




KANSAS DEPARTMENT OF CORRECTIONS

	INTERNAL MANAGEMENT POLICY AND PROCEDURE	SECTION NUMBER 05-103	PAGE NUMBER 1 of 9
		SUBJECT: INFORMATION TECHNOLOGY AND RECORDS: Establishment, Maintenance, Disposition, and Audit of Offender Records	
Approved By:  Secretary of Corrections		Original Date Issued: 01-17-83	Current Amendment Effective: 06-26-06
		Replaces Amendment Issued: 04/14/05	
Reissued By:  Policy & Procedure Coordinator		The substantive content of this IMPP has been reissued as per the appropriate provisions of IMPP 01-101. The only modifications within the reissue of this document concern technical revisions of a non substantive nature. Date Reissued: 07-15-11	

POLICY

Records, containing all information regarding an offender's commitment, incarceration and post-release supervision history, shall be established and maintained for each offender committed into the custody of the Department. Records and files shall be established and maintained for in absentia and interstate compact cases. (ACO 2-1E-01, 2-1E-02, APPFS 3-3101) 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. (ACO 2-1E-05)

All hard copy, case management files shall be maintained in a secure location separate from other files regarding the offender. (ACO 2-1E-01) All facility generated offender files shall accompany the offender through any transfers within the KDOC. (ACO 2-1E-04; ACI 3-4093; NCCHC P-64) Within fourteen (14) days of an inmate's release, all documents shall be placed in the appropriate files. All files shall then be sent to the facility records office. One year subsequent to an offender's release from incarceration, all facility generated offender files shall be transferred to the records repository for storage and disposition. (NCCHC P-65) A field/community supervision file shall be established for each offender assigned to post-incarceration supervision. The field/community supervision file shall be forwarded to the designated parole office per regional policy upon the offender's discharge from supervision. (ACO 2-1E-01; ACI 3-4092; APPFS 3-3101)

An annual audit of offender files shall be conducted by designated staff to ensure current and accurate maintenance of documentation related to offenders as required by this IMPP. (ACO 2-1E-09)

DEFINITIONS

Active offender records: Facility records for offenders who are currently incarcerated, records for offenders who are under post-incarceration supervision, and Central Office records for offenders who are either currently incarcerated or who are on post-incarceration supervision.

Admission: Any inmate 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.

Central office file: The paper or imaged file materials maintained in the Department's Central Office.

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 offender records: Facility, Central Office, and parole records retained by the Inactive Offender Records Repository, not yet sent to the State Records Center 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 mental 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 offender records: Facility generated offender records that become inactive upon an offender'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.

Inactive Offender Records Repository: A centralized inactive records section for the Department of Corrections located at Topeka Correctional Facility - Central Unit (TCF-C).

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 Inmate Master File), or all documents in a folder (in the case of the property, unit team, and central office file) as one document. These documents are then indexed to a separate TAB in the imaging system to indicate records for a discharged offender.

Master file: The primary inmate 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 who is in the legal custody/jurisdiction of the Secretary of Corrections. This term refers to both inmates and persons under post-incarceration supervision.

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

Penitentiary package: Information sent by records staff in response to requests for inmate 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 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 receipts, 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 Management Information System, or hard copies of documents contained in various files within a facility, parole office and/or Central Office Records. (ACO 2-1E-02)

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

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

State Records Center: A centralized inactive records repository for the State of Kansas, managed by the Kansas Historical Society and located in Topeka, Kansas.

Unit Team file: A hard copy case management file maintained in or near the inmate's facility living unit.

PROCEDURES

I. Establishing the Offender Records and Document Files (ACO 2-1E-01; ACI 3-4092)

A. Determination of Commitment Name

1. The offender's commitment name shall be the name shown on the journal entry/judgment form.
 - a. If multiple journal entry/judgment forms are received, the name shown on the first journal entry received shall be used.
 - (1) 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 offender's facility record shall be activated under the name shown on the journal entry on the new sentence.
 - (1) The name under which the offender was previously released shall be shown as the alias or true name.

