

 <p><b>KENTUCKY CORRECTIONS</b> Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date
Authority/References	Subject	
KRS 196.035, 197.025 ACA 2-CO-1E-01, ACA 2-CO-1E-03, ACA 2-CO-1E-04, ACA 2-CO-1E-05, ACA 2-CO-1E-06, ACA 2-CO-1E-07, ACA 2-CO-1E-08, ACA 2-CO-1E-09	Inmate Record	
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	November 7, 2016	January 6, 2017

## I. DEFINITIONS

“Access” means the ability to view the contents of an inmate record.

“Central Office inmate record” means the official hard copy file maintained in Central Office for records maintained prior to the use of the electronic inmate record for an inmate committed to the Department of Corrections for service of a felony sentence.

“Committed name” means an inmate’s name, as it appears on the court order committing the inmate to departmental custody, at the time of his or her initial commitment to the custody of the Department of Corrections.

“Electronic inmate record” means the official record maintained within the offender management system for each inmate committed to the Department of Corrections for service of a felony sentence.

“Institutional inmate record” means the hard copy file maintained at the institutional level for records maintained prior to the use of the electronic inmate record for an inmate committed to the Department of Corrections for service of a felony sentence.

“Managing Official” means the Central Office Offender Information Services Branch Manager or his designee.

“Inmate record” means the official file, either in hard copy or electronic form, maintained for each inmate committed to the Department of Corrections for service of a felony sentence.

“Work assignment” means an individual’s position and security level set within the offender management system

## II. POLICY and PROCEDURE

A. It is the policy of the Kentucky Department of Corrections to provide standards

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for the maintenance and management of the inmate record concerning its use, preservation, security, confidentiality, and inaccessibility to inmates.

B. Establishment of the Inmate Record

1. The official inmate record shall be maintained in the Kentucky Offender Management System (KOMS) for an inmate committed to the Department of Corrections. For an inmate who does not exist in the offender management system, the inmate shall be entered into the system upon notice of commitment and sentencing to create an electronic inmate record.
2. The inmate record, along with all official documents retained within the inmate record, shall use the inmate's committed name. Any other names used by an inmate shall be considered an alias and documented as such within the inmate record.
3. All records related to the calculation and recording of an inmate's sentence shall be reviewed upon receipt to ensure compliance with applicable statutes, regulations and policy and shall be added immediately to the contents of the inmate record.

C. Maintenance of the Inmate Record

1. The Offender Information Services Branch shall be responsible for maintaining, updating, and reviewing the Central Office inmate record to ensure that it is current and accurate. At a minimum, the Central Office inmate record shall be reviewed prior to the inmate being considered for parole and prior to any form of release from custody.
2. For an inmate admitted prior to May 7, 2007, the existing Central Office inmate record shall be used to retain all documents which existed prior to May 7, 2007 until such time as those records are added to the inmate's electronic inmate record or destroyed according to the retention schedule. Documents shall be filed in one of six (6) categories and shall be organized as follows:
  - a. Parole Information
    - (1) Parole Board Decision Sheet (Parole Board actions will be stamped on the inside photo cover sheet.)
    - (2) Parole Reports
    - (3) Parole Plans
    - (4) Parole Certificates
    - (5) Results of Preliminary Violation Hearings
    - (6) Receipt for Return of Parole Violators

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- (7) Parole Violation Transport Authorization Form
- (8) Parole Violation Warrant
- (9) Revocation of Parole Hearing Form
- (10) Notification of Release of Inmate
- (11) Victim Impact Statements
- (12) Presentence Investigations
- (13) Pre-Parole Progress Reports
- (14) White Sheet with Photograph (Institution)
- (15) Home and Job Placement Forms
- (16) Open Hearing Information
- (17) Interstate Compact Information
- (18) SAP/Violent Offender Program Reports to Parole Board

