supervision, multiple cases shall be considered as one continuous term of supervision, except that cases that are preceded by a parole case shall not be terminated until the parole case has been terminated, either by statutory termination or by case expiration. Any such subsequent case shall be considered for statutory termination.

VI. Global Position Satellite Surveillance Program (GPS)/ Electronic Monitoring for DUI Offenders (EMP)

The GPS and EMP programs consist of offenders, previously incarcerated, who have been released to a conditional supervision program. The offenders are subject to the rules and conditions of the program). The opened offender file will be received from the institution.

A. Intrastate Transfers

Offenders requesting to transfer to another district shall advise the supervising officer of the request to transfer. The transfer request shall normally be approved if the offender has valid employment and a valid residential offer. If the supervising officer approves the transfer request, the officer shall complete the “Facility Assignment Form” ([DOC 060103A \(M\) \(F\)](#)) and the “Case Transfer Notice” ([Attachment E](#)) and submit the request to the

records unit. The records unit will fax the transfer request to the receiving district for verification of residence and employment. If approved, the records unit of the receiving district shall notify the records unit of the sending district of such approval. Upon receipt of approval, the records unit shall submit the "Facility Assignment Form (FAF)" ([DOC 060204A](#)) to the population office for approval. Upon receiving approval for transfer from the Population Office via the state-wide move list, the sending district shall enter the approved transfer into the Offender Management System (OMS) for transfer on the approved date. The supervising officer shall notify the requesting offender of the status of the transfer request. If approved by the Population Office, the offender shall be advised to report to the receiving district within 24 hours. Upon receipt of the offender at the receiving district, the records unit shall be notified to ensure the electronic move is completed on OMS.

The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

B. Closing the File

1. Expired

Upon receiving notice and a completed discharge certificate from the records office, the supervising officer will obtain the offender's signature on the discharge certificate and return the discharge certificate and the field file to the team supervisor for submission to the Closed Records Unit for closure in accordance with [OP-061001](#) entitled "Global Position Satellite Surveillance Program" or [OP-061002](#) entitled "Electronic Monitoring Program for DUI Offenders." An exit LSI-R will be completed and entered into EZAssess. The "Termination Summary" shall be completed on the information management system and forwarded to the immediate supervisor. A "Six Part Closure" shall be completed, noting all cases closed.

If the offender is serving a split sentence and discharges to supervised probation, the incarceration portion of the sentence will be closed and a "Six Part Closure" shall be completed. A "Termination Summary" and exit LSI-R are not required. The suspended portion will be opened in accordance with Section III. item A, of this procedure.

2. Program Removal/Reclassification

When an offender is returned to higher security for violation of the rules and conditions of supervision, an exit LSI-R will be completed and entered in EZAssess. A "Termination Summary" shall be completed on the information management system and forwarded to

the immediate supervisor. A "Record Transfer/Verification" sheet will be completed. The field and medical files will be transferred to the receiving facility with the offender via the records office. Copies of disciplinary documents will be maintained by the supervising officer for final executive action. Removal of an offender from any of the aforementioned programs will be in accordance with [OP-060125](#) entitled "Departmental Offender Disciplinary Procedures."

3. Paroled

Upon notice of offender's parole, the supervising officer will complete a "Six-Part Closure," and submit with the field file to the immediate supervisor. When the Certificate of Parole is received, the parole case will be given to the records officer for appropriate case opening in accordance with Section IV. item A. of this procedure.

4. Suspended

Upon expiration of the incarcerated sentence and followed by a court ordered suspended sentence the officer will complete the "GPS Exit Form" ([OP-061001](#), [Attachment K](#)) and forward to the immediate supervisor. A "Termination Summary" and exit LSI-R are not required at this time. The supervising officer will complete the Case Opening Audit and Case Card and submit the case to the immediate supervisor for opening.

The suspended sentence is to be considered the Post Imprisonment Supervision Period; the case will not be terminated prior to the nine (9) to twelve (12) month period.

