



INTERNAL MANAGEMENT POLICY & PROCEDURE

Department of Corrections


Applicability: Adult Operation Only JUVENILE Operations Only DEPARTMENT-WIDE

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PAGE #: 1 of 8

INFORMATION TECHNOLOGY AND RECORDS: Establishment, Maintenance, Disposition, and Audit of Resident and Offender Records

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Approved By: , Secretary Next Scheduled Review: 02/2025

POLICY

Records, containing all information regarding a resident's commitment, incarceration, and an offender's post-release supervision history, shall be established and maintained for each resident/offender committed into the custody of the Department. Records and files shall be established and maintained for in absentia and interstate compact cases. The automated Management Information System official records, the imaged records, and the case management master files shall be developed and maintained in an accurate, uniform and timely manner.

An annual audit of resident/offender files shall be conducted by designated staff to ensure current and accurate maintenance of documentation related to residents/offenders as required by this IMPP.

DEFINITIONS

Active resident/offender records: Facility records for residents who are currently incarcerated and records for offenders who are under post-incarceration supervision.

Admission: Any resident or post-incarceration supervision conditions violator received at a KDOC facility from another jurisdiction. Offenders being returned to custody in pre-revocation status are considered admissions.

Commitment name: The name shown on the journal entry/judgment form. In the event of multiple journal entry/judgment forms, the name shown on the journal entry/judgment form establishing the primary sentence shall be used.

Discharged resident/offender records: Facility and parole records retained for those persons who are no longer under the jurisdiction of the Secretary of Corrections.

Electronic Medical Records System (EMR): Computerized system for medical, dental and behavioral health information pertaining to the inmate.

Facility Records Office: The records storage area for the facility.

Hard copy file: A file comprised of written and/or typed documents.

Imaged record/file: Records and/or entire files which have been placed within a storage area of a computer through the use of digital photographic imaging technology.

Inactive resident/offender records: Facility generated resident records that become inactive upon a resident's release under post-incarceration supervision and records maintained during post-incarceration supervision that become inactive as a result of return to incarceration from supervision.

Jam & Cram Imaging Method: The procedure used to add the seldom referenced files for discharged offenders to the imaging system in a more efficient manner. This method involves scanning all documents in a TAB (in the case of the Central File), or all documents in a folder as one document. These documents are then indexed to a separate TAB in the imaging system to indicate records for a discharged offender.

Central file: The primary resident file, portions of which may be computerized and/or maintained in the Offender Management Information System (OMIS) or on the document imaging system.

Offender: A person under post-incarceration supervision with the Secretary of Corrections.

Parole Records Office: The records storage area for parole services.

Penitentiary package: Information sent by records staff in response to requests for resident commitment papers, thereby providing guidance to the requestor on how to contact the court of commitment directly for such documentation. This packet includes copies of the following: Fingerprints, photograph, name, and address of the county of commitment, and case numbers.

Records: Information concerning the resident/offender's criminal, personal, and medical history and behavior and activities while in custody, including, but not limited to commitment papers, court orders, detainers, personal property documents, visitors lists, photographs, fingerprints, custody level, disciplinary infractions and actions/decisions taken, grievance reports, work assignments, program participation, and miscellaneous correspondence. This information may be computerized and contained in the Offender Management Information System (OMIS), or hard copies of documents contained in various files within a facility and/or parole office.

Records Administrator: The central office position directly responsible for the overall administration and management of the Central Office Records Section.

Resident: A person who is in the legal custody of the Secretary of Corrections housed in a correctional facility.

True Name: The commitment name of a resident/offender unless a birth certificate or other legal document is on file that confirms a different given legal name.