B. Assignment of KDOC Numbers (ACI 3-4272)

1. A KDOC number shall be assigned under the following conditions:
 - a. When an offender, with no previous admission, is admitted to the custody/jurisdiction of the Secretary of Corrections;
 - b. Upon receipt of court documents indicating that an offender with no previous admission has been sentenced to the custody of the Secretary of Corrections;
 - c. Upon notification that an offender with no previous admission has been placed within a community corrections program; or,
 - d. Upon receipt of an offender via correctional compact/probation or parole compact.
2. If an 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 Management Information System.

C. An official record shall be established in the Management Information System, coded according to instructions provided in the OMIS manual, for all 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.B.1.c. above, until such time that the person is admitted into the custody/jurisdiction of the Secretary of Corrections.

D. The master field/community supervision file shall be established by the admitting facility or parole office, for direct court commitments, in absentia, interstate corrections compact cases, and juvenile felons.

1. Court documents containing erroneous information shall be brought to the attention of the sentencing jurisdiction for correction.

E. Establishment of the Unit Team File

1. Upon receiving an inmate from the admitting facility, the classification administrator shall ensure that a unit team file is established, in accordance with the format provided in IMPP 05-104.

F. Establishment of the Field/Community Supervision File

1. Upon notification that a Kansas or interstate compact offender is being released/accepted to supervision, the supervising officer shall establish a field supervision/community supervision file (files retained at the district office on KDOC offenders who have been returned to custody as violators and subsequently released shall be re-established).

- a. The field supervision/community supervision file shall be a 9"x12" three-part folder.
- b. All documents and correspondence shall be punched at the top edge and shall 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.
- c. Supervising staff shall ensure that a typewritten white label be affixed to the folder, which shall contain the following information:

(1) The first line shall be formatted as:

(a) Last name (in caps), first name; and,

(b) Number (or assigned KS # for compacts).

EXAMPLE: DOE, John #56402

G. A Central Office file shall be established upon receipt of the documentation and records materials from the admitting facility or parole office.

1. Record's materials shall be sent to Central Office Records within seven (7) working days and shall conform to specifications in IMPP 05-104.
 - a. Exceptions to the above indicated time requirement are allowed in situations where file location problems, sentence computation difficulties, et cetera, exist.

H. If a facility is unable to locate the master file within thirty (30) days of the inmate's re-admission or the inter-facility transfer of an inmate, the facility housing the inmate shall request the following documents from Central Office Records, if they are not available on the document imaging system:

1. Journal entries of judgment for prior incarceration(s);
2. Complaint/information for prior incarceration(s);
3. Most recent post-incarceration release certificate;
4. Program classifications for prior incarceration(s);
5. Inmate Data Summary for prior incarceration(s);
6. CHRI;
7. Central monitoring forms;
8. Any sentencing guidelines reports; and,

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

II. Maintenance of Offender Records

- A. Offender records shall be maintained by attention to the entry/filing of information and documents related to the offender in an accurate, uniform, and timely manner.
 1. Sentence information shall be computed and recorded in conformance with applicable statutes and regulations. (ACO 2-1E-05; ACI 3-4094)
- B. All offender file media shall be maintained in a locked file cabinet and/or a lockable area, which is inaccessible to offenders. (ACI 3-4092; APPFS 3-3101)
- C. The staff member responsible for the maintenance of offender records, to include the central office file, master file, unit team file, medical, mental health files, and field/community supervision file, shall establish procedures for the safe storage and use of such records.
 1. Access to records and information contained in the offender records shall be in accordance with provisions of IMPP 05-101.
 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. Disposition of Records (APPFS 3-3101)

- A. Each facility retains the files until they are imaged. Once a file is imaged the Skeleton Master File remains at the facility for 10 to 14 days before being sent to the Central Repository. This period allows time for Records to receive all filing from other Departments.
 1. Inactive offender files shall be maintained in the record's repository for one (1) year following the offender's discharge from supervision.
 2. A monthly listing of discharged offenders shall be provided to the Records Administrator.
 3. The Records Administrator or designee shall ensure that the files of such identified discharged offenders are packaged, in accordance with procedures established by the State Records Center, and transferred to the same.
- B. Except as provided below, when an offender 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 field/community 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 district parole office.

