



Department of Corrections

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division

Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used and maintained by the Department of Corrections. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission).** If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records. This agency-specific schedule was drafted by Department of Corrections personnel and Archives and Records Management Division staff, and reviewed and approved by the Commission. This schedule provides the legal authority for the Department of Corrections to destroy the records listed, after the appropriate retention periods have passed.

Department of Corrections personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for the Department of Corrections.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

This retention schedule covers the content of records created by the Department of Corrections, including records created or stored using computers and computer systems. The *General Schedule for Electronic and Related Records* applies to records related to computers or a computer system. Examples of these include system documentation and use records, backup files, or website format and control records.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings or open records matters. These records must be retained at least until all legal or

investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Department of Corrections

The Department of Corrections (DOC) is governed by KRS Chapters 196 and 197. DOC is responsible for managing the daily operations of the state correctional institutions, private prisons, and a variety of community based services; providing secure, humane incarceration for felony offenders; supervising probation and parole; and offering an opportunity for offenders to acquire skills that facilitate non-criminal behavior.

The Department of Corrections consists of the following units: **Division of Personnel Services** – provides human resources administration; **Division of Administrative Services** – provides administrative support in areas of budgeting, accounting, purchasing, facilities management, inventory, research, planning, central offender records and personnel management; **Division of Probation and Parole** – provides investigative services to the courts and Parole Board, rehabilitation services to offenders, and assistance in employment and home placement. Various duties include court appearances and testimony, reports to the releasing authorities, home visits, drug and alcohol testing, transportation of prisoners, referral of offenders to appropriate resources, and monitoring payment of fees, restitution and community service work. The Division of Probation and Parole is also responsible for the administration of the Interstate Compact which transfers cases between states, the placement office which assists incarcerated offenders with proper home placements, and the processing of Civil Rights Restoration requests submitted by ex-offenders; **Division for Local Facilities** – responsible for jail inspections, jail standards review and enforcement regulations, technical assistance to local governments, approval of construction plans, and the community residential program; **Department of Correctional Industries** – responsible for operating all correctional industry programs, providing inmates with a realistic work experience and teaching marketable skills, which will improve their chances for securing gainful employment upon release, thus reducing recidivism and lowering the Commonwealth's resource commitment for maintaining the prison system; **Office of Victim Services** – responsible for assisting victims and survivors throughout the duration of the offender's incarceration and supervision; provide essential, victim-related services including: explanation of inmate release dates and release type, restitution information, awareness training for criminal justice and other victim service professionals, referrals, and victims' rights services.

RECORDS RETENTION SCHEDULE

Signature Page

Department of Corrections	September 10, 2009
Agency	Schedule Date
Adult Institutions	September 10, 2020
Unit	Change Date
	September 10, 2020
	Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:

DocuSigned by: <i>Cookie Crews</i>	9/1/2020
Agency Head	Date of Approval

DocuSigned by: <i>Jerry Sudduth</i>	8/24/2020
Agency Records Officer	Date of Approval

State Archivist and Records Administrator Director, Archives and Records Management Division	Date of Approval
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DocuSigned by: <i>Terry Manuel</i>	9/10/2020
Chairman, State Libraries, Archives, and Records Commission	Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:

DocuSigned by: <i>Taylor Metzging</i>	8/19/2020
Records Analyst/Regional Administrator	Date of Approval

DocuSigned by: <i>Jennifer Patterson</i>	8/19/2020
Appraisal Archivist	Date of Approval

DocuSigned by: <i>CW</i>	8/19/2020
State/Local Records Branch Manager	Date of Approval

The determination as set forth meets with my approval.

DocuSigned by: <i>Farrak Pether</i>	9/10/2020
Auditor of Public Accounts	Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety Cabinet
Corrections, Department of

**Record Group
Number
0635**

Series	Records Title and Description	Function and Use
02990	Inmates and Releases	This series identifies the listing of all inmates and release dates for each inmate. The information is used by the Department of Corrections Central Office for tracking purposes for time served and eligibility dates for probation or parole. The list is an Excel spreadsheet for the tracking purpose; however, the information has public access via the Department of Corrections web site known as "KOOL" (Kentucky Offender Online Lookup) and this site also has a photograph of the inmate. The information is updated daily.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of inmate; identification number; photograph; conviction(s) and KRS cite; county of conviction; institution name; probation/parole date, if applicable.
	Retention and Disposition	Retain permanently in Agency.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

