



**Court Services and Offender Supervision Agency
for the District of Columbia**

Community Supervision Services

APPENDIX K

***CASE FILE STANDARDS COMMITTEE
RECOMMENDATION FOR CASE FILE ORGANIZATION***

COMMITTEE

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TAB #1 – OFFENDER IDENTIFIERS

This section of the CSS case management folder provides identifying information on the case and the offender. It provides documents and records of instructions given to the offender by Intake and provides the initial information to begin supervision. The CSO is able to capture a picture of the offender's identity.

- SMART Offender Profile Sheet
- Offender Processing Unit Intake Forms
- PSI Directional Information
- Offender Photo (driver's license, non-drivers license, CSS Photo Imagery, JACCS photo)
- Fingerprints
- Social Security Card
- Birth /Death Certificate Request
- Sex Offender Registration Form
- PSA Map
- INS Paperwork (VISA, green card, passport etc.)
- Parole Registration (UNUSC/MPD form)
- PSI File Checklist/Probation
- Violator Profile

TAB #2 – SOURCE DOCUMENTS

This section of the CSS case management folder allows the CSO to immediately determine the orders of the sentencing and releasing authority. A thorough record of the offender's criminal history and adjustment to Pre-Trial sentencing is displayed. This section provides information on the special conditions the CSO must monitor.

- Judgment & Commitment/Probation Orders/Revocations
- Criminal Record Checks (WALES, NCIC, CIS, CJIS, etc.)
- PSA Record
- Court Criminal History Records
- PD163/ Affidavit/ Grand Jury Indictment
- Computation Sheet/ Face Sheet (1&2)
- USPC Certificate of Parole
- USPC Notice of Action
- BOP Notice of Prisoner Release
- CPO/ TPO
- Orders from Other Jurisdictions
- Correspondence Related to Locating/ Obtaining Source Documents
- Interstate Investigations Packet (Incoming)
- Order to Show Cause
- Deferred Sentence Agreement (DSA)
- Compulsory School Case Orders

TAB #3 – CONTRACTS, AGREEMENTS AND CONSENT FORMS

This section of the CSS case management folder maintains the records of all contracts and agreements that the offender agrees to while under community supervision. This section allows the CSO to have verification of the offender notification of the supervision requirements, and requests for information.

- Performance Contracts
- Accountability Contracts
- Day Reporting Center Contract (DRC)
- DVIP Contract
- Community Service Agreement
- Educational/ Vocational Agreements
- Global Positioning (GPS) Agreement
- Electronic Monitoring Agreement
- TIPS Sanctions Contract
- VOTEE Contract
- Consent for Release Forms
- Consent for Release of Sensitive Offender Information (HIV/ AIDS and Tuberculosis Treatment)
- Authorization for Release of Information and Waiver- (General Third Party Disclosure)
- Authorization for Release of Information and Waiver- (Community Justice Partnerships)
- Consent for Released Information- Employer
- Forensic Evaluation Request- St. Elizabeth

TAB #4 – ASSESSMENTS, EVALUATIONS, INVESTIGATIONS & REFERRALS

This section of the CSS case management folder contains all of the assessment, evaluations, and referrals made by CSOSA staff. The forms and documents may cover a range of programs such as mental health, sex offender and domestic violence. The exception is substance abuse documents. All substance abuse related information will be maintained in Tab#5.

- Pre-Sentence Investigation (PSI)
- Immigration & Naturalization Services Investigations
- Other Investigations (i.e. Youth Study)
- PSI Memo & Record Check
- Post Sentence Investigation
- DVIP Batterer's Counseling Referral
- DVIP Intake Form
- FVIP Counseling Referral Form
- TIPS – Parolee Session Evaluation Summary Forms
- TIPS – Facilitator Session Evaluation Form
- TIPS – Assessment Appointment Notice
- SMART CSOSA Screener/ Case Plan
- FBI Assessments
- Medical Documents
- DRC Referrals
- VOTEE Referrals
- Request for Psychological Evaluation – Mental Health
- Social History Forms
- DNA Referral Forms
- Consent for Release of Sensitive Offender-Information-Mental Health & Sex Offender
- Sex Offender Treatment Request
- Vermont Sex Offender Assessment of Risk
- Sex Offender Polygraph Referral Form
- Consent for Release of Confidential Information – Polygraph Examination
- Home and Employment Investigation
- Reply to Investigation (Interstate)
- Interstate Investigation Packet (Out-going)

TAB #5 – SUBSTANCE ABUSE RELATED DOCUMENTATION

The documents in this section represent all information related to Substance abuse; the referral forms used to refer offenders for drug testing, the computer generated results, progress reports, discharge plans, etc..

- SMART Referral to Drug & Alcohol Treatment (Intake)
- PRISM Drug Results Printout
- Referral & Treatment results from outside Jurisdictions
- Referral Packet (CIT)
- Self Help Referral Packet and Attendance Records
- Star/HIDTA Contract
- SATB Sanctions Contract
- Progress reports for Substance Treatment Programs
- Treatment Discharge Summary
- Consent for Release of Sensitive Information – Substance Abuse Treatment
- Consent for the Use of Confidential Information – Drug Testing/Treatment Records
- Authorization for Release of Information & Third Party Disclosure for Alcohol & Drug Treatment
- Addiction Severity Index (ASI) Evaluation
- Modified Michigan Alcohol Screening TEST (MMAST)
- TAP Alcohol Post Sentence Report
- Self Help Group Referral Form
- Treatment Staffing Appointment
- Treatment Referral HIDTA
- The CAGE Questionnaire

TAB #6 – SUPERVISION RECORDS

The documents in this section verify the offenders housing, employment, education, reporting status, rearrests, and correspondence that has occurred regarding the case. This information is often needed during violation hearings. The historical report, which contains the running record, and the SMART Alleged Violation Reports (AVRs) are also maintained in this section for the purpose of violation hearings only.

- Lease and other residence information
- Reporting Forms
- Pay Check Stubs
- Field Notice of Appointment Form
- General Appointment Notice
- Correspondences (Internal and External)
- Education Certificates (GED, Diplomas, Degrees)
- Supervision Status Reports
- Requests for Progress Reports
- Rearrest Documents/ Notifications
- Alleged Violation Reports (AVRs)
- SMART Historical Report for Violation Hearings
- Interstate Progress Reports
- Interstate Case Closure Notice