3. Files on offenders convicted of a new felony offense which results in sentencing to prison for a term greater than one year, or, files on offenders who are discharged from parole or who have died shall be forwarded to the designated parole office per regional policy for imaging.
 4. Intelligence and Investigation files shall be removed from storage by the KDOC Director of Investigations and forwarded to the I&I unit of the facility receiving/housing the inmate.
- C. When an offender is discharged, the facility offender files, the field/community supervision file and the Central Office files shall be forwarded to the Inactive Offender Records Repository to be stored together.
1. At the conclusion of one (1) year after discharge, all discharged offender records shall be forwarded to the State Records Center. These records shall be identified by using the monthly list provided by the Information Systems and Communications Division.
 - a. These discharged offender records shall be packaged and transported in accordance with the procedures established by the State Records Center.
- D. When an offender is transported from one KDOC facility to another, all records shall be processed as per the provisions of IMPP 12-110.
- 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 field/community supervision file to its receiving region.

IV. Requesting Records from Storage (ACO 2-1E-06)

- B.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.).
- C.B. Any request for such stored records shall be made through Central Office Records.
1. Central Office Records requests shall be made in accordance with the State Records Center procedures.

V. Audit Requirements (ACO 2-1E-09)

- 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 for Community and Field Services and the Information Resource Manager.
- 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 for Community and Field Services, and the Information Resource Manager.
- C. Audits of 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. Central Office audits to the Information Resource Manager;
 2. Facility audits to the warden and the Deputy Secretary of Facility Management; or,
 3. Parole office audits to the regional parole director and the Deputy Secretary of Community and Field Services.

- D. Prior to the filing of the audit team's written report a member of the audit team shall meet with the appropriate records office staff 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 Central Office Records Supervisor responds to the Information Resource Manager;
 - b. The warden responds to the Deputy Secretary of Facility Management; and,
 - c. The parole director responds to the Deputy Secretary of Community and Field Services.

VI. Procedure for the Imaging of Files

- A. All Documents, as outlined in IMPP 05-104, that pertain to offenders supervised by the Department of Corrections shall be imaged.
 - 1. The priority of the facility Records Departments will be to scan all new documents brought to the Records Department for filing. Followed by the scanning of files already on the shelf for active inmates.
 - 2. The priority of the Inactive Records Repository will be to scan all documents found in the discharged offender files that were previously not imaged, using the Jam & Cram Imaging Method.
 - 3. Specific procedures for the imaging of offender records shall be established by the Records Management Supervisor.
- B. The Records Management Supervisor 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:
 - a.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.a., above.
 - a. Illegible handwritten notes shall be avoided, as they will be undecipherable as an imaged document.

- E. The following Quality Assurance procedure will be followed on a daily basis to insure 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 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 or offenders, or an independent duty owed by the Department of Corrections to employees, 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 REQUIRED

<u>Name/Type of Report</u>	<u>By Whom/To Whom</u>	<u>Due</u>
Central Office Audit Findings	Audit Team to Information Resource Manager	Annually
Facility Audit Findings of Facility Management	Audit Team to Deputy Secretary	Annually
Field/Community Supervision File Audit Findings	Audit Team to Deputy Secretary of Community and Field Services	Annually

REFERENCES

KSA 21-4608, 22-3717, 75-5210, 75-5221, 75-3404, 75-3506, 75-3507
IMPP 05-104, 12-110
ACO 2-1E-01, 2-1E-02, 2-E-04, 2-1E-05, 2-1E-06, 2-1E-09
ACI 3-4092, 3-4093, 3-4094, 3-4272
APPFS 3-3101
NCCHC P-64, P-65

ATTACHMENTS

None