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A Proposal for Improvements to ICON/IPAROLE.

Electronic Parole and Revocation System (EPRS),

This proposal is for enhancements to the ICON and IPAROLE data systems used by Iowa Corrections and Iowa Board of Parole to improve the efficiency of releasing inmates from prison once the Board of Parole (BOP) approves a work release or parole. This will be accomplished by allowing BOP to issue Electronic Orders with secure signatures, electronically storing and retrieving necessary documents. The revocation part of the plan would allow parole officers (POs) to make Preliminary Parole Violation Information (PPVI) electronically with the Iowa District Court and with BOP. Parole Revocation Orders would be issued electronically and certificates of service entered electrically. The goal is to both reduce the time waiting for paperwork to pass through the system so that prisoners can be moved out of prison faster and improve the efficiency by reducing duplicate data entry. Documents received by BOP would be received electronically or scanned if received on paper, filed and retrieved electronically.

COST SAVINGS POTENTIAL:

This proposal has the potential to generate significant on-going savings to the State of Iowa by speeding up the release of inmates approved for parole. Preliminary figures from CJJP indicate the BOP authorized release 2,849 prisoners who went to parole with supervision in Iowa during FY03. During the same period, 201 were discharged early by the BOP. If the average time from release authorization to the date the parolee walks out of prison can be reduced by 6 days through this program, we could empty the equivalent of more than 50 Iowa prison beds. With the current cost of one prison bed at \$60.41 per day, the total savings would be in excess of **One million dollars ANNUALLY.**

Additional savings may be achieved with the electronic routing and storage of documents. Staff time spent copying and delivering documents can be greatly reduced. The time spent

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physically filing documents in an inmate's file would mostly be eliminated. The need to buy more file cabinets would be eliminated. The cost of off-site storage would be eliminated.

To promote an orderly development, the project is broken into three phases:

Phase I - Parole Decisions issued electronically, parole agreement, parole docket improvements, work flow and electronic storage.

Phase II – Parole Revocation Application and Hearing, integration with ICON, electronic Orders issued and electronic storage.

Phase III – Electronic file with the Iowa Court the Preliminary Parole Violation Information and receiving electronic copies of Court documents.

AGENCIES INVOLVED:

In order to fully implement this proposal the following agencies would be involved:

- A. Iowa Board of Parole
- B. Iowa Department of Corrections.
- C. Iowa Court System.
- D. All Judicial District Departments of Correction.

COMPONENTS OF PROPOSAL:

A. DISTRIBUTION OF PAROLE DECISION.

1. An inmate granted a parole is normally selected for interview at least 3 weeks before the interview. The decision to interview indicates a good chance of receiving a release. The decision to interview will be released by BOP on an institution basis after the interview rejections are posted, normally 3 weeks before the interview date. The interview list will be released electronically through ICON so that both the sending institutions and the receiving CBCs can access the list of interview candidates. This information will then allow CBCs to check the parole plan in advance of the BOP interview. BOP would send a simple email to all institutions and CBCs advising that a new interview list had been posted to ICON.

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2. When an inmate is denied release at screening, at interview or following, an electronic order rejecting release would be generated by IPAROLE upon entry of the decision code and electronically forwarded to the counselor/treatment director/institution which would print a copy and deliver to the inmate.
 3. When a parole is approved, the BOP order for parole shall be issued electronically with a secure electronic signature and shall be posted to ICON in a read/print only format and thereby made available to the DOC facility holding the client. The document would also be available to Parole Officers (PO) and Community Based Corrections (CBC) through ICON.
 4. Copies of Work Release decisions would be handled in the same manner.
 5. The Board of Parole will print and mail a letter to all registered victims advising them of the release decision. (No change from present system.) The system would be able to also send BOP victims the letter by email or fax.
 6. The BOP order would be read only on ICON and IPAROLE Docket. In IPAROLE, the document could be obtained by clicking on a drop down menu while viewing that client's docket.
 7. Because of the sensitive nature of parole and work release orders, they will require a secure means of authentication to guarantee security of the system.
 8. The system must also allow for the printing and traditional ink signing of orders as a means of backup. These orders would print the bar codes to identify the inmate, document type and date and time printed to facilitate later scanning and indexing.

B. PAROLE AGREEMENT.

1. Currently the parole agreement is printed at the BOP office and mailed to the institution where it is received in the mail room and routed to the appropriate person for processing. Before the inmate leaves the institution both the inmate and warden (or designee) sign the agreement. When the parolee meets with the parole officer (PO) in the receiving community after release, the agreement is reviewed and the PO may add additional conditions and the revised parole agreement is signed by the parolee and the PO (3 copies). The parole agreement and the form of all special conditions are now and will continue to be controlled by BOP.
2. Under this proposal, the language of the parole agreement, the general conditions and special conditions would continue to be set by the BOP. All components of

the Parole Agreement would be stored in IPAROLE and be read only in ICON with some exceptions.