5. Post Imprisonment Supervision

a. Post Imprisonment Supervision (Ordered)

Should the court order a period of Post Imprisonment Supervision, the supervising officer will complete the "Case Opening Audit" form and submit the file to the immediate supervisor for opening. A "Termination Summary" and exit LSI-R are not required at this time.

6. Death of an Offender

Upon discovery of death of a GPS or EMP offender, procedures outlined in [OP-061001](#) entitled "Global Position Satellite Surveillance Program" will be followed.

Districts shall terminate supervision of GPS and EMP offenders upon valid notice that the offender has died. If the offender was supervised in excess of six months, the supervising officer will review the LSI-R to determine if any significant change had occurred and will update

EZAssess. The field record will be updated and closed in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records." The "Termination Summary" shall be completed on the information management system and forwarded to the immediate supervisor. A "Six Part Closure" shall be completed, noting all cases closed. The file will then be submitted to the Closed Records Unit.

VII. Post Imprisonment Supervision

Post Imprisonment Supervision is defined as the initial nine (9) to twelve (12) months immediately following release from incarceration to parole, suspended sentence or court ordered Post Imprisonment Supervision. Offenders released from incarceration will be actively supervised for the initial nine (9) month to twelve (12) month period unless this period exceeds the original discharge date.

A. Opening the File

The district/confining facility will ensure that the following information is placed in the field file for all Post Imprisonment Supervision cases:

1. Judgment and Sentence, or equivalent document;
2. Rules and Conditions (Attachment L, attached);
3. "Personal History Sheet";
4. Printed photograph of the offender; and
5. Pre-Sentence Investigation, if available.

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#)) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the DOC information management system.

Copies of court documents regarding restitution, probation fees, pre-sentence/delayed sentencing investigation fees, post imprisonment supervision fees and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is released to a period of post imprisonment supervision and was born, or is suspected of being born in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice, Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision.

B. Intrastate Transfers

Prior to transfer to another district, the file will be opened, the field file/computer records shall be current and all case reports will be submitted per applicable policy. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify regarding any actions resulting from case reports submitted prior to transfer. Offenders will not be transferred if placed in an inpatient treatment facility.

1. Transfer to Another District
 - a. The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#)). One copy of the "Case Transfer Notice" shall be faxed within 24 hours to the records office of the receiving district, one copy will be provided to the offender to serve as reporting instructions, one copy will be submitted to the records officer/team clerk and one copy will be attached to the offender field file.
 - b. The field file shall be submitted through the immediate supervisor to the records officer/team clerk who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
 - c. Within 24 hours, the records office/team clerk of the sending district shall submit an electronic move of the offender record to the receiving district via the information management system.
2. To Receive a Transfer from Another District
 - a. The records officers/team clerk shall monitor the information management system for all incoming transfers on a daily basis.
 - b. Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer/team clerk shall access the information management system and assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer/team clerk shall contact the transferring district and request immediate transfer of the electronic file. The transferring district shall submit the electronic transfer upon request.
 - c. A copy of the "Case Transfer Notice" shall be provided to the newly assigned supervising officer to advise the officer of the case assignment.
3. Supervision shall begin upon assignment to the supervising officer. If the offender fails to report, the receiving district will have 30 days to complete the following:

- a. Locate the offender; or
 - b. If unable to locate the offender, a detailed chronological entry to document all attempts to locate the offender will be entered into the DOC Information Management System and the file submitted to the team supervisor to be forwarded file to the originating district.
 - c. The assistant district supervisor shall approve all files returned to an originating district. The records officer/team clerk will initiate an electronic move on the information management system back to the originating district. The originating district will be responsible for preparation of the violation report to the court or supervising authority if necessary.
4. The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

C. Closing the File

Offenders released under post imprisonment supervision as defined in Section VII. of this policy will be actively supervised for the entire post imprisonment supervision period

1. Expired

Forty-five days prior to the expiration of the sentence, the supervising officer will complete a current criminal records check to include at a minimum, the FBI and OSBI records.

Thirty days prior to the expiration date, the supervising officer will complete the exit LSI-R and enter the results in EZAssess. Upon the expiration date, the supervising officer will purge the file and submit the supervision file to the immediate supervisor. The supervisor will notify the records office/team clerk of the closure, and ensure the file is forwarded to Closed Records Unit.