PROCEDURES

I. Establishing Resident Central Files

- A. The central file shall be established by the admitting facility for direct court commitments, in absentia, interstate corrections compact cases, and juvenile felons.
 1. Records staff shall ensure that a typewritten white label be affixed to the file, which shall contain the resident's last name (in caps), first name, and KDOC number (or assigned KS # for compacts).
 - a. EXAMPLE: DOE, John #56402
- B. The resident's commitment name shall be established as the name shown on the journal entry/judgment form.
 1. If multiple journal entry/judgment forms are received, the name shown on the first journal entry received shall be used.
 - a. If multiple forms are first received, the name shown on the journal entry/judgment containing the longest sentence shall be used. If sentence lengths are equal, a name shall be chosen at random from those used on the first received documents.
 - b. In such cases as condition violators with a new sentence and probation violators with a new sentence, the resident's facility record shall be activated under the name shown on the journal entry on the new sentence.

- (1) The name under which the resident was previously released shall be shown as the alias or true name.
2. Records created in Athena shall use the resident's true name.
 - a. If the commitment name differs from the true name, the commitment name shall be listed as an alias in Athena.
- C. Court documents containing erroneous information shall be brought to the attention of the sentencing jurisdiction for correction.
- D. A KDOC number shall be assigned under the following conditions:
 1. When a resident, with no previous admission, is admitted to the custody/jurisdiction of the Secretary of Corrections;
 2. Upon receipt of court documents indicating that a resident with no previous admission has been sentenced to the custody of the Secretary of Corrections;
 3. Upon notification that an offender with no previous admission has been placed within a community corrections program; or,
 4. Upon receipt of a resident/offender via correctional compact/probation or parole compact.
 5. If a resident/offender has previously been assigned a KDOC number, the same number shall be reassigned during the new period of incarceration or supervision.
 - a. The existence of a previously assigned number shall be verified through the Offender Management Information System.
- E. An official record shall be established in the Offender Management Information System (OMIS), coded according to instructions provided in the OMIS manual, for all residents and offenders and persons assigned a KDOC number as indicated above.
 1. No other records or files shall be established for persons identified in Section I.D.3 above, until such time that the person is admitted into the custody/jurisdiction of the Secretary of Corrections.
- F. All facility generated files shall accompany the resident through any transfers within the KDOC.
 1. If a facility is unable to locate the master file within thirty (30) days of the resident's re-admission or the inter-facility transfer of a resident, the facility housing the resident shall utilize the document imaging system to produce the following documents for creation of a new master file:
 - a. Journal entries of judgment for prior incarceration(s);
 - b. Complaint/information for prior incarceration(s);
 - c. Most recent post-incarceration release certificate;
 - d. Program classifications for prior incarceration(s);
 - e. Inmate Data Summary for prior incarceration(s);
 - f. CHRI;
 - g. Central monitoring forms;
 - h. Any sentencing guidelines reports; and,

- i. County/District Attorney's report to the Secretary/Affidavit.

II. Maintenance of Resident Records

- A. Resident records shall be maintained by attention to the entry/filing of information and documents related to the resident/offender in an accurate, uniform, and timely manner.
 1. Sentence information shall be computed and recorded in conformance with applicable statutes and regulations.
- B. All resident files shall be maintained in a locked file cabinet and/or a lockable area, which is inaccessible to resident/offenders.
- C. The staff member(s) responsible for the maintenance of resident records shall establish procedures for the safe storage and use of such records.
 1. Access to records and information contained in the resident records shall be in accordance with provisions of IMPP 05-101D.
 2. Electronic or imaged records shall be maintained on a password-protected system.
- D. All electronic records shall be password protected as established by other guidelines and procedures.

III. Establishing Post Release Supervision Files

- A. Upon notification that a Kansas or interstate compact offender is being released/accepted to supervision, the supervising officer shall establish a post release supervision file.
- B. The post release supervision file shall be a 9"x12" three-part folder.
 1. All documents and correspondence shall be punched at the top edge and are to be placed in the appropriate section in reverse chronological order. All legal size documents shall be punched at the top edge with the lower edge folded forward to conform to an 8"x11" document.
 2. Supervising staff shall ensure that a typewritten white label be affixed to the folder, which shall contain the following information:
 - a. The first line shall be formatted as:
 - (1) Last name (in caps), first name; and,
 - (2) Number (or assigned KS # for compacts).

