



INTERNAL MANAGEMENT POLICY & PROCEDURE


Applicability: ADULT Operations Only JUVENILE Operations Only DEPARTMENT-WIDE

IMPP #: 05-104D

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INFORMATION TECHNOLOGY AND RECORDS: Organization of Offender and Resident Files

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Approved By: , Secretary Next Scheduled Review: 09/2024

POLICY

Each resident sentenced to the custody of the Secretary of Corrections is to have a Master file established and maintained. A parole file is to be established and maintained for each resident released to parole or post-release. The data contained in the automated Management Information System is the official departmental record for each resident/offender sentenced to the custody of the Secretary of Corrections. These files are to be organized in a uniform manner and are to contain only that material specified for each file type.

DEFINITIONS

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 is to be used.

Master file: The primary resident file maintained in the document imaging system.

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

Parole file: The case record regarding the supervision history, decisions, and events related to an offender's post-incarceration or interstate compact probation/parole supervision.

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

Skeleton Master File: A hard copy file comprised of written and/or typed documents pertaining to a resident, that have been retained for quick and easy access in the event of an emergency when the imaged resident file may not be available.

PROCEDURES

I. ADULT: Master File

A. Origination of Master File

1. The records officer at the receiving facility's reception and diagnostic Unit shall be responsible for originating and developing a master file when the resident is admitted for the first time into KDOC custody, per IMPP 05-103.
 - a. A complete file folder, containing all appropriate index dividers, shall be developed

by the receiving facility in accordance with this procedure. This folder shall be 8 ½"x11".

B. Organization of Skeleton Master Files

1. Each resident master file shall contain index divider cards that indicate the right (R) or left (L) side of the folder.
 - a. This IMPP shall designate which materials shall be placed on the right (R) or left (L) side of the file folder.
 - b. Existing instructions contained on the index divider cards shall be ignored and materials shall be filed in accordance with the provisions of this IMPP.
 - (1) Once a master file's material is re-distributed per this IMPP, the index card instructions should be crossed out.
2. The records officer of the facility having custody and maintenance responsibility for the master file shall ensure that all written material and documents are filed in the appropriate section and sequence.
3. All reports and documents shall be filed in reverse chronological order, the oldest dated at the bottom of the section and the newest on top.
4. The skeleton master file is to include the following documents within the stated tabs as follows:
 - a. Admission Data Sheet (Face Sheet) in tab L-0.
 - b. Emergency Notification and Deceased Resident Body Form in tab L-0.
 - c. Escape Flyer in tab L-0.
 - d. Court Documents in L-1.
 - e. Identification Documents in L-7.
 - f. Fingerprint Card in L-7.
 - g. Resident Photo (mug shot) in L-7.
 - h. CHRI Dissemination Log in R-0.
 - i. Pre-Sentence Investigation in R-1.

C. Organization of Imaged Master Files

1. All imaged documents shall be filed in TABs corresponding to the sections of the hard copy Master file (e.g., L-0 to L-8 and R-0 to R-8)

D. Left File Folder Index

1. Section L-0, the top item on the left side of the file folder shall be the Admissions Data Sheet.
 - a. Immediately behind the data sheet shall be all emergency notification documents.
 - b. Immediately behind the notification documents shall be the escape flyer sheet.

- c. Immediately behind the escape flyer sheet shall be the following materials related to Sentencing Guidelines:
 - (1) Sentencing Guideline Requests for KBI, or FBI rap sheets, or other related material;
 - (2) Sentencing Guideline Criminal History Worksheet; and
 - (3) Drafts of the Sentencing Guidelines Report and other supporting work sheets.
2. Section L-1 shall contain the following admission documents and materials related to time computation:
 - a. Good time computation work sheets and good time award/forfeiture logs;
 - b. Journal entry/judgment and court orders of commitment;
 - c. Body receipts for initial commitment, re-commitments;
 - d. District/county attorney reports, information/complaint, defense attorney report;
 - e. Sentence computation work sheets;
 - f. Court ordered discharge documents; and
 - g. KDOC warrants for post-incarceration supervision violations, escapes, etc.
3. Section L-2 shall contain documents pertaining to temporary resident releases, such as to furlough or court appearance. Such documents include:
 - a. Court papers ordering the release to court;
 - b. Furlough related materials (investigation reports, Order of Furlough, etc.);
 - c. Admission movement records;
 - d. Release schedules; and
 - e. Reintegration program material.
4. Section L-3 shall contain Incident and Disciplinary Reports including:
 - a. Staff reports and reviews regarding Administrative and Disciplinary Segregation;
 - b. Disciplinary Reports, dispositions, and summary records;
 - c. Incident and accident reports; and
 - d. Reports regarding escape actions.
5. Section L-4 shall contain detainers and warrants including:
 - a. Notifications of detainers and warrants (except post-incarceration release violations); and
 - b. Correspondence related to requests and cancellation notices.
6. Section L-5 shall contain information regarding clemency including:

- a. Facility progress reports and related materials relative to clemency applications;
and
 - b. Affidavits, request for publication, and verification publication in official county newspaper.
7. Section L-6 shall contain materials regarding parole actions and supervised release, including:
- a. Information system post-incarceration supervision records;
 - b. KDOC/KPB charges for post-incarceration supervision/parole violation;
 - c. Pre-parole investigations and report on parole plan;
 - d. Waiver of extradition/agreement to return;
 - e. KPB Parole action notices;
 - f. Post-incarceration supervision release certificates;
 - g. Final parole progress/closing summary;
 - h. Release schedule;
 - i. Post-incarceration supervision violation reports;
 - j. Parole risk/needs assessment;
 - k. Supervision plans;
 - l. Client report forms;
 - m. Acknowledgment forms;
 - n. Travel permits;
 - o. Chronologicals; and
 - p. Post-incarceration supervision revocation materials, to include:
 - (1) Statements of charges;
 - (2) Notices of hearings;
 - (3) Morrissey hearing summaries;
 - (4) Violation reports;
 - (5) Secretary of Correction's warrants;
 - (6) Arrest and Detain warrants;
 - (7) Preliminary hearings;
 - (8) Summaries of preliminary hearings, if available; and
 - (9) Police reports related to resident's criminal activities.

8. Section L-7 shall contain miscellaneous documents and correspondence regarding the resident including:
 - a. Personal data on commitment;
 - b. Fingerprint card and disposition notice to KBI;
 - c. FBI record (rap sheet);
 - d. Photo envelope for transfer/release/escape material;
 - e. Signed copy of procedures for expungement of conviction;
 - f. Signed acknowledgment of receipt of program/facility orientation, rules, and disciplinary policy;
 - g. Signed release of information forms and released information; and
 - h. Resident's identification documents including birth certificate, social security card, state ID, passport, DD 214, vaccination card and driver's license.

E. Right File Folder Index

1. R-0, the top of the right section shall display security notification documents including:
 - a. Special management notes.
 - (1) Such notes shall be printed on pink paper and shall be the top sheet.
 - b. Criminal History Record Information (CHRI) Dissemination Log.
2. Section R-1 shall contain evaluation/progress reports including:
 - a. Pre-Sentence and RDU Evaluation Reports;
 - b. Program Agreements;
 - c. Program Classifications;
 - d. Custody Classification documents;
 - e. Progress reports/closing summaries for substance abuse treatment and/or sex offender program participation;
 - f. Parole Eligibility Report sheets;
 - g. Centrally Monitored Resident Review and related correspondence, memos or documents, upon a resident's removal from the centrally monitored system, in accordance with IMPP 12-125D; and
 - h. Transfer summary from facility.
3. Section R-2 shall contain copies of correspondence to the resident including:
 - a. Correspondence from the Secretary of Corrections; and
 - b. Correspondence between the Prisoner Review Board and the resident.
4. Section R-3 shall contain correspondence regarding the resident including:

- a. Correspondence between the facility staff and KDOC;
 - b. Correspondence between the Prisoner Review Board and facility/field; and
 - c. Correspondence between staff and other agencies.
5. Section R-4 shall contain mental health history information including reports resulting from participation in contract or state mental health programs.
6. Section R-5 shall contain academic/vocational documents including:
- a. RDU/facility testing results;
 - b. On-site study/study release, correspondence study;
 - c. Certificates for academic/vocational achievements; and
 - d. Information system program records.
7. Section R-6 shall contain work release and financial obligation documents including:
- a. Work Release Budget sheets;
 - b. Work release (KDOC operated, private/non-prison, and contract) programs;
 - c. Documents related to child support payments; and
 - d. Documents related to restitution and other financial obligations.
8. Section R-7 shall contain RDU questionnaires/reports including:
- a. Immediate family questionnaires;
 - b. Affidavits of common-law marriage;
 - c. Other facility summaries/reports;
 - d. Former employment reports;
 - e. Military service reports; and
 - f. Social background reports.
9. Section R-8 shall contain correspondence from the resident's family and friends.
- F. Miscellaneous Documentation:
1. All documentation related to visitation is to be contained in tab UT-1.
 2. Documentation related to resident property is to be contained in IP-1.