VIII. Delayed Sentencing

A delayed sentencing is a trial supervision period ordered by the court prior to the court issuing a final adjudication on of a felony case. The defendant is supervised in accordance with departmental policy for a time specified by the court.

A. Opening the File

The district office having geographic jurisdiction will ensure that the following

items are placed in the field file within seven working days of receipt of the court order and made available to the supervising district:

1. Court order;
2. District attorney's information sheet;
3. "Personal History Sheet;"
4. Signed "Consent for Release of Confidential Information" ([OP-060210](#), [Attachment C](#)); and
5. LSI-R, if available.

After all documents have been assembled, the district will enter all pertinent information into the information management system.

Copies of court documents regarding restitution, probation fees, pre-sentence/delayed sentencing investigation fees, and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is sentenced to supervision and was born, or is suspected of being born, in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice, Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision.

Within 90 days of assignment to the delayed sentencing program, an "Offender Accountability Plan Delayed Sentencing Program for Young Adults" ([OP-060210](#), [Attachment B](#)) will be developed and submitted to the court.

B. Intrastate Transfers

Prior to transfer to another district, the file will be opened and a DOC identifier number shall be assigned to the offender, the field file/computer records shall be current and all case reports will be submitted per this procedure. Offenders will not be denied transfer due to delinquencies or pending court actions. If court actions are pending, the supervising officer of the sending district will testify regarding any court actions resulting from case reports submitted prior to transfer.

1. Transfer to Another District
 - a. The supervising officer will complete the "Case Transfer Notice" ([Attachment E](#)). One copy of the "Case Transfer Notice" shall be faxed within 24 hours to the records office of the receiving district, one copy will be provided to the offender to serve as reporting instructions, one copy will be submitted to

the records officer and one copy will be attached to the offender field file.

- b. The field file shall be submitted through the immediate supervisor to the records officer/team clerk who will ensure the file is transferred to the receiving district within ten working days of the transfer approval.
- c. Within 24 hours of receipt of the "Case Transfer Notice", the records officer/team clerk of the sending district shall submit an electronic move of the offender record to the receiving district via the information management system.

2. To Receive a Transfer from Another District

- a. The records officers/team clerks shall monitor the information management system for all incoming transfers on a daily basis.
- b. Upon receipt of the "Case Transfer Notice" or upon notice that the offender has reported for supervision, the records officer shall access the information management system and assign the transferred case to a supervising officer. If the electronic file has not been sent from the transferring district, the receiving district records officer/team clerk shall contact the transferring district and request immediate transfer of the electronic file. The transferring district shall send the electronic transfer upon request.
- c. A copy of the "Case Transfer Notice" shall be provided to the newly assigned supervising officer to advise the officer of the case assignment.

3. Supervision shall begin upon assignment to the supervising officer. If the offender fails to report, the district will have 30 days to complete the following:

- a. Locate the offender; or
- b. If unable to locate the offender, a detailed chronological entry to document all attempts to locate the offender will be written and submitted to the team supervisor to be forwarded with the file to the originating district.

The assistant district supervisor shall approve all files returned to an originating district. The records officer will initiate an electronic move on the information management system back to the originating district. The originating district will be responsible for preparation of the violation report to the court or supervising authority if necessary.

4. The supervising officer will summarize the offender's supervision in the case notes prior to transferring the file to another officer. The case note should include information outlining module placement, the offender's readiness for change, information regarding pending charges (if applicable), and any other issues relevant to the offender's supervision.

C. Closing the File

If at formal sentencing the court dismisses the delayed sentence or orders the sentence satisfied, the supervising officer will submit the case to the immediate supervisor for closing. The supervisor will ensure the records office/team clerk is notified of the closure and the file is forwarded to Closed Records.

If the offender receives a sentence of supervised probation, the case will be opened in accordance with this procedure. If the offender is sentenced to a term of incarceration, the case will be forwarded to the appropriate assessment and reception center in accordance with [OP-060212](#) entitled "Maintenance and Access of Offender Records."

