

	State of Alaska Department of Corrections Policies and Procedures		Index #: 602.01	Page 1 of 11	
			Effective: 08/08/08	Reviewed: 08/08	
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Chapter: Records					
Subject: Prisoner Case Record Management					

I. Authority

In accordance with 22 AAC 05.155, the Department will maintain a manual composed of policies and procedures established by the Commissioner to interpret and implement relevant sections of the Alaska Statutes and Title 22 of the Alaska Administrative Code.

II. References

Alaska Statutes

AS 33.30.211

Alaska Administrative Code

22 AAC 05.090

22 AAC 05.095

Standards for Adult Correctional Institutions 4th Edition 2003

4-4095, 4-4096, 4-4098, 4-4099

Standards for Adult Local Detention Facilities 3rd Edition 1991

3ALDF 1E-01, 1E-02, 1E-04, 1E-05, 1E-06

III. Purpose

To establish uniform procedures within the Department for prisoner case record management.

IV. Application

All staff.

V. Definitions

Case Record

An official record containing relevant information on an individual prisoner.

VI. Policy

- A. An individual record containing relevant information on each prisoner shall be maintained in a case record folder in accordance with 22 AAC 05.090. Information contained in the case record will be released only to authorized persons in accordance with 22 AAC 05.095 and this policy.
- B. Prisoner case records shall be stored in a secure manner and in an area protected from unauthorized access.
- C. The Department will convert to the use of letter-sized files by purchasing files and file cabinets in this size when new purchases are made.