3. When a release is approved, the IPAROLE system would choose the appropriate Parole or Work Release Agreement form for the client and add the BOP required special parole or WR conditions. This would immediately be available for viewing and printing in the ICON system. The assigned Parole Officer (PO) could then add more conditions to the parole agreement from the BOP list of conditions. The PO could also electronically fill in the blanks on the special conditions and print the agreement.
4. Printing and signing the agreement. Ideally the warden's designee or the PO and the client could "electronically sign" the document and save it to a location available to ICON and IPAROLE as a part of the client's file. At this time no procedure is available to obtain the parolee's signature electronically. In the absence of the ability for the parolee to sign electronically, the PO would print out the agreement sign it and have the client sign it. The document would print with a bar code on the first page to identify the client, the form number and the date/time the agreement was printed. This process would first be followed at the prison when the parole agreement was signed by the parolee and the warden and later at the PO office in the field.
5. Preserving the agreement. The PO would either scan in the signed document or fax the signed agreement to the ICON/IPAROLE computer would receive the image and index it based on the barcode. An "In Box" would be created within ICON to "hold" the image until it was indexed by the PO. Indexing would involve the PO checking in ICON to see that all pages were readable, that the automatic indexing worked properly and entering the date when the parole was signed by the client.
6. Amendments to Parole Agreement. Amendments to a parole agreement would be generated in a similar way, be electronically signed and preserved or printed, signed and faxed and preserved. When a new agreement is signed the system would display in an obvious way the existence of later agreements.
7. Removing Conditions. Conditions added by the PO and not required by BOP could be removed by the PO or their supervisor without BOP approval or by the BOP Chair or designee. PO presently has the authority to remove intense parole supervision (IPS) designation without BOP approval and this would not change. No other conditions on a parole may be removed except by the BOP Chair or the Chair's designee.

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8. All changes in a Parole Agreement will be date/time stamped and a record maintained of who made the changes and when the document was printed.

C. PAROLE VIOLATIONS – Filing with the Court.

1. Individual parole violations are now entered in ICON by parole officers as they occur. This information is now created in ICON. When a Preliminary Parole Violation Information (PPVI) is presented by the PO, Violation Reports which support the PPVI are printed and attached to the PPVI and filed with the Court.
2. Under this proposal the PO would be able to electronically attach the Violation Report to the PPVI and file both electronically with the Court. At the same time the PO completes the PPVI this action would automatically populate the IPAROLE Parole Revocation database with the new case information.

D. PAROLE VIOLATION INFORMATION.

1. Under this proposal the Preliminary Parole Violation Information (PPVI) will be filled out on line by the PO using the ICON interface which will populate the IPAROLE data base when submitted. The form of the violation report will be established by BOP.
2. The PPVI is filed with the Court and if probable cause is found that a parole violation has occurred, a Judge or Magistrate will issue an arrest warrant. Under the present system the PO electronically sends unsigned copies of the PPVI and Violation Report in Word format attached to an email to the BOP where they are printed and used at hearing then filed in the inmate paper file.
3. Under the proposed system the PPVI and Violation Report would be immediately available for viewing, printing and storage in the IPAROLE system. When the Court is ready to receive documents electronically the PO could electronically file with the Court. The Court Order finding probable cause and the warrant would be issued electronically (when the court has that capability) and received by IPAROLE or ICON for viewing and printing and it would be automatically indexed to the proper revocation application file in IPAROLE.
4. Until the court has that capability, the documents would need to be printed by the PO in ICON with bar codes to identify the ICON #, Document and Date, and then filed with the Court. After approved by the Court the PPVI, Violation Report and Warrant would be scanned or faxed into the IPAROLE system and indexed.

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5. Once submitted to the Court, the parole violation report will become part of IPAROLE and will be read only in ICON. Amendments and supplemental reports will be allowed and filed in the same manner.
 6. A client may have more than one active Parole Violation Report.
 7. Multiple Supplemental Violation Reports may be submitted by the PO or the PO's supervisor in support of one or more PPVI.
 8. A report generated in IPAROLE will show a list of all PPVIs for which no hearing date has been set. The BOP hearing clerk will be able to click on one of the records, bring up the hearing input screen, review the documents in the file and enter case assignment information to generate a notice of hearing.
 9. Notice of Hearing must be served on the parolee at least seven days before the hearing. The IPAROLE system would generate a notice when the case is assigned for hearing. The Notice would be available to be printed in ICON and the PO would normally personally serve the parolee by giving him or her a copy of the Notice and the PPVI. The PO would then complete and electronically sign a "Certificate of Service" within ICON which would be saved as an image in IPAROLE and populate the IPAROLE database showing when the parolee was served and what papers were served and by whom served .
 10. In Automatic Revocation cases (where client is sentenced to prison for two or more years on a new crime) the PO will electronically send or fax a copy of the county attorney's information and the Commitment Order to BOP to be captured in the image system and indexed to the inmate ICON number. This image will be available in both ICON and IPAROLE. Iowa Code sections 908.10 and .10A requires the parolee receive a copy of this order along with notice parole has been revoked. A "Certificate of Service" similar to regular cases would be used.
 11. The "official" PPVI will reside in the computer, although a copy may be printed from ICON or IPAROLE.