IX. Deferred Prosecution

A. Opening the File

The district/confining facility will ensure that the following information is placed in the field file for all deferred prosecution cases:

1. District attorney's deferred prosecution agreement;
2. Rules and conditions;
3. "Personal History Sheet;" and
4. Printed photograph of the offender.

The team supervisor will ensure that a "Case Opening Audit" ([Attachment G](#)) is completed on each file opened in the district.

After all documents have been assembled, the district will enter all pertinent information on the information management system.

Copies of court documents regarding restitution, probation fees, pre-sentence/delayed sentencing investigation fees, and mental health assessment fees will be forwarded to the Restitution and Accounting Unit. All required opening materials will be placed in the field file. (4-APPFS-3D-27)

If an offender is sentenced to supervision and was born, or is suspected of being born, in a country other than the United States of America, the officer who supervises the case will notify the U.S. Department of Justice,

Immigration and Customs Enforcement (ICE) in writing immediately upon initiating supervision.

B. Transfer

Deferred prosecution cases cannot be transferred.

C. Closing the File

On the closing date, the supervising officer will send a memo to the Restitution Accounting Unit advising that the case has closed. The file will be destroyed within five working days after the expiration of the contract unless closed previously by authorization of the district attorney's office. No "Termination Summary" is required.

X. References

Policy Statement No. P-160100 entitled "Purpose and Function of Probation and Parole"

OP-020307 entitled "Sex and Violent Crime Offender Registration"

OP-060125 entitled "Department Offender Disciplinary Procedures"

OP-060212 entitled "Maintenance and Access of Offender Records"

OP-061001 entitled "Global Position Satellite Surveillance Program"

OP-061002 entitled "Electronic Monitoring Program for DUI Offenders"

OP-160103 entitled "Supervision of Community Offenders"

OP-160801 entitled "Administrative Caseload"

22 O.S. § 305.2 through 305.5

22 O.S. § 982

XI. Action

The district supervisors are responsible for compliance with this procedure.

The division manager of Community Corrections is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-160201 entitled "Opening, Closing

and Transferring Probation and Parole Cases Under Supervision”
dated January 23, 2014

Deleted: Operations Memorandum No. OP-160201 Addendum-01 dated May
19, 2014

Distribution: Policy and Operations Manual
Department Website

<u>Referenced Forms</u>	<u>Title</u>	<u>Location</u>
DOC 060103A (M)	"Male Custody Assessment Scale"	OP-60103(M)
DOC 060103A (F)	"Female Custody Assessment Scale"	OP-060103(F)
DOC 060204A	"Facility Assessment Form"	OP-060204
DOC 060212E	"Record Transfer/Verification"	OP-060212
DOC 090211B	"Oklahoma Department of Corrections Request for Record"	OP-090211
DOC 160103B	"Travel Permit"	OP-160103
DOC 160301B	"Case Report"	OP-160301
<u>Attachments</u>	<u>Title</u>	<u>Location</u>
Attachment B	"Offender Accountability Plan-Delayed Sentencing Program for Young Adults"	OP-060210
Attachment C	"Consent for Release of Confidential Information"	OP-060210
Attachment D	"Rules and Conditions for GPS Surveillance Program"	OP-061001
Attachment K	"GPS Exit Form"	OP-061001
Attachment D	"Orientation to Supervision Verification of General Orientation" (English and Spanish)	OP-160103
Attachment A	"Personal History Sheet"	Attached
Attachment C	"Six-Part Closure"	Attached
Attachment D	"Case Card"	Attached
Attachment E	"Case Transfer Notice"	Attached
Attachment F	"Probation and Parole Termination Summary"	Attached
Attachment G	"Case Opening Audit"	Attached
Attachment H	"Statutory Termination Review for Continued Supervision on Suspended/Parole Cases"	Attached
Attachment I	"Notice of Termination of Active Probation"	Attached

Supervision”

Attachment J	“Inactive Parole Supervision Notice”	Attached
Attachment K	“Foreign-Born & Suspected Foreign-Born Report”	Attached
Attachment L	“Post Imprisonment Supervision Rules and Conditions”	Attached