VIII. Procedures

- A. Initiation of the Record

1. Each Superintendent shall establish and monitor procedures to ensure that an individual case record is opened and maintained on each prisoner admitted to an institution. This record must contain all relevant documentation and information concerning the prisoner. The record must include information entered, maintained, and updated in the DOC offender information system as it pertains to the prisoner.
 2. Note: This policy does not address Probation/Parole Case Record Management (Policy 603.01). The individual case record follows the prisoner and remains the prisoner case record. It is not combined with the Probation/Parole Case Record.
 3. A prisoner case record must be opened at the time of initial prisoner commitment. The designated institutional Records Officer is responsible for maintaining the prisoner case record at the holding institution in accordance with the following requirements:
 - a. Case information for un-sentenced prisoners and sentenced misdemeanants will be maintained in a two-part manila folder. Upon sentencing, and prior to designation, all felony prisoner case records must be placed in a classification four-part folder in accordance with section VI.B. below.
 - b. All folders must be right-hand opening with identification tab on the right cover showing the prisoner's name and offender number.
 - c. An identifying offender number referencing each prisoner will be assigned at initial admission.
 - d. Folders must be filed and maintained in surname alphabetical order.
 - e. All case material must be filed within 72 hours of creation or receipt.
 - f. Court documents relating to a prisoner's custody status, such as bail or conditions of release, must be filed immediately upon receipt. Other court documents must be filed within 72 hours of receipt.
 - g. The case record may contain a CONFIDENTIAL identifier stamped on the first page or the face sheet of controlled access documents that identifies them as confidential and not subject to routine access under section VI.D. below.
 4. A medical record, separate from a prisoner case record, will be established and maintained in accordance with Policy 807.06, Health Care Record.
 5. A Classification file, separate from a prisoner case record, will be established and maintained by or through Central Classification in accordance with Chapter 700, Classification.
- B. Content and Organization of the Case Record
1. Each case record will be maintained in a four-part folder with one center leaf except as noted above under VI.A.2. File folder specifications are as follows:
 - a. Cardboard, moisture resistant covers with center leaf attached;
 - b. Cloth reinforced, expanding hinge;
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- c. Metal fastener on each folder page; and
 - d. Brown/earth red in color.
 2. The identification label and authorized special notations on a prisoner case record folder must be in conformance with the following:
 - a. A label will be affixed to the tab of each case record with the prisoner's last name first, followed by the first name and middle initial. The offender number will appear below the last name of the prisoner.
 - b. In the event it becomes necessary to create another case record folder due to the volume of paper, a second or subsequent folder may be prepared in accordance with this policy and labeled as in a. above. The identification label must also indicate the folder as "two of two," etc.
 3. As a general rule, with exceptions noted in sections 5., 6., 7. and 8. below, the material maintained in the folder will be in chronological order of document creation and in accordance with the following criteria:
 - a. Duplicates may be removed; however, a clear copy or original must be maintained of every document comprising the case record unless purged or removed in accordance with law, regulation, or policy.
 - b. Documents or envelopes will not be affixed to the folder by staple. All items contained in the case record must be attached by metal fastener, or cellophane tape.
 - c. Materials maintained in the case record may be separated into annual divisions by folder stock dividers. Each inserted divider must be tabbed at the bottom with the year designation for the material beneath the divider.
 4. The four-part case record folder must be organized by subject matter; and the four sections will be distinguished as follows:
 - a. Section one, inside of left cover;
 - b. Section two, inside of center leaf opposite section one;
 - c. Section three, inside of center leaf opposite section four; and
 - d. Section four, inside of right cover.
 5. Folder Section One will contain all legal documents, court judgments and orders, parole orders, remands, and FBI or APSIN print outs.
 - a. The bottom document is always the FBI or APSIN print out. Photograph(s) will be kept in a top-end-open envelope affixed with tape on three edges, to the inside bottom right of section 1.
 - b. All other legal documents will be filed in ascending chronological order, the oldest on bottom (on top of remand document) and the most current on top, including Parole Orders, as appropriate.
 6. Folder Section Two will contain booking record(s), detainers, prisoner transfer receipt(s), and central monitoring actions, placed chronologically in the following order:
 - a. The active detainers or central monitoring documentation, if any, on top;
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- b. The Booking Record for present incarceration;
 - c. The Certificate of Good Time and Notification of Release to Supervision shall become the top most document upon release.
 - d. Domestic violence victim notification, DNA and sex offender registration paperwork shall be placed beneath Certificate of Good Time and Notification of Release to Supervision paperwork.
 7. Folder Section Three will contain, in the following order:
 - a. If the prisoner is incarcerated on a parole or probation violation, and the previous institutional file is used, the old Time Accounting Record will remain in place. Newly generated paperwork, under b. and c. below, will be placed on the top of the old Time Accounting Record and the current Time Accounting Record will become the top document.
 - b. Classification documents, disciplinary action reports, with pertinent documents; and Parole Progress Reports below the Time Accounting Record.
 - c. Reports of participation in institutional programs, underneath items listed in b. above.
 - d. Observation Cumulative(s) (Form 602.01B), if applicable.
 - e. When the same file is used for subsequent incarcerations, newly generated paperwork shall be placed on top of the previous Time Accounting Record. The current Time Accounting Record shall become the top document.
 8. Folder Section four will contain:
 - a. Information Reports with pertinent documents;
 - b. Letters, memorandums, grievances, and only those requests for interviews that are being retained pursuant to Policy 808.11, Communication Between Prisoners and Staff. These items are filed in ascending chronological order.
 - C. Case Record Security
 1. Case records not in use will be stored inside a locked, fire-resistant file cabinet or room that contains fire-suppression equipment (sprinklers, etc.). Storage must be supervised and controlled by an institutional employee. If a record must be removed from the storage area, a sign out card, or other system shall be developed that will indicate the date removed and the name of the employee who removed it. If a sign out card system is used, one will be prepared and maintained in the file cabinet at the place of the case record.
 2. Case records reviewed by parties other than employees will be supervised by Department personnel to ensure documents are not removed or photocopied without proper authorization.
 - D. Case Record Access

Each Superintendent shall ensure proper access to prisoner records. In the absence of state or federal law to the contrary, the prisoner, prisoner's attorney, attorney's agent or other authorized persons may be granted access, upon
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request and upon specific approval by the Superintendent or Deputy Commissioner, to the prisoner case record in accordance with the procedures in this section.