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**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety Cabinet
Corrections, Department of
Administrative Services

**Record Group
Number
0635A**

Series	Records Title and Description	Function and Use
02967	Inmate Canteen Reports	This series identifies the records at each institution canteen pursuant to KRS 196.270. Inmates may purchase items from the canteen and the amount is subtracted from the inmate account. KRS 196.270 further states institutions are provided with an annual financial status report informing the institution that Kentucky Centralized Inmate Commissary, Inc. has independently audited the canteen funds annually using standard auditing procedures. Profits from the canteen and any vending system connected with the canteen shall be used exclusively for the benefit of the inmate.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of institution; name of inmate and account balance; date and total of purchase by inmate; canteen financial report
	Retention and Disposition	Retain in Agency three (3) years; destroy after audit.
02970	Fire and Safety Inspection Reports (V)	This series documents the Fire and Safety Report of each institution and local jails and is conducted and prepared by the Fire Marshall's Office. Standards for compliance are established in National Fire Protection Association 101 Life Safety Code, Fire Safety in Correctional Institutions; American Correctional Association Accreditation - Policy Numbers 4-4124, 4-4211, 4-4214 and KRS 227.223 for local jails. The Fire and Safety Report ensures that the facility has provided maximum protection against injuries and fatalities from fire, including limiting quantity and storage of fuels, the use of lighters, use of appliances and extension cords, displaying fire evacuation plans, conducting fire drills, the installation of automatic sprinkler systems and alarm systems, posting of Fire Bills near all normal exits, fire extinguishers, emergency telephones and conducting fire safety training. Inspections and training are conducted annually.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date and time of inspection, inspector's name, facility and address, non-compliance issues (if applicable), Final Inspection Report, evacuation plans, fire drill dates, location of fire bills, extinguishers, alarm systems, and dates of fire safety training.
	Retention and Disposition	Retain in Agency for nine (9) years, destroy.
02973	Map of Institutions (Area) - (Duplicate) - (Original in Finance and Administration Cabinet)	This series documents the copies of maps of each correctional institution, including surrounding area. The maps are also located at Finance and Administration Cabinet as well as Department of Corrections Central Office in Frankfort, Kentucky.
	Access Restrictions	KRS 197.025 (1) and (6) - institutional information for security purposes. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Drawings of facility, including identification of buildings, locations of hazardous substances, arsenal, fuel storage, power supply; roads, and if applicable waterways and railways
	Retention and Disposition	Retain permanently in Agency.

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Corrections, Department of
Administrative Services

Record Group
Number
0635A

Series	Records Title and Description	Function and Use
02977	Drawings and Blueprints of Buildings - (Duplicate) - (Original in Finance and Administration Cabinet) (V)	This series identifies records of drawings and blueprints of buildings at each institution, including private institutions contracted by Commonwealth of Kentucky and local jail facilities. The drawings and blueprints identify the location of the buildings, electrical, water and sewer locations, fire and smoke alarms, security systems, sprinkler systems, entrances, exits, doors, windows, inmate housing and recreation areas, security points. The drawings and blueprints are essential to maintain safety and security measures.
	Access Restrictions	KRS 197.025 (1), (5) and (6). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Drawing or blueprint of institution area, drawing or blueprint of each building including location of electrical and water supply, sewer, underground tunnels, security systems, fire extinguishers, smoke and fire alarms, entrances, exits, doors, windows, inmate housing, recreation and cafeteria areas, canteen area, library, garden, barns, and any area associated with institution property
	Retention and Disposition	Retain in Agency for ten (10) years; destroy
05015	Community Corrections Grant Program File	This series documents the granting of funds by the Department to community corrections programs, under the Community Corrections Act. The funds are administered by the Kentucky State Corrections Commission, as provided for in KRS 196.705. Locally incorporated boards are eligible, through application, to the Commission to receive a portion of the available funds. Community corrections programs are responsible for providing services for targeted offenders that include one or more of the following: 1) preparing detailed community penalty plans for presentation to the prosecution, the sentencing judge, and by the offender's attorney; 2) providing treatment, punishment, management, supervision, rehabilitation, mentoring, employment, and other services to targeted offenders, or contracting or arranging with public or private agencies for services for targeted offenders, as described in community corrections plans; and 3) monitoring the progress of offenders under community penalty plans. The purposes of the programs are to impose community-based sanctions in light of the needs of crime victims and the community to reduce prison overcrowding and improve management within the Department by providing the judicial system with sentences to be used in lieu of, at less cost, and to better effect on both victims, the community, and the offender than punishment (KRS 196.700 - 196.735).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Grant award document; quarterly performance reports; grant application; budget revisions; and related correspondence
	Retention and Disposition	Retain in Agency five (5) years; destroy.

