
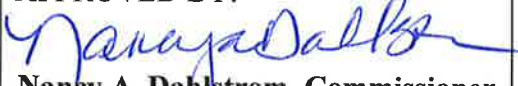


STATE OF ALASKA DEPARTMENT OF CORRECTIONS  POLICIES & PROCEDURES	SECTION: Administration		PAGE: Page 1 of 12
	CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
	TITLE: Prisoner Case Record Management		
	APPROVED BY:  Nancy A. Dahlstrom, Commissioner		DATE: 01/21/2020
ATTACHMENTS / FORMS: A. Observation Cumulative B. Authorization for Release of Case Record Information		AUTHORITY / REFERENCES: 22 AAC 05.090 22 AAC 05.095 AS 33.30.011 AS 33.30.211	

POLICY:

- I. It is the policy of the Department of Corrections (DOC) to have in place uniform procedures for the management of prisoner case records within the institutions.
- II. The Chief Time Accounting Officer will be responsible for oversight and management of prisoner case records to include usage and standardization training for institutional employees.
- III. It is the policy of the Department that individual records containing relevant information on each prisoner shall be maintained in a case record folder in accordance with applicable Alaska Statute (AS) and Alaska Administrative Code (AAC). Information contained in the case record will be released only to authorized persons in accordance with 22 AAC 05.095 and this policy.
- IV. It is the policy of the Department that prisoner case records shall be stored in a secure manner and in an area protected from unauthorized access.
- V. It is the policy of the Department to use the 'Letter' (8.5" X 11") size format for prisoner case records.

APPLICATION:

This policy and procedure will apply to all Department employees, contractors, or consultants associated in any way with research of any program, activity, or group within the Department.

This policy does not apply to records managed by the Division of Probation, Parole and Pretrial as those records are managed per DOC P&P 603.01 (Case Record Management), nor Health and Rehabilitation Services, as those records are managed per DOC P&P 807.06 (Health Care Record).

DEFINITIONS:

As used in this policy, the following definitions shall apply:

SUPERCEDES POLICY DATED:	08/08/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 2 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

Prisoner Case Record:

An official record containing relevant documents and materials relating to an individual prisoner which is maintained by DOC employees. The official record is maintained with continuous documentation and materials as the prisoner moves through the institution(s).

Active Case Record:

A prisoner case record that is open and containing documentation of a prisoner's current incarceration.

Pending Case Record:

A prisoner case record that is deactivated temporarily due to pretrial release such as bail/bond, PACE, or escape.

Inactive Case Record:

A prisoner case record that is closed due to dismissal, sentence expiration, open court probation, felony probation/parole supervision, or death; includes files in historical archive.

PROCEDURES:

I. Prisoner Case Record Initiation:

- A. 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 management system as it pertains to the prisoner.
- B. A prisoner case record must be opened at the time of initial prisoner commitment, and a corresponding record must be created in DOC's offender management system. The designated institutional records custodian is responsible for maintaining the prisoner case record at the holding institution, and updating the location and status of the record in the offender management system, in accordance with the following requirements:
 1. Prisoner case records will be maintained in a four-part classification folder. Two-part manila folders may be used for newly remanded and unsentenced prisoners.
 2. Case information for unsentenced and short-term sentenced prisoners – less than six (6) months – may remain in a two-part manila folder, unless the volume of paperwork requires transfer to a larger, four-part classification folder.
 3. Except as noted in 2 above: upon sentencing, and prior to designation, the prisoner case record must be transferred to a larger, four-part classification folder in accordance with Procedures section II, below.
 4. All folders must be right-hand opening with identification tab on the right cover showing the prisoner's name, offender number, and date of birth.

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 3 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

5. Folders must be filed and maintained by surname in alphabetical order.
 6. All case material must be filed within 48 hours of creation or receipt, or on the next business day after a weekend or holiday, unless specified otherwise.
 7. Court documents must be filed immediately upon receipt.
 8. The case record may contain controlled access documents. Such documents shall bear a CONFIDENTIAL identifier stamped on the first page or the face sheet but shall not be contained in an envelope or folded to mask the confidential information (i.e. victim notifications, PREA risk assessments). These documents are not subject to routine access under Procedures section IV, below.
- C. A classification file, separate from a prisoner case record, will be established and maintained by or through Central Classification in accordance with DOC P&P Chapter 700 (Classification).

II. Prisoner Case Record Content and Organization:

- A. Two-part manila folders will be maintained and organized according to paragraphs C through J below, except as noted in paragraph E.
- B. Each prisoner case record will be maintained in a four-part folder with one center leaf. File folder specifications are as follows:
 1. Cardboard, moisture resistant covers with center leaf attached;
 2. Cloth reinforced, expanding hinge;
 3. Metal fastener on each folder page; and
 4. Brown / earth red in color.
- C. The identification label and authorized special notations on a prisoner case record folder must be in conformance with the following:
 1. 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. The prisoner's date of birth will be entered below or to the right of the offender number.
 2. 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

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 4 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

labeled as described above. The identification label, or an additional label affixed near the identification label, must also indicate the folder as "two of two", "three of three", etc.