1. Release of information to a prisoner, prisoner's attorney, and attorney's agent.
 - a. All information provided to prisoners from their record or file will be evaluated by the Institutional Probation Officer to ensure that release of such information will not endanger any person.
 - b. In order to prepare for classification, disciplinary, parole, probation revocations, court hearings, or appeal from any such hearings, the prisoner, the prisoner's attorney, or the attorney's agent may be granted access, upon specific request, to the case records specified and related to the pending action subject to the following criteria:
 - (1) Access to the following records, marked "confidential" in accordance with Section VI.A.3.g. above, may be denied:
 - (a) Individual voting records of classification or disciplinary committees and of the parole board;
 - (b) Identity of informants or information given in confidence;
 - (c) Maps, diagrams or photographs of the physical layout of the institution or descriptions of security procedures;
 - (d) Those portions of pre-sentence reports that the court specifically defines as confidential;
 - (e) Reports, memoranda, or other documents prepared specifically for transmittal to the Alaska Department of Law or an attorney retained by the State of Alaska in anticipation of, or during the course of, litigation, or otherwise treated as confidential under the attorney-client privilege;
 - (f) Any document or report containing medical evaluations, psychiatric or psychological evaluations and parole, probation, or other investigations concerning the prisoner that the Deputy Commissioner, in the case of a former prisoner, or the Superintendent, in the case of a current prisoner, determines would lead to serious disruption of the offender's adjustment or rehabilitative progress, or would endanger any person;
 - (g) Any other record that the Superintendent in the case of a current prisoner, or the Deputy Commissioner in the case of a former prisoner, believes would result in a substantial risk of

- reprisal, endanger the security of the facility, or disclose the Department's position in litigation; and
- (h) Victim addresses, phone numbers, or other information contained in the case record that may disclose their whereabouts. Victim information will not be disclosed to a prisoner, the prisoner's attorney, or anyone outside the Department other than those officials of the justice system, such as agents of the Department of Public Safety or the Department of Law, with a specific need to know in connection with an active investigation or litigation.
- (2) Access to the following records may not be denied:
- (a) A copy of the judgment or commitment papers or any other document that constitutes the authority for the prisoner to be held in custody;
 - (b) Any transcript of court proceedings involving the prisoner, including comments made by the judge at the time of imposition of sentence;
 - (c) Time Accounting Record;
 - (d) Booking Record;
 - (e) Classification Records, except for voting records;
 - (f) Disciplinary or infraction reports containing final disposition;
 - (g) Pre-sentence Reports, unless the Court has determined that access will be detrimental to the rehabilitation of the prisoner or the safety of the public;
 - (h) The recordings of parole, classification, disciplinary, or revocation hearings, other than with respect to testimony covered under VI.D.1.b.(1);
 - (i) Mail or copies of correspondence placed in the prisoner's file; and
 - (j) Any other record, access to which may not be denied under VI.D.1.b.(1).
- c. Denial of access to any of the records or documents set out in VI.D.1.b. does not affect the prisoner's right to access any other records contained in the case record.
- d. If access to case record material is denied, the Superintendent must give written notice to the prisoner of the denial, indicate the material denied, and, upon request by the prisoner, briefly state the reasons for denial.
- e. Access to prisoner records under this policy is subject to rules and procedures established by the Superintendent with respect to time, place, and manner of inspection.
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- f. If a prisoner's request to review their records is received at least three working days before a scheduled hearing, the prisoner must be given access to the authorized case record materials at least 24 hours prior to the scheduled hearing.
 - g. When a hearing is not scheduled, a prisoner may access his or her case record, upon request, once every 12 months. When a prisoner is involved in litigation, they may have access to their case record as determined necessary by the Superintendent.
 - h. Examination of case records must be supervised by a staff member. Photocopying of authorized records will be allowed at the prisoner's expense. Copies for indigent prisoners shall be allowed consistent with Policy 808.12, Photocopying for Prisoners.
 - i. A prisoner may address complaints regarding case records or access in accordance with Policy 808.03, Prisoner Grievances.
2. Access by All Others
- a. Except as otherwise provided in this policy, access to prisoner records is limited to Department personnel, and contractor agents of the Department in conformance with statutory authority. A case record will not leave the holding institution for purposes other than transfer or closure except when specifically authorized by the Superintendent or in response to a Court Order.
- Note: If the discretionary access by the Superintendent in accordance with this policy is disputed, the Assistant Attorney General assigned to assist this Department may be contacted for advice on a case-by-case basis.
- b. Information that is confidential due to the prisoner's right to privacy may be released if the prisoner has first authorized the release by completing and signing an Authorization for Release of Case Record Information (Form 602.01A). A copy of the release form shall be maintained in the prisoner's case record.
 - c. The Deputy Commissioner may approve access to prisoner records by individuals or agencies involved in research upon a showing that a breach of confidentiality or individual privacy has been minimized by the use of methods that would reduce the risk of injury or embarrassment to an individual. The benefit to the individual or agency should clearly outweigh such concerns.
 - d. A person who is no longer under the supervision, custody, or jurisdiction of the Department may have access to his or her closed case record through the Deputy Commissioner. The documents contained in the closed case record may be provided for viewing and photocopying except for those the Deputy Commissioner determines would result in substantial risk of reprisal or injury, would endanger the security of a facility, or are otherwise confidential by law. Case record access or document reproduction costs will be paid by the individual making the request.
3. Public Information
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The following offender related information is public information and shall be given to any member of the public who makes a verbal or written request.