EXAMPLE: DOE, John #56402

IV. Disposition of Records

- A. Within fourteen days of a resident's release, all documents shall be placed in appropriate files, then sent to the facility record's office.
- B. Each facility shall retain the resident's central files in their record's repository for one year after the resident's discharge date, at which time the central file is imaged and purged.
- C. Except as provided below, when a resident is returned to a KDOC facility for any reason, all facility files shall be forwarded to the admitting facility within five (5) working days.

1. When the offender is returned to a KDOC facility for revocation or the offender absconds or dies, the post release supervision file shall be handled in the following manner:
 - a. All pertinent information shall be placed in the appropriate section and all chronological information shall be updated and completed.
 - b. The last entry in the chronological information shall have the designated date and "CASE FILE CLOSED", along with the significant reason why: absconded, deceased, revocation, etc.
 - c. All information in the divided file folder shall be transferred to a manila file folder, which shall be prepared for storage.
 2. Files held by parole field staff on offenders who have violated the conditions of their parole or post-release supervision for reasons other than conviction and sentencing to prison on new felony charge(s) shall be maintained in storage at the parole office.
 3. Parole case files for offenders whose sentence has expired/discharged, or who have been convicted of a new felony offense which results in sentencing to prison for a term greater than two years, shall be closed using the following the procedures;
 - a. The assigned PO shall ensure all electronic information is current, including a contact note that indicates that the file is being closed and why.
 - b. The Parole Supervisor or designee shall provide the case file to the regional designee so it can be imaged and closed.
 - c. The regional designee shall scan documents into imaged records system, following the protocol and documents list provided by the Parole Operations Manager.
 - (1) Each Parole Director shall identify at least one designee per region who is responsible for imaging offender records and closing files.
 - d. After the designated documents have been scanned into the imaged records system, the hard copies shall be shredded and discarded.
 4. Enforcement, Apprehension, and Investigation (EAI) files shall be removed from storage by the KDOC Director of Enforcement, Apprehension, and Investigations, and forwarded to the EAI unit of the facility receiving/housing the resident.
- D. When a resident is transported from one KDOC facility to another, all records shall be processed as per the provisions of IMPP 12-110A and 12-110J.
- E. When an offender's supervision is being transferred to another parole office, the transferring parole officer shall be responsible for ensuring the file is updated, completed, and transferred to the receiving officer within five working days of the offender's departure.
1. Parole supervisors shall have discretion in deciding the most efficient and secure method for transfer of the post release supervision file to its receiving region.

V. Requesting Records from Storage

- A. Records shall only be requested for exceptional reasons (e.g., for the preparation of a penitentiary package; to provide genealogical information; in response to a request from a facility; in the event of legal action; etc.).
- B. Any request for such stored records shall be made through Central Office Records.

VI. Audit Requirements

- A. Audit teams shall be comprised of facility records specialists, classification administrators or designees, and/or Central Office personnel as designated by the Deputy Secretary of Facility Management, or the Deputy Secretary of Juvenile and Adult Community-Based Services and the Chief Information Officer.
- B. Records audits shall be scheduled, at a minimum, on an annual basis. If the findings of the audit team indicate a need for more frequent or follow-up audits such audits shall be conducted with the authorization of the Deputy Secretary of Facility Management, or the Deputy Secretary of Juvenile and Adult Community-Based Services and the Chief Information Officer.
- C. Audits of resident/offender record/file contents, filing accuracy, currency, and security of the files shall be conducted annually and a written report of the findings submitted as follows:
 - 1. Facility audits to the warden/superintendent and the Deputy Secretary of Facility Management/Juvenile Services; or,
 - 2. Parole office audits to the regional parole director and the Deputy Secretary of Juvenile and Adult Community-Based Services.
- D. Prior to the filing of the audit team's written report a member of the audit team shall meet with the appropriate facility records office staff, or parole designee, to discuss the findings of the audit team and to provide an opportunity to initiate corrective action, as necessary.
 - 1. If corrections are required or recommended in the audit team's report a written response which outlines a plan of corrective action, as deemed necessary, shall be submitted as follows:
 - a. The warden responds to the Deputy Secretary of Facility Management; and,
 - b. The parole director responds to the Deputy Secretary of Juvenile and Adult Community-Based Services.