D. Generally, with exceptions noted in G, H, and I, below, the material maintained in the folder will be in chronological order of document creation and in accordance with the following criteria:

1. Duplicates will 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.
2. Documents 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.
3. 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. Adhesive tabs may be used to flag documents. They must be marked legibly and aligned neatly, not protruding past any edge of the file folder.

E. Two-part folders must be organized by subject matter: and the two (2) sections will be distinguished as follows:

1. Section one (1), inside of left cover;
2. Section two (2), which is comprised of sections 2, 3, and 4 below; inside of right cover.

F. The four-part case record folder must be organized by subject matter; and the four (4) sections will be distinguished as follows:

1. Section one (1), inside of left cover;
2. Section two (2), inside of center leaf opposite section one (1);
3. Section three (3), inside of center leaf opposite section four (4); and
4. Section four (4), inside of right cover.

G. Folder section one (1) will contain all legal documents, court judgments and orders, Parole Orders, remands, and Federal Bureau of Investigation (FBI) or Alaska Public Safety Information Network (APSIN) print outs:

1. The bottom document is always the current NCIC, FBI or APSIN print out.

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 5 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

2. All other legal documents will be filed in ascending chronological order, the oldest on bottom (on top of the applicable remand document) and the most current on top, including Parole Orders, as appropriate.

H. Folder section two (2) will contain detainers and central monitoring actions, booking records, remand property inventories, and pre-release checklists and associated release documents placed chronologically in the following order:

1. Active detainers or central monitoring documentation, if any, on top;
2. Pre-release checklist. Upon release, the pre-release checklist shall become the top-most document, on top of all other release documentation – Notification of Release to Supervision form, domestic violence victim notification, DNA and sex offender registration paperwork, and Release Transportation Request or Waiver form;
3. Booking record – in the absence of an active detainer or central monitoring documentation, the booking record is the top-most document for active files;
4. Remand property inventory – if used;

I. Folder section three (3) will contain, in the following order:

1. The topmost document shall be the current Time Accounting Record (TAR) which shall be placed in a clear plastic sheet protector. Previous TARs may be grouped directly below the current TAR and within the same clear plastic sheet protector.

Note: In two-part manila folders the TAR is placed directly below the current booking record.

2. Classification documentation; PREA Risk Assessments; disciplinary documents, including disciplinary reports and disciplinary reports made informational; segregation admission / release documents; Individual Determination of Restriction forms; furlough documentation; statutory good time forfeiture / restoration paperwork; parole progress reports; institutional program participation reports; substance abuse assessments; restoration of voting rights; victim notifications; and interstate compact documentation; in ascending chronological order.

J. Folder section four (4) will contain:

Information reports, except disciplinary reports made informational; letters, memorandums; grievances; electronic monitoring applications, denials, and appeals; Request For Interview forms; prisoner mail notices; visitor applications / requests; housing waivers; program completion certificates; UA documents other than those referred to disciplinary; property forms and receipts (other than the remand inventory); Offender Trust Account forms and receipts; job applications; any Observation Cumulative (attachment A) filed in ascending chronological order.

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 6 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

III. Prisoner Case Record Security:

- A. 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 system shall be developed that will indicate the date removed and the name of the employee who removed it and maintained near the place of the case record.
- B. 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.
- C. Case records may be signed out and hand carried by authorized employees for work-related court appearances, such as Grand Jury testimony.

IV. Prisoner Case Record Access:

A. Release of Information to a Prisoner, Prisoner's Attorney or Attorney's Agent:

1. 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.
2. 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:
 - a. Access to the following records, marked "CONFIDENTIAL" in accordance with Section I., B., 8., above, may be denied:
 - i. Individual voting records of classification or disciplinary committees and those of the parole board;
 - ii. Identity of informants or information given in confidence;
 - iii. FBI or APSIN print-outs;
 - iv. Maps, diagrams or photographs of the physical layout of the institution or descriptions of security procedures;
 - v. Those portions of pre-sentence reports that the court specifically defines as confidential;

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 7 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

- vi. 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, litigation, or otherwise treated as confidential under the attorney-client privilege;
- vii. Any document or report containing medical, 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;
- viii. 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 an institution, or disclose the Department's position in litigation; and
- ix. 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.