- a. Offender's name age, race, and sex
- b. Offender number
- c. Offender Location (unless at a treatment facility or API)
- d. Offense of conviction or charge
- e. Movement history
- f. Scheduled Court appearances
- g. Escapes and recaptures
- h. Sentencing information including length and release date
- i. Presence or absence of detainers

E. Transfer of Records

1. Case records accompanying a transferring prisoner, including a temporary transfer for a court appearance in another community or jurisdiction, hospitalization, or medical/mental health observation or stabilization requiring the prisoner to be housed outside the institution and not returned the same day, must remain in possession of the escorting employee or officer during the transfer movement. The following minimal records must be transferred with the prisoner:
 - a. Documentation sufficient to maintain custody and sustain jurisdiction;
 - b. Medical records necessary to ensure proper medical care and medication; and
 - c. Copies of commitment papers.
 2. All case records and file folders for prisoners will be transmitted as follows:
 - a. Notwithstanding g. below, case record materials will always be packaged in such a fashion as to conceal the contents from casual view, such as in a box or envelope of sufficient size to contain the entire case record. The package will be marked "CONFIDENTIAL" and addressed to a specific recipient. Only the addressee will open the package. All intermediate handlers will forward the package unopened to the addressee.
 - b. Case records for prisoners being transferred must be updated and packaged to accompany the prisoner and hand carried by the transporting officers to the receiving institution or facility.
 - c. Case records must be updated and sent via insured mail, return receipt requested, or hand carried to Central Classification Unit at Anchorage Central Office, for those prisoners serving Alaska sentences who are being transferred to the Federal Bureau of Prisons or other contract facilities of state. Copies of appropriate documents from the prisoner case record must be carried by the transporting officers to the receiving institution or facility.
 - d. Inactive case records resulting from an escape or other deactivating circumstance when an individual is under the
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jurisdiction of an institution, will be retained on-site for the time period prescribed by the Superintendent and then packaged and sent via insured mail, return receipt requested, or hand carried to Central Records at the Juneau Central Office for long-term retention. The record will be maintained intact pending an escapee's capture or the ending of the circumstance or condition that caused the prisoner case record to become inactive.