II. JUVENILE: MASTER FILE

- A. Origination of Master File
1. The records officer at the receiving facility's reception and diagnostic Unit is to be responsible for originating and developing a master file when the resident is admitted for the first time into KDOC custody, per IMPP 05-103.

- a. A complete file folder, containing all appropriate index dividers, is to be developed by the receiving facility in accordance with this procedure. This folder shall be 8 ½"x11".

B. Organization of The Skeleton Master File

1. The following documents are to be placed in the Master File in this order:
 - a. Intake Sheet;
 - b. Sentence Data Sheet;
 - c. Court Documents/Journal Entries; and
 - d. Identification Documents (Birth Certificate/Social Security Card)

C. Organization of Imaged Master Files

1. Documents are to be filed electronically in TABs indicated on the Master File Index (Attachment A).

III. Parole File

- A. All reports and documents shall be filed in reverse chronological order, the oldest dated at the bottom of the section and the newest on top. Colored paper may be used to separate documents from previous supervision periods.
- B. The parole file shall be organized according to the following format and placed in file cabinets in alphabetical order:
 1. The three (3) part file folder shall be divided into three (3) sections, each consisting of a right and left side.
 2. All documents in Section 1 of the folder shall include:
 - a. Left Side:
 - (1) Contact notes and chronological information; and
 - (2) KASPER documents.
 - b. Right Side:
 - (1) Offender report form;
 - (2) Drug test information and results, specimen chain of custody, admission of usage form;
 - (3) Permit to Leave State;
 - (4) Third Party Notification Forms;
 - (5) Reduced Supervision Reports;
 - (6) AA/NA Slips and Pay Stubs; and
 - (7) Job Contact Sheets.
 3. All documents in Section 2 of the folder shall include:

- a. Left Side:
 - (1) Documents related to classification and risk and needs assessments;
 - (2) Supervision level Override forms, supporting documentation and responses;
 - (3) Good Time Award Records, Good Time Logs;
 - (4) OMIS movement records and related information; and
 - (5) Low by Exception documents.
 - b. Right Side:
 - (1) Case plan and related documents;
 - (2) Information pertaining to restitution;
 - (3) Offender Financial Statement;
 - (4) Information pertaining to supervision fees;
 - (5) Community Service Work Forms and Reports;
 - (6) Budget Forms; and
 - (7) EPICS, Carey Guides and CBTI related documents.
4. All documents in Section 3 of the folder shall include:
- a. Left Side:
 - (1) Violation Reports;
 - (2) Order to Arrest & Detain;
 - (3) Parole Violation Warrant and NCIC;
 - (4) Warrant Withdrawal Form;
 - (5) Statement of Charges / Notice of Preliminary Hearing;
 - (6) Waiver of Revocation Hearing;
 - (7) Summary of Preliminary Hearing;
 - (8) Notice of Revocation Hearing;
 - (9) Transportation Memo;
 - (10) Diversion Agreement;
 - (11) Case Reports/Discharge Recommendations, Informational Reports, etc.;
 - (12) Acknowledgment of: Gun Law, Grievance Procedure, Informant Policy;
 - (13) Intake documents and Offender Information Sheet;

- (14) Special Conditions;
 - (15) Probation and Parole Rules (for use in Interstate Compact cases.);
 - (16) Interstate Compact Documents (Progress and Case Reports);
 - (17) Certificate of Release;
 - (18) Discharge Certificate; and
 - (19) Domestic Violence and Sex Offender handbooks.
- b. Right Side:
- (1) Pre-release and reentry plan information;
 - (2) Phase II Investigation Requests and replies;
 - (3) RDU Diagnostic Report and Other Case Material;
 - (4) Certificate of Identification;
 - (5) Case File Review;
 - (6) Interstate Compact Investigation Requests and Replies;
 - (7) Any correspondence concerning offender: Law enforcement contact information, letters from citizens, mental health information, substance abuse summaries, inquiries regarding child support, NCIC documents;
 - (8) EAI Reports and surveillance information;
 - (9) Release of Information Forms;
 - (10) Interstate compact case materials;
 - (11) Offender Property Inventory Form;
 - (12) Electronic Monitoring and Global Positioning Documents;
 - (13) File Transfer Forms or Checklists; and
 - (14) Offender Photographs.

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 are not intended to establish or create new constitutional rights or to enlarge or expand upon existing constitutional rights or duties.

REPORTS

None.

REFERENCES

IMPP 05-103, 12-125D

HISTORY

02-02-2022 Original

ATTACHMENTS

Attachments	Title of Attachment	Page Total
A	Master File Index	2 pages

MASTER FILE INDEX

All file materials in each section categorized below are to be filed to reverse chronological order, which is according to date with the most recent items on top and the oldest on the bottom.