3. 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. TAR;
- 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

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 8 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

with respect to testimony covered under Procedures IV.A.2.a, above;

- 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 Procedures IV., A., 2., a, above.
4. Denial of access to any of the records or documents set out in Procedures IV., A., 2., a, above, does not affect the prisoner's right to access any other records contained in the case record.
 5. 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.
 6. 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.
 7. If a prisoner's request to review their records is received at least three (3) 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.
 8. 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.
 9. 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 DOC P&P 808.12 (Photocopying for Prisoners).
 10. A prisoner may address complaints regarding case records or access in accordance with DOC P&P 808.03 (Prisoner Grievances).

V. 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.

1. Information that is confidential due to the prisoner's right to privacy may be released if the

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 9 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

prisoner has first authorized the release by completing and signing an Authorization for Release of Case Record Information (attachment B). A copy of the release form shall be maintained in the prisoner's case record.

2. 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 using methods that reduce the risk of injury or embarrassment to an individual. The benefit to the individual or agency should clearly outweigh such concerns.
3. 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 an institution, or are otherwise confidential by law. Case record access or document reproduction costs will be paid by the individual making the request.
4. Public Information:
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, and sex;
 - b. Offender number;
 - c. Offender Location (unless at a treatment facility, API, or hospital);
 - d. Offense of conviction or charge;
 - e. Movement history;
 - f. Escapes and recaptures;
 - g. Sentencing information including length; and
 - h. Presence or absence of detainees.

VI. Prisoner Case Record Transfers:

- A. 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. When the prisoner is transferring to a non-DOC facility, the active prisoner case record will not be sent. A temporary file must be created containing the following records –

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 10 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

at a minimum – to be transferred with the prisoner:

1. Documentation sufficient to maintain custody and sustain jurisdiction;
2. Medical records necessary to ensure proper medical care and medication; and
3. Copies of commitment papers.

B. All case records and file folders for prisoners will be transferred as follows:

1. 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.
 - a. When files are to be mailed, they must be sealed with ‘red’ tamper-evident security tape.
 - b. Only the addressee will open the package. All intermediate handlers will forward the package unopened to the addressee.
2. Prior to transmittal, the offender management system will be updated for each individual file to reflect the date of transmittal, the intended destination, and the reason for transmittal.
3. Active 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.
4. 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 out of state.
 - a. Copies of appropriate documents from the prisoner case record must be carried by the transporting officers to the receiving institution or facility.
5. Pending case records, resulting from pre-trial release, escape, or other deactivating circumstance when an individual is under the jurisdiction of an institution or likely to return to the jurisdiction of the institution, will be retained on-site for two (2) years or until the case is closed, whichever occurs first.
 - a. After two (2) years, the file may be packaged and sent via insured mail, return receipt requested, or hand carried to Central Records at the Juneau Central Office for long-term retention.

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 11 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

- b. 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.
 - c. Case records transitioning from active to pending, and pending to re-activated, must be updated in the offender management system.
6. Within three (3) working days of a prisoner's release to probation / parole supervision, case records must be sent via insured mail, return receipt requested, or carried to the supervising office.
 7. The case records for furloughed prisoners in the Anchorage area will be forwarded to the Furlough Unit at Anchorage Central Office within one working day. If the furlough placement is outside of the Anchorage area, the prisoner case record must be updated within three (3) working days of the prisoner's departure and sent by insured mail, return receipt requested, or hand carried to the supervising institution.
 8. Upon receipt, the offender management system will be updated for each individual file to reflect the date of receipt, the file location, and the reason or status of the file.

VII. Prisoner Case Record Reviews:

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

VIII. Prisoner Case Record Transfer to Central Records:

- A. 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. Inactive and closed prisoner case records must be sent via insured mail, return receipt requested, or by another trackable delivery method to Central Records at the Juneau Central Office within a reasonable time following the closure of a record. Prior to shipping, the file(s) must be assigned an archive box number in the offender management system.
- C. There are two (2) different shipping addresses, depending on the number of boxes being transferred:
 1. If an institution has six (6) or fewer boxes, the boxes must be sent to:

Alaska Dept. of Corrections
Juneau Central Office
Attn: Central Records
PO Box 112000

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25

SECTION: Administration		PAGE: Page 12 of 12
CHAPTER: 602	NUMBER: 602.01	P&P TYPE: Public
TITLE: Prisoner Case Record Management		

Juneau, AK 99801

2. If an institution has more than six (6) 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

Note: The Shaune Drive 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.

IX. Prisoner Case Record Retention at Central Records:

A case record received by Juneau Central Records will be retained, just as it is received, for two (2) years from the date of receipt. After two (2) years, the contents of the case record will be scanned and electronically stored. A case record may only be retrieved upon receipt of a written request via fax, email or memorandum (telephone calls are not acceptable).

SUPERCEDES POLICY DATED:	07/25/08
THIS POLICY NEXT DUE FOR REVIEW ON:	01/21/25