b. Program Progression

- (1) Psychological Evaluations
- (2) Psychiatric Evaluations
- (3) Psychological Test Scores and Test Material
- (4) Progressive Incarceration Plans
- (5) Progressive Incarceration Plan Updates
- (6) Academic/Vocational School Progress Reports
- (7) Classification Review Records, Initial and Reclassification
- (8) FBI Identification Record
- (9) Sex Offender Treatment Information
- (10) Classification Appeals
- (11) Orientation
- (12) Pre-Release Probation
- (13) Risk Assessment
- (14) Initial Classification Custody Form
- (15) Reclassification Custody Forms
- (16) Request for Reduction in Custody
- (17) Violent Offender 48 Hour Progress Notes
- (18) SAP
- (19) SOTP
- (20) Mental Health Intake
- (21) Assessment Intake
- (22) Program Statement
- (23) Psychological/Psychiatric Referrals
- (24) Self-Mutilation Check List

c. Movement Information

- (1) Cover Sheet
- (2) Transfer Recommendation and Authorization Forms
- (3) Transfer Medical Clearance
- (4) Notice of Furlough

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- (5) Furlough Application
- (6) Furlough Code of Conduct
- (7) Authorization for Hospital/Medical Trips
- (8) Conflict Notification Forms/Special Notice - First Document Visible in Section
- (9) Security Threat Group and Security Threat Group Validation Form
- (10) Conflict Questionnaire
- (11) Conflict Resolutions
- (12) Funeral Trip Memos

d. Custody/Disciplinary Information

- (1) Notification of Additional Charges
- (2) Order for Appearance of Prisoners
- (3) Physical Identification Forms
- (4) Incident Reports
- (5) Pre-hearing Detention Forms
- (6) Record of Interviews - The cover sheet for this section
- (7) Protective Custody Forms
- (8) Detainers/Holds & Related Material - To be placed under Divider Marked "Detainers", at bottom of section
- (9) IAD Forms
- (10) Warden's Warrant
- (11) Waiver of Extradition
- (12) Extraordinary Occurrence Reports
- (13) Identification Sheet
- (14) Court Trips

e. Miscellaneous Information

- (1) Academic/Vocational School Diplomas Received During Incarceration
- (2) Letters and Correspondence Not Pertaining to Parole
- (3) Work Reports
- (4) Meritorious - Educational Good Time Recommendations
- (5) Good Time Restoration Forms
- (6) Notification Requests (Victim)---Bottom of Section
- (7) Notification Divider Sheet
- (8) GED Scores
- (9) DNA
- (10) Sex Offender Regulations
- (11) Media Release
- (12) Certificate of Completed Programs
- (13) Restoration of Civil Rights Forms
- (14) MGT/EGT/SGTR

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- (15) Orientation Form
- (16) Student Multi-purpose Referral
- (17) Pork Substitute Form
- (18) Forwarding Address Form
- (19) Visiting Lists
- (20) GED Certificate
- (21) Open Records Requests
- (22) Release Clearance

f. Admission, Time and Sentence Data

- (1) Commitment Orders/Judgments
- (2) Court Orders
- (3) Sheriff's Receipt
- (4) Prisoner Intake Notification (PIN) Forms
- (5) Resident Record Card (Current Updated Copy)(on top)
- (6) Custody Time Credit
- (7) Status Change
- (8) Notice of Discharge
- (9) Shock Orders
- (10) Information Citation Number

3. For inmates admitted prior to May 7, 2007, the institutional inmate record shall include a duplicate copy of the above records and the institutional Offender Information Supervisor shall be responsible for maintaining, and reviewing the institutional inmate record to ensure that it is current and accurate.

4. The Central Office inmate record and institutional inmate record may be retained in electronic form by incorporating all existing records into the inmate's electronic inmate record.

5. For an inmate admitted on or after May 7, 2007, or for any documents created on or after May 7, 2007 for an inmate admitted prior to May 7, 2007, the document shall be retained in the electronic inmate record and organized in one of six (6) categories:

a. Classification

- (1) 48 hour notice
- (2) Classification Appeal
- (3) Conflict Questionnaire
- (4) Conflict Resolution
- (5) CPTU Segregation Contract
- (6) CPTU Treatment Plan
- (7) CPTU Voluntary Form