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety Cabinet
Corrections, Department of
Adult Institutions

**Record Group
Number
0635**

Series	Records Title and Description	Function and Use
02982	Offender Record - Master File	This series documents the incarceration of persons in all adult correctional institutions in Kentucky. Each institution is required to send copies, or in some cases originals, of most documents filed in the Inmate File (03016) to the Offender Records Section. The offender record is created by the section and is used to track the progress of each inmate throughout their stay in the correctional system in Kentucky. The file stays active until the inmate is released or paroled. It becomes inactive when all time and probation has been served. The offender record allows the department to supervise the inmate's progression in the penal system from the central office level. Once closed, the file is used by the Offender Records Section to provide information to law enforcement agencies, lawyers, or the inmates themselves, and for reference should the inmate come back into the system.
	Access Restrictions	KRS 439.510 and 28 CFR 20.21 (f) (1) (2). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Order for appearance of prisoners; detainees; physical identification forms; incident reports; pre-hearing detention forms; record of interviews; academic/vocational school diplomas received; receipt for property, money; correspondence not pertaining to parole; work reports; meritorious-educational good time recommendations; good time restoration forms; commitment and court orders; sheriff's receipt; medical information; custody time credit; status change; notice of discharge; transfer medical clearance; notice of furlough; furlough application and DNA test results
	Retention and Disposition	Retain in Agency until one (1) year after case closure. Transfer to the State Records Center for nineteen (19) years, then destroy. Total retention is twenty (20) years after case closure.
02988	Case Folders for Inmates Under Interstate Corrections Compact (V)	This series identifies inmates who have been transferred to a Commonwealth of Kentucky corrections institution from a "sending state" in which a conviction or court commitment was had or an inmate from the Commonwealth of Kentucky to a "receiving state" per contract agreement known as the "Interstate Corrections Compact" and defined in KRS 196.610. The contract terms states payment amount for inmate maintenance, extraordinary medical and dental expenses, rehabilitative or correctional services, facilities, programs or treatment not reasonably included as part of normal maintenance. Inmates from the sending state to the Commonwealth of Kentucky are subjected to the same provisions and treatment as all inmates confined in the Commonwealth's corrections institutions. Regular reports are made to the sending state and the Commonwealth receives regular reports. Inmates are entitled to an official review of the record.
	Access Restrictions	KRS 197.025 and KRS 439.510. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of inmate and identification number, copy of court records, sentencing report, contract between Kentucky and "sending" or "receiving" state, name and address of receiving correctional institution, copy of regular reports sent or received and correspondence.
	Retention and Disposition	Retain in Agency and destroy one (1) year after case closure.
03004	List of Inmates on Death Row - (Duplicate) - (Original in Office of General Counsel) (V)	This series identifies inmates who are presently serving time on Death Row at Kentucky State Penitentiary for males and Kentucky Correctional Institution for Women. Inmates on Death Row may also be accessed on the Department of Corrections website, Kentucky Offender Online Lookup (KOOL).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and identification number of inmate, photograph, brief summary of criminal conviction, institution name.
	Retention and Disposition	Retain permanently in Agency, update as needed.

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Justice and Public Safety Cabinet
Corrections, Department of
Adult Institutions

