

 <p style="text-align: center;">KENTUCKY CORRECTIONS Policies and Procedures</p>	Policy Number	Total Pages
	Date Filed	Effective Date
Authority/References KRS 439.480, 439.420, 439.310, 439.380, 61.872 P&P ACA 3A-27, 3D-28, 3D-29, 3D-30	27-03-01	4
	*	June 30, 2017
	Subject CASE RECORD MANAGEMENT	

I. DEFINITIONS

“Case Folder” means a manila folder with fasteners on both sides to hold documents of offender information.

“Case Record” means the record of an offender in the Offender Management System.

“Kentucky Offender Management System (KOMS)” means the case management system of the Kentucky Department of Corrections.

II. POLICY and PROCEDURES

A. A case record shall be maintained in the Offender Management System on all offenders under supervision. Information shall be released only to persons authorized by appropriate regulations or as required by statute.

B. The Case Folder shall list the last name (court name), first name and middle name, the date of birth and the type of case.

C. Method of Filing

1. All case folders are to be filed alphabetically. The inactive shall also be filed alphabetically but separate from the active case folders.

2. Upon ensuring that all required documentation has been uploaded to the case management system, the case folder shall be closed and disposed of.

D. Organization of Case Folder

Case folder shall be kept neat and orderly.

1. Supervision related documents shall be retained on the right side of the folder in chronological order ending with current supervision materials.

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2. Releasee reports shall be retained on the left side of the case folder. At minimum, twelve (12) months of releasee reports shall be retained. (3D-30)

E. Kentucky Offender Management System (KOMS)

1. Offender information shall be entered into the offender management system in the following sections and updated as changes occur:

Supervision History
Court Orders
Sentence Components
Supervision Fees and Offender Payee Accounts
Special Conditions
Risk Assessments
Supervision Contacts
Supervision Cautions
Drug Tests
Pre-Sentence Information
Offender Demographics
Offender Photograph
Residential History
Telephone Numbers
Relatives
Employment History
Educational History
Vehicle History
Military Service History
Arrest History
External Movement
Scanned Documents
Investigation Alerts
Transfers
Parole Plan
Investigations
Victim Information
Offender Standard Forms
Program Referrals
Violations Screen
Case Management Plan

2. Mandatory entry of all contacts with offender shall occur within three (3) working days.

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3. Supervision documents shall be entered or uploaded into the case management system and updated, as changes occur. (3D-29)

E. Security

All records not in use shall be secured under a minimum of one lock (individual office door or cabinet). All records in use shall be directly supervised and controlled by an agency employee. No unauthorized person(s) shall access a record. (3D-28)

F. Privacy of Case Records

Release of information contained in the offender's record or the case folder, is to conform to CPP 6.1 (Open Records Law) as required by statute. (3D-28) Information pursuant to KRS 439.510 shall not be subject to Open Records.

G. Records Review

The policies and procedures for governing case record management shall be reviewed at least annually.

H. Case Audit

1. Case audits shall be completed annually. Each caseload shall have, at minimum, ten (10) cases audited annually by the supervisor.
2. Case audits shall include a field, office, court, or community audit every year.
3. Investigative performance audits shall be conducted as needed.
4. Administrative caseload audit checklists shall be completed annually on administrative cases. Each administrative caseload shall have, at minimum, ten (10) cases audited annually by the supervisor.
5. Case audit results shall be reviewed with staff for employee performance review. (3A-27)

I. District Records Review

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The supervisor shall review case management of the district each month through offender management system reports.

J. Retention and Disposal Schedule

Upon ensuring that all required documentation has been uploaded to the Offender Management System, remaining paper copies shall be securely disposed of. Case records shall be retained in the Offender Management System for the length of time specified in the applicable State Retention and Disposal Schedule for the Corrections Cabinet prepared by the Archives and Records Center. The records shall also be destroyed in the manner set forth in the schedule. (3D-28)