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- (8) Criminal History
- (9) Custody Classification Form Signed
- (10) General Correspondence (Classification)
- (11) Goodtime Restoration
- (12) Inmate Family Emergency Notification Form
- (13) LSCMI Score/Plan
- (14) Miscellaneous (Classification)
- (15) OJT Form
- (16) Orientation
- (17) Protective Custody Form
- (18) Protective Custody Refusal
- (19) Receipt of Handbook
- (20) Request for Special Reclass
- (21) Request for Special Reclass
- (22) Transfer Authorization Form
- (23) Waiver of 48 hour notice

b. Judgments/Detainers/Legal

- (1) Administrative Remedy Request/Response
- (2) Central Office Records
- (3) Court Orders (Other)
- (4) Court Orders (Sentencing)
- (5) Custody Classification Form Signed
- (6) Detainer
- (7) Documentation of Time Custody Sheet
- (8) Executive Clemency
- (9) General Correspondence (Records)
- (10) Hold
- (11) Inmate Grievance
- (12) Institution Records
- (13) Miscellaneous (Other)
- (14) Miscellaneous (Records)
- (15) Open Records Request/ Response
- (16) Orders for Appearance
- (17) Warrant

c. Parole/Release

- (1) Classification Appeal
- (2) Custody Classification Form Signed
- (3) Custody Classification Form Signed
- (4) General Services Psychological Evaluations
- (5) Home Incarceration Application
- (6) Mandatory Reentry Supervision
- (7) Miscellaneous (Parole/ Release)

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- (8) Notice of Discharge
- (9) Parole Board Correspondence
- (10) Parole Board Reading Material
- (11) Parole Board Vote sheets
- (12) Parole Certificate
- (13) Parole Risk Assessment
- (14) PPPR
- (15) Presumptive Parole
- (16) PSI
- (17) Sex Offender Conditional Discharge Plan
- (18) Supv. LSCMI Score/Plan
- (19) Victim Impact Statement/Letter
- (20) Victim Notification Letter

d. Programs

- (1) College Diploma
- (2) Custody Classification Form Signed
- (3) Educational Good Time Form
- (4) GED
- (5) General Correspondence (Programs)
- (6) Miscellaneous (Programs)
- (7) Pathfinders
- (8) Prerelease Program
- (9) SAP Acceptance
- (10) SAP Appeal
- (11) SAP Completion
- (12) SAP Non-acceptance
- (13) SAP Termination
- (14) Sex Offender Treatment Program Report (SOTP)
- (15) SOTP Acceptance
- (16) SOTP Appeal
- (17) SOTP Completion
- (18) SOTP Non-acceptance
- (19) SOTP Termination
- (20) Vocational Diploma

e. Security

- (1) 48 hour notice
- (2) Authorization to delete visitor(s) form
- (3) BCR
- (4) Bedside/ Funeral Visit
- (5) Controlled Work Assignment Form
- (6) Custody Classification Form Signed
- (7) Detention Order

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- (8) Emergency Notification
- (9) EOR
- (10) Jail Report for Disciplinary Violation
- (11) Media Release Form
- (12) Miscellaneous (Security)
- (13) Occurrence Report
- (14) Removal of Visitation Restriction
- (15) Request for Special Reclass
- (16) Transportation Alert Review
- (17) Visitation Restriction
- (18) Visiting Information Form

f. Offender Standard Forms

- (1) Affidavit to Revoke
- (2) Client Profile Report
- (3) Conditions of Supervision
- (4) Custody Time Credit
- (5) Detention Order
- (6) Disciplinary Report - Part I
- (7) Disciplinary Report - Part I (Prior)
- (8) Disciplinary Report - Part II
- (9) Disciplinary Report - Part II (Prior)
- (10) Escape Notice Flyer
- (11) Final Disposition Hearing Note
- (12) Final Parole Revocation Hearing Note
- (13) Grievance Acknowledgement Letter
- (14) Grievance Investigation Worksheet
- (15) Grievance Warden response Letter
- (16) Initial Custody Classification
- (17) Interstate Transfer Request
- (18) ISC Investigation Request
- (19) MRS Results of Final Revocation Hearing
- (20) MRS Revocation Hearing Note
- (21) MRS Violation Warrant
- (22) Parole Board Assessment Summary
- (23) Parole Denied Order
- (24) Parole Recommended Order
- (25) Parole Violation Warrant
- (26) Pre-Parole Progress Form
- (27) Pre/Post-Sentence Investigation (PSI)
- (28) Prisoner Status Change
- (29) Probation Revocation PSI Update
- (30) PS Results of Final Revocation Hearing
- (31) PS Revocation Hearing Note
- (32) PS Violation Warrant