Record Group
Number
0635F

Series	Records Title and Description	Function and Use
03006	Extraordinary Occurrence Report (V)	This series documents the Extraordinary Occurrence Report ("EOR") that is filed with Department of Corrections Central Office when any of the following incidents occur: 1. Death of an inmate, staff or visitor; 2. Escape; 3. Assault on staff, visitor or inmate; 4. Discovery of dangerous contraband; 5. Medical incident involving possible serious physical injury or life threatening illness of staff, visitor or inmate; 6. Use of force by staff; 7. Fire; 8. Destruction or damage to property valued at \$100 or more; and/or 9. Riot/Disturbance. The EOR is completed by senior administrator investigating the occurrence and approved by the Warden or his/her designee. Because some of the information contained in this material could compromise the security and control of inmates and penitentiaries, the Commissioner of the Department of Corrections shall review requests for copies of any of these records and at his/her discretion determine the information that will be accessed by the public or inmates (KRS 197.025).
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date and time of EOR; detailed information re the incident, including names of persons involved; actions taken by Department of Corrections personnel.
	Retention and Disposition	Retain in Agency five (5) years after date of incident, transfer to State Records Center and retain at State Records Center for 15 years, destroy. Total retention is twenty (20) years.
03007	Security Check List (V)	This series identifies the records maintained for security checks. Security checks are performed at the Security Guard Gate on all visitors' mode of transportation to the institutions as well as security checks inside the institution facilities and grounds. Security checks include the search for weapons, contraband, dangerous contraband, drugs, cell phones, and any items that are prohibited at institutions or facilities by Department of Corrections Policies and Procedures and American Correction Association Accreditation standards. In the event the search reveals drugs, contraband, and/or weapons the Kentucky State Police are notified which then becomes a criminal action and becomes a part of the Kentucky State Police record - series number 00145. Security checks are also performed at designated perimeter points at each institution and include observation for disturbances and behavior of inmates.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Security forms for use at Security Guard noting name and purpose of visitor, including date and time of arrival and departure and personnel on duty; Security forms for use at institution buildings and grounds, including at designated perimeter points noting date, time and personnel conducting security check; security checks performed on inmates, including date, time, and purpose of security check, name and identification number of inmate, name of personnel; list of confiscated items
	Retention and Disposition	Retain in Agency one (1) year; destroy.
03008	Department of Health Certificates - (Duplicate) - (Original in Administrative Services) (V)	This series documents the Department of Health inspections and Certificate upon passing the inspection. The Department of Health annual inspection includes but is not limited to checking for cleanliness, number of occupants, plumbing, leaks and for the overall safety for the occupants.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and address of facility; Inspection Report; Date and time of inspection, grade rating; name of inspector; and if applicable, any notice of non-compliance.
	Retention and Disposition	Retain in Agency six (6) years, destroy

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Justice and Public Safety Cabinet
Corrections, Department of
Adult Institutions

**Record Group
Number
0635F**

Series	Records Title and Description	Function and Use
03009	Fire Inspection Reports - (Duplicate) - (Original in Administrative Services)	Information in Series 02970
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	
	Retention and Disposition	Retain in Agency for one (1) year from date of issuance; transfer to the State Records Center for eight (8) years, destroy. Total retention is nine (9) years.
03013	Visitor's Log (V)	This series identifies the sign-in sheets for all visitors to an institution for purposes of security. The visitor's logs are located at the Security Guard Gate at the main entrance and at the main entrance inside the facility noting the date and time of arrival and departure, visitor's name, destination and purpose of visit. Each adult visiting an institution is to be identified and is required to register upon entry to the institution per Department of Corrections Policy 16.2.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Visitor's name; date and time of arrival and departure; destination and purpose of visit; verification of identification; and verification of vehicle searched
	Retention and Disposition	Retain in Agency for five (5) years; transfer to the State Records Center for four (4) years, destroy. Total retention is nine (9) years.
03014	Telephone Call Digital Recordings	This series documents all telephone call digital recordings made or received by inmates at each institution. The institutional phone system used by inmates automatically records all conversations made or received by inmates and automatically erases the conversations after a six (6) month period.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains the digital recordings of inmate telephone calls; Evercom Permission form signed by inmate's family; origination place of call; date and time of call and person ending the call.
	Retention and Disposition	Erased after six (6) months by Securus, the telephone system contracted by Department of Corrections at correctional institutions.
03015	Weapons File (V)	This series identifies the weapons checked out of vault and ammunition issued to Correctional Officers by authorized Department of Corrections personnel. The file will include information on additional weaponry in the event there is a disturbance occurrence. The series is also used if the Warden or other Department of Corrections personnel is traveling and a weapon is required to be worn during working hours or in the event a prisoner is being transported and additional weapons would be necessary. Department of Corrections officers and the Warden have all the powers of peace officers, including powers of arrest, per KRS 196.031.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Person(s) checking out weapon, type of weapon, serial number, date and time of check out and return of weapon, purpose additional weaponry is needed ammunition, weapons qualification log (which is also included in Personnel File - P0002), weapons issue log, pepper spray log, taser log.
	Retention and Disposition	Retain in Agency for one (1) year; transfer to the State Records Center for eight (8) years. Destroy. Total retention is nine (9) years.