- e. Case records must be updated within three working days of release and sent via insured mail, return receipt requested, or carried to the supervising office for prisoners being released to probation/parole supervision.
- f. The case records for furloughed prisoners will be forwarded to the supervising furlough office within one working day. If the furlough placement is not in the vicinity of the furlough facility, the prisoner case record must be updated within three working days of the prisoner's departure and sent by insured mail, return receipt requested, or hand carried to the supervising institution.
- g. Inactive and closed prisoner case records must be updated, labeled on the transmittal list and sent via insured mail, return receipt requested, or other accountable delivery method to Central Records at the Juneau Central Office within a reasonable time following closure of record, using the following procedures:
 - (1) Sending personnel shall prepare a triplicate and alphabetized list of case records (files), for shipment and retention at central records in Juneau;
 - (2) The original copy of the list will be retained by the sender, the second copy will be sent under separate cover to central records in Juneau to advise them of the shipment, and the third copy will be packed with the alphabetically arranged folders being shipped.

F. Case Record Review

A prisoner case record review must be completed by the records officer or Superintendent's designee to evaluate file information for accuracy and order prior to closing the file or forwarding to another office or institution.

G. Transfer to Central Records

Inactive and closed prisoner case records must be updated, labeled "inactive" or "closed" on the transmittal list, and sent via insured mail, return receipt requested, or by other accountable delivery method to Central Records at the Juneau Central Office within a reasonable time following the closure of a record.

- 1. There are two different shipping addresses, depending on the number of boxes being transferred.
 - a. If an institution or field office has fifteen(15) or fewer boxes, the boxes must be sent to:
Alaska Dept. of Corrections
Juneau Central Office
Attn: Central Records
802 3rd Street

Douglas, AK 99824

- b. If a site has more than fifteen (15) boxes, the boxes must be sent to:

Alaska Dept. of Corrections

Attn: Central Records (N.O.A. 907-465-3485)

5342 Shaune Drive

Juneau, AK 99801

Please note: The Shaune Street address should only be used on a pre-arranged basis for larger shipments since there are no staff members at that location to receive day-to-day deliveries.

Instructions should be given to the freight company to "notify on arrival in Juneau" either Central Records at 907-465-3485 or Central Records Supervisor at 907-465-3313 to schedule the delivery date and time.

2. The following procedures must be followed before shipping:
- a. Call Central Records to ensure there is space available for the shipment. Only "banker box" size boxes with lids, specifically 15.5" length x 12" width x 10" height may be used. Boxes that do not conform to these specifications will be shipped back to the sender, at their expense.
- b. Institutional and probation staff must enter each box of files into the DOC-WEB Central Records application, located on the Internet at:

http://doc-web.correct.state.ak.us/Central_Records/Central_Records_Login.html.

- c. Enter the appropriate information after logging in with your User ID and password. If an entry mistake is made, you must e-mail Central Records because only the Central Records staff can correct the mistake. In addition to the instructions you will receive from the prompts, you must also:
- (1) Create a transmittal list. After you have entered the offender number and type of file you are sending, you will reach the screen that assigns a Box ID number. Print out two copies of this page. These are your transmittal lists. Enclose one list in the box and keep the second list for your files.
- (2) Create two labels by using the "create labels" function. Institutions must use blue paper and probation must use pink paper. Tape the labels on each end of the box, not on the sides. The ends are labeled for identification when they are stacked and stored at Central Records.

H. Case Record Retention at Central Records.

A case record received by Juneau Central Records will be retained, just as it is received, for two years from the date of receipt. After two years, the contents of the case record will be scanned. Request by a fax, email, or memorandum is necessary to retrieve a case record from Juneau Central Records. Telephone calls are not acceptable.

VIII. Implementation

This policy and procedure is effective 14 days following the date signed by the Commissioner. Each Manager shall incorporate the directions outlined in this document into local policy and procedure. All local policies and procedures must conform to these directions; any deviation must be approved in writing by the Division Director.

Date 7/25/08

Joseph D. Schmidt, Commissioner
Department of Corrections

Applicable Forms:

602.01A Authorization for Release of Information

602.01B Observation Cumulative