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- (33) Re-Classification Custody
- (34) Reply to ISC Transfer Inv. Req.
- (35) Request for Reduction in Custody
- (36) Results of Final Disposition Hearing
- (37) Results of Parole Revocation Hearing
- (38) SOCD Results of Final Revocation Hearing
- (39) SOCD Revocation Hearing Note
- (40) SOCD Violation Warrant
- (41) SOPS Results of Final Revocation Hearing
- (42) SOPS Revocation Hearing Note
- (43) SOPS Violation Warrant
- (44) Special Supervision Report
- (45) Supplemental Investigation (PSI)
- (46) Transfer Authority
- (47) Transfer Request (In-State P&P)
- (48) Travel Permit
- (49) Victim Notification
- (50) Violation of Supervision Report

D. Security and confidentiality of the inmate record

1. The Central Office inmate record and institutional inmate record shall be maintained in the Offender Information Services Office behind a secure door, or any other secured area designated by the Managing Official.
2. The Offender Information Services Office shall remain locked other than normal working hours when Offender Information staff is present.
3. An inmate record shall not be removed from the Offender Information Services Office unless transported by the Managing Official or designee or as ordered by the Office of Support Services.
4. Removal of any hard copy inmate record shall be noted with the inmate's DOC number, the date, and the name of the person removing the file. While in use, the hard copy inmate record shall be replaced with a place holder listing this information.
5. a. Personnel having unlimited access to the Central Office inmate record:
  - (1) Managing Official
  - (2) Offender Information Services Staff
  - (3) Legal Services Staff
  - (4) Parole Board Members and Staff
  - (5) Office of Adult Institutions Staff
  - (6) Public Information office Staff

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- (7) Contract Management Staff
- (8) Ombudsman’s Office Staff
- (9) Central Office Probation and Parole Staff
- (10) Office of Victims Services Staff
- (11) All other persons approved in writing by the managing official

- b. Institutional policy shall govern access to the institutional inmate record.
- c. Full or partial access to the electronic inmate record shall be determined based upon staff work assignment. Access beyond that of typical staff with the same work assignment shall be approved in writing by the Central Office Offender Information Services Branch Manager.

- 6. An inmate may obtain information from the inmate record to the extent allowed by KRS 61.870 – 61.884 and CPP 6.1.
- 7. Prior to dissemination authorized by KRS 61.870 – 61.884 and CPP 6.1, information contained in the inmate record shall be carefully evaluated to ensure the release of information will not endanger either the inmate or others and is not prohibited by law.

E. Transfer of the active institutional inmate record

- 1. All judgments, pre-sentence investigations and summary information pertinent to the custody and control of an inmate shall be retained as part of the inmate’s electronic inmate record.
- 2. A complete existing institutional inmate record shall be incorporated with the electronic inmate record within three (3) business days of an inmate’s transfer to another facility.

F. Retention of Inactive Inmate Records

Upon final discharge of the inmate from the custody of the Department:

- 1. The electronic inmate record shall be maintained permanently in electronic form.
- 2. The Central Office inmate record shall be incorporated into the electronic inmate record to be maintained permanently and the Central Office inmate record hard copy file shall be destroyed.

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3. The institutional inmate record shall be incorporated into the electronic inmate record to be maintained permanently and the institutional inmate record hard copy file shall be destroyed.

G. Use of Committed Name – Name Change

1. If an inmate obtains a legal name change by court order or other valid legal process after commitment to the DOC, the inmate may provide a copy of the name change order or other valid legal process to the Offender Information Services Office at his institution to register the name as an alias in the inmate record. The inmate shall continue to use the original committed name and inmate number on all forms for or correspondence with the DOC, but may also use the legally changed name as well.
2. An inmate may use an alias on documents to and for the DOC if the committed name and number are used first.