VII. Procedure for the Imaging of Files

- A. All documents, as outlined in IMPP 05-104D, that pertain to residents/offenders supervised by the Department of Corrections shall be imaged.
 - 1. The priority of the facility Records Departments and parole imaging designees shall be to scan all new documents brought for filing; followed by files already on the shelf for active individuals.
 - 2. Next priority shall be all documents found in the discharged resident/offender files that were previously not imaged, using the Jam & Cram Imaging Method.
- B. The Records Administrator shall establish the profiles for KDOC employees to enter documents into the imaging system.
- C. KDOC employees who require access to the imaged documents shall coordinate with the Department of Corrections Information Technology staff for installation of software to review, retrieve and print imaged documents.
- D. The following procedures shall be followed to ensure high quality images, quick document imaging, and ease of processing documents:
 - 1. Partial pages or sheets of a sub-standard size that will cause problems in the scanning process must be taped or pasted to standard size paper.
 - 2. Documents that have faint printing must be reproduced to a higher level of contrast to prevent the imaging of pages too light to be captured by the scanning machine.

3. Dark or colored paper shall be avoided, as the lack of contrast between the printed characters and the colored paper renders them indecipherable to the scanning machine.
 4. Documents that are submitted for imaging must be free of staples, paper clips or other binding material.
 5. Small memoranda or notes must be either taped to the standard size document in a position that does not block important passages of the document, or must be imaged per the process described under procedure VII. D. 1. above.
 - a. Illegible handwritten notes shall be avoided, as they will be undecipherable as an imaged document.
- E. The following Quality Assurance procedure shall be followed by facilities on a daily basis shall ensure the accuracy and consistency of the documents being added to the imaging system. Once the daily production of the scan station has been verified with this process, the hard copy of the documents may be disposed of by either shredding the documents or by being sent to the pulp mill in Hutchinson.
1. Upon completion of indexing, the hard copy of imaged documents will be placed in a box for disposal.
 2. On the morning of the following work day, the Scan Station Supervisor will collect a random sample (5 documents) from the box of scanned documents and verify them in the imaging system.
 3. Upon verification of the random sample in the imaging system, the box of scanned documents may be disposed of.
 4. If there are problems with the verification of the random sample, such as incorrectly indexed documents, documents with missing pages, or poor quality scans, the documents in question will be returned to the scan station operator for correction.
 - a. An additional random sample (10 documents) will be collected from the box of scanned documents and verified by the Scan Station Supervisor.
 - b. If there are additional issues with any documents in the second random sample, then the entire day's production must be verified before the documents may be disposed of.

NOTE: The policy and procedures set forth herein are intended to establish directives and guidelines for staff, residents, and offenders and those entities that are contractually bound to adhere to them. They are not intended to establish State created liberty interests for employees, residents, or offenders, or an independent duty owed by the Department of Corrections to employees, residents, offenders, or third parties. Similarly, those references to the standards of various accrediting entities as may be contained within this document are included solely to manifest the commonality of purpose and direction as shared by the content of the document and the content of the referenced standards. Any such references within this document neither imply accredited status by a Departmental facility or organizational unit, nor indicate compliance with the standards so cited. The policy and procedures contained within this document are intended to be compliant with all applicable statutes and/or regulatory requirements of the Federal Government and the state of Kansas. This policy and procedure is not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

<u>Name/Type of Report</u>	<u>By Whom/To Whom</u>	<u>Due</u>
Facility Audit Findings of Facility Management	Audit Team to Deputy Secretary	Annually

Post Release Supervision File
Audit Findings

Audit Team to Deputy Secretary Annually
of Juvenile and Adult Community-Based Services

REFERENCES

IMPP 05-101D, 05-104D, 12-110A, 12-110J

HISTORY

07-01-22 Original

ATTACHMENTS

None.