

 <p><b>NEW YORK STATE</b> <b>Corrections and Community Supervision</b></p> <p><b>DIRECTIVE</b></p>	TITLE		NO. 4012
	<p><b>Requesting Case Folders- Returnees from Parole Supervision</b></p>		DATE 04/11/2018
SUPERSEDES DIR# 4012 Dtd. 10/09/2015	DISTRIBUTION A	PAGES PAGE 1 OF 2	DATE LAST REVISED
REFERENCES (Include but are not limited to) IRC Manual	APPROVING AUTHORITY  <i>Anne Marie M. Thack</i>		

- I. **PURPOSE:** To provide a method of obtaining Departmental records as soon as possible after the receipt of an individual ordered returned from parole supervision, of a person whose previous term has expired, or of a returned parole violator detainee.
- II. **PROCEDURE:** Reception Centers and Intake Facilities may be excluded from the following procedures where violators are transferred to another facility within 45 days following admission unless there is contraindication in a specific case.

The facility Inmate Records Coordinator (IRC) is responsible for the following:

A. Requesting Records - (Receiving Facility)

1. Upon admission of the inmate into a reception center, print the screens specified in the IRC Manual from the "Reception Classification" automated information system and distribute them to appropriate areas in accordance with IRC Manual instructions. If the inmate is a "Returned Parole Violator with No New Term" (RPV-NNT), create a working folder.
2. Immediately following admission of the inmate into a general confinement facility, request prior records from the releasing facility using [Form #4012A](#), "Request for Old Records," unless there is a LIC (Long Island City) Depository number or Central Depository number. If there is a LIC Central Depository number indicated (records stored in Long Island City) [Form #4012A](#) must be sent via email to the Queensboro IRC shared mailbox ([DOCCS.sm.Queensboro.IRC@doccs.ny.gov](mailto:DOCCS.sm.Queensboro.IRC@doccs.ny.gov)). If there is a Central Depository number, requests are to be sent via email to the Central Depository shared mailbox ([CentralDepository@doccs.ny.gov](mailto:CentralDepository@doccs.ny.gov)). If the inmate is released from a closure facility, and there is not a LIC or Central Depository number, contact the Office of Classification and Movement for the location of records.
3. Maintain duplicate [Form #4012A](#), "Request for Old Records," as a tickler for follow-up purposes. If the inmate is transferred prior to the receipt of the prior records, place the [Form #4012A](#) in front of the inmate's legal file.

B. Forwarding Records - (Releasing Facility)

1. Upon receipt of request for records, retrieve prior records and forward them to the requesting facility within 72 hours.
2. If the time limit cannot be met, advise the requester within 72 hours, stating the reason for the delay.

C. Alternate Information Source - (Receiving Facility): In those cases where the releasing facility advises that the requested records cannot be retrieved, forward a request via email to Central Files ([CentralFiles@doccs.ny.gov](mailto:CentralFiles@doccs.ny.gov)) for copies of documents including, but not limited to:

- Uniform Sentence and Commitment paper(s)
- Pre-Sentence Report(s)
- Latest Program and Security Assessment Summary (PSAS)\* to include disciplinary record

*\*Note: If a PSAS was last completed or produced subsequent to January, 1992 it can be obtained from the computer.*

D. Receipt of Records/Information

1. Upon receipt of prior records, purge the tickler and distribute files to the appropriate areas in accordance with IRC Manual instructions.
  - a. If the inmate is a RPV-NNT, combine the working folder into the legal file.
  - b. If the inmate is a Parole Violator with New Term (PVNT) (new DIN), records for the old DIN are to be maintained in a separate legal file from the new DIN.
2. If the prior records are unavailable, upon receipt of extract information from Central Files, add the Pre-Sentence Report(s) and Uniform Sentence and Commitment paper(s) to the working folder and distribute a copy to Guidance.

E. Maintaining Records - Parole Violator Detainees

1. File records and/or working folder in a separate file for reference purposes until revocation hearing/decision is reached.
2. Maintain the record and/or working folder in a current status by filing material relating to the detainee while he or she is awaiting a decision.
3. For those detainees who are ordered returned to Departmental custody, retrieve records and/or working folder and handle as any returned parole violator record.
4. For those detainees who are restored to parole supervision or released for other reasons, file the working folder with the inactive folder and return it to the last assigned facility.