E. VOLUNTARY TERMINATION AGREEMENTS.

1. BOP shall establish a form accessible through ICON to parole officers and their supervisors to be used for voluntary termination of parole. When submitted by the PO the form will populate the Parole Revocation database at IPAROLE and the PO can print off the Voluntary Termination of Parole Agreement, which will have a bar code with the clients ICON number, date printed and form number.

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2. The signed Voluntary Termination Agreement will be scanned and transmitted or faxed to the BOP where it will be indexed and attached to the client file and the database marked to reflect the receipt of the signed document.
 3. The signed Voluntary Termination Agreement image will be available for viewing and printing in ICON and IPAROLE. The ALJ will issue an electronic order approving the Voluntary Termination Agreement and revoking the parole or work release. The PO will serve a copy Order revoking the parole or work release on the parolee and complete the "Certificate of Service."

F. PAROLE REVOCATION DECISION.

1. The Administrative Law Judge (ALJ) deciding parole revocation cases will enter the decision on the IPAROLE system which will affix an electronic signature. Because the ALJs sometimes travel and make decisions outside the BOP office they will each need to use a laptop computer in locations with access to the ICN computer network.
2. The ALJ's decision will be captured in the BOP database and the ALJ will have the option to email to multiple locations from within the application, fax to multiple locations from within the application and/or print the decision locally or remotely.
3. Decisions can be created from within IPAROLE and they will be read and print only from within both IPAROLE and ICON once submitted. When viewing a decision which has been served more than 10 days prior to the time of viewing the document would contain the statement "Final Decision." If an appeal is filed and not decided when one views or prints the decision the statement "Appeal Filed" followed by the date of the appeal will also show. When the appeal has been decided the decision and date will also show when the decision is viewed or printed.
4. The PO will print a copy of the decision and serve it on the client. The PO will then complete a "Certificate of Service" in ICON and it will populate the IPAROLE database with service information.

G. ELECTRONIC STORAGE of Signed Parole Agreements.

1. Signed Parole Agreement, Voluntary Termination of Parole Agreement and all other documents relating to a parole revocation application may be received at a specific fax telephone number or scanned by the PO and received and stored in the IPAROLE/ICON computer databases.

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2. Parole Agreements should be indexed in ICON by the PO right after the signed document is converted into an electronic image. The PO would need to be sure the document is complete and readable and the indexing would be to the correct ICON #, document type and date signed.
 3. The signed parole agreement, and all signed amendments, may be viewed or printed in either ICON or IPAROLE.

H. BOP Work Flow and Electronic Files.

1. Documents received on paper may be scanned and documents received by fax or email may be received by the IPAROLE computer system and electronically stored.
2. Each document received in IPAROLE will be captured in an "In Basket" which will be cued up for the correspondence clerk to index the document using the IPAROLE correspondence form. The index will be to ICON #, document description and date signed.
3. Documents may be electronically routed to multiple BOP board and staff members by staff member who indexes the document. A priority may be assigned to each document.
4. A work-flow system would have an "In Box" for every BOP employee which would hold the list of unread documents and tasks to be preformed.
5. Multiple "Post-it" notes, with author initials and datestamp, can be attached to each document or to the file.
6. When any image is stored in the electronic storage area, the document can be viewed by clicking on the summary of that document when displayed in IPAROLE on the BOP "Docket."
7. Multi-page documents should be stored as a single document which the operator can scroll through page by page. The capability to "electronically staple" multiple pages into a single document must be included in the software.
8. Closed files could be scanned as time permits for long-term storage. This would save time for filing clerks and save the cost of purchasing additional file storage space.
9. The electronic file storage system would allow the images in a closed files to be moved to off-line storage.

I. IPAROLE DOCKETS.

1. The BOP dockets may need to be modified to show the existence of images which can be view when summary is clicked.
2. Upgrade the display of LSI scores from ICON.
3. Add co-defendant (fall partners) table to connect parties to same crime.
4. Add a field for Board members to make confidential notes on file.

J. NEW TABLES REQUIRED. This proposal may require the creation of numerous new data tables in both ICON and IPAROLE and the reworking of some existing tables.

K. BOP STAFF REQUIREMENTS. It will be necessary for BOP to temporarily hire an additional 1 FTE staff person to free current staff members to plan, coordinate with the ICON team and the developer, test and implement this proposal.

L. ADDITIONAL HARDWARE REQUIREMENTS. This proposal will require additional hardware:

1. Laptop computers for each Administrative Law Judge.
2. Laptop computers for the Chair, Vice-chair and Executive director for use in accessing information from remote locations.
3. Scanners for the BOP.
4. Large monitors (21") for use with scanner for BOP.
5. Additional electronic storage space for ICON and IPAROLE.
6. High volume shredder.

M. ICON DEVELOPMENT TEAM. The ICON development team will be significantly involved in modifying ICON to accommodate the changes proposed in this plan.

N. COST. The estimated cost of this proposal is:

1. Software development \$
2. Software testing \$

3. Software implementation	\$
4. Hardware	\$
5. Additional BOP staff during development	\$
6. TOTAL COST	\$

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