Section- ASSESS

1. (KJJA) Sexual Assaultive & Vulnerability Questionnaire
2. Gang Profile
3. KS Youth LOS/CM Inventory Interview Guide
4. Misc. Assessment
5. Notice of Sexual Abuse/Assault Advisement
6. Screening for Victimization and Abuse (SVA)
7. Screening Tool for Identification of Sexual Aggression & Vulnerability
8. YLS Assessment

Section- BACK

1. Information from other facilities/placements
2. Juvenile Detention Facility Recommendation for Good Time Awards
3. Misc. Background

Section- CONDUCT

1. Administrative Restrictive Housing Review Board Hearing Summary
2. Checklist for Possible Self-Harm Indicators
3. Daily Restrictive Housing Check Forms
4. Disciplinary Appeals
5. Disciplinary Reports/Hearing Reports
6. KJCC Room Inspection Sheets
7. Misc. Conduct
8. Other or Misc. Restrictive Housing Forms
9. Protective Custody Waiver
10. Request for Protective Custody
11. Summary Judgements
12. Use of Force Reports

Section-CORR

1. Case Notes
2. Juvenile Supervision Plans
3. Letters
4. Memos & Emails
- 5 Misc. Correspondence

Section- EDUC

1. EDUCal Reviews
2. GED Certificate/Diploma
3. Misc. Education
4. School Reports

Section-INTAKE

1. Admissions Checklist
2. Birth Certificate
3. Clothing & Misc. Inventory
4. Driver's License
5. Escape Risk Classification
6. Gang Awareness Orientation Acknowledgment
7. INTAKE Report
8. INTAKE Screening/ JCO Assessment
9. Juvenile PREA Intake Orientation
10. Legal Guardianship Documents
11. Marriage Certificate
12. Misc. Intake
13. Notice of Advisement & Acknowledgment
14. Grievance System Acknowledgement
15. Orientation Acknowledgment
16. Orientation Acknowledgment
17. Social Security Card

Section-LEGAL

1. Affidavits and Police Reports
2. Complaints
3. Court Reports
4. DNA forms (when collected at KJCC)
5. Escape Flyer
6. Hold Orders
7. JO Placement Screening Form
8. Journal Entries and Worksheets
9. Misc. Legal
10. Order to Convey or Transport
11. Other Court Documents

Section-CORR (Continued)

6. Newspaper Articles/Clippings
7. Request to Remove Personal Property
8. Signed Release of Information

Section- MEDICAL

1. Contact Flowsheet for Continuous Warning
2. Medical File (combined upon release)
3. Mental Status Evaluation
4. Misc. Medical
5. Sex Offender Files
6. Substance Abuse Files
7. Suicide Precaution Information

Section- PROGRAMS

1. 180-Day Review Conference Report
2. Behavior Contracts
3. Case Notes
4. Individual Performance Agreement

5. Intervention Plans (Case Plan)
6. Juvenile Comprehensive Program Planning
Diagnostic Report
7. Juvenile Offender Program Plan
8. Misc. Programs
9. Pre-Release Report
10. Program Completion Certificate
11. Transfer Requests (In-House)
12. WERS- Weekly Expectation Report

Section- UNIT

1. Contact Flowsheet
2. Enemy Waiver
3. Misc. Unit docs
4. Progress Record

Section- LEGAL (Continued)

12. PSI or PDI or PDR
13. Subpoenas
14. Youthful Offender Records

Section- RELEASE

1. Aftercare Form
2. Application for & Order of Admin Transfer
3. Community Reintegration Notification
4. Conditional Release Contract
5. Interstate Compact Forms
6. Behavioral Health Screening (if required)
7. Misc. Release
8. Notice of Discharge (case close/ CR)
9. Notice of Release
10. Release Packet
11. Release Review
12. Release Statistics
13. Request & Approval/Denial: Community
Reintegration Pass or Administrative Hold
14. Offender Registration

Section- RESTITUT

1. Court-Ordered Restitution Information
2. Facility Restitution
3. Misc. Restitution
4. Receipt of Balance of Account/Court
Receipts
5. Record of Restitution
6. Reimbursement Requests/In-House
Restitution Assessments
7. Restitution (Policy) Agreement

Section- VISITOR

1. Misc. Visitor
2. Off-Ground Movement
3. Phone List
4. Special Visit Request
5. Visitor Log (printed upon release)
6. Visitor Request Forms (approvals/denials)