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Justice and Public Safety Cabinet
Corrections, Department of
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Number
0635F**

Series	Records Title and Description	Function and Use
03016	Inmate File (Institution) - (Additional information may be found in Offender Record - 02982) (V)	This series documents the incarceration of persons in the adult correctional institutions in Kentucky. Once judgment and sentencing is passed, the person is assessed to determine which institution will best meet the needs of the inmate. The file starts with the judgment and sentencing. The file is then sent to the institution where the person will be incarcerated and will follow the inmate at each move. Each time something is added to the inmate file, including disciplinary reports and Final Decision of Department of Corrections as a result of the disciplinary report, the original or a copy is sent to the Central Office in Frankfort and is included in the Offender Record (02982). The only documents that would not be included in the Offender Record would be housekeeping information such as housing assignments, documentation of the movement from one cell to another, and attendance sheets for inmates who participate in activities at the institutions. If an inmate completes a program at the institution, the certificate of completion would be sent to Frankfort and filed in the Offender Record. The inmate file documents the progress of the inmate's stay in the correctional system in Kentucky. The file becomes closed when all time, probation and pending actions, have been served or upon death of the inmate.
	Access Restrictions	KRS 197.025, KRS 439.510 and 28 CFR 20.21 (f) (1) (2). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Order for appearance of prisoners; detainees; physical identification forms; incident reports; disciplinary reports and Final Decision as result of the disciplinary report; pre-hearing detention forms; record of interviews; academic/vocational school diplomas received during incarceration; receipt for property and/or money; letters and correspondence not pertaining to parole; work reports; meritorious-educational good time recommendations; good time restoration forms; commitment orders; court orders; sheriff's receipt; resident record card; custody time credit; status change; notice of discharge; parole board action sheet; parole reports; parole plans; employment placement verification reports; parole certificates; results of preliminary violation hearings; receipt for return of parole violators; parole violation transport authorization form; parole violation warrant; revocation of parole hearing form; notification of release of inmate; victim impact statements; pre-sentence, post sentence and supplemental investigations; test scores; progressive incarceration plans; progressive incarceration plan updates; classification review records; FBI Sheet; transfer recommendation and authorization forms; notice of furlough; furlough application; furlough code of conduct, DNA results; and photos, including photos of tattoos
	Retention and Disposition	Retain in Agency for five (5) years after case closure; destroy.
03018	Prisoner Payroll Records - (Duplicate) - (Original in Correctional Industries)	This series identifies the compensation received by inmates for work performed outside and inside the correctional institution pursuant to KRS 197.110, 1197.120 and 197.150. The Finance and Administration Cabinet administers the payment to Department of Corrections and Department of Corrections is responsible for payment to the inmate.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of inmate and identification number; Social Security number; name of assigned institution; hours worked and payment, and work period.
	Retention and Disposition	Retain in Agency three (3) years and destroy after audit
03594	Sentence Register	Closed Series: This series documented information on prisoners confined at the Kentucky State Penitentiary at Frankfort (1897-1909, 1921-1926) and the Kentucky State Penitentiary at Eddyville (1891-1912) and is arranged by sentence. The registers record information such as, name, sentence, age, and date received at the prison. The information is grouped into categories such as, negro male prisoners for life and white female prisoners from one to two years.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; date received; race and gender; age; sentence
	Retention and Disposition	Retain permanently in the State Archives Center

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Justice and Public Safety Cabinet
Corrections, Department of
Adult Institutions

**Record Group
Number
0635**

Series	Records Title and Description	Function and Use
03595	Crime Register	Closed Series: This series documented information on prisoners confined at the Kentucky State Penitentiary/Reformatory at Frankfort, by the crime committed for the period 1891-1926.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name and number; date of admission; crime committed; sentence; date received or discharged; age
	Retention and Disposition	Retain permanently in the State Archives Center
03615	Register of Prisoners	Closed Series: This series documented detailed information on prisoners confined at the Kentucky State Penitentiary at Frankfort from 1848 to 1912, the Kentucky Branch Penitentiary at Eddyville from 1890 to 1912, the Kentucky State Reformatory at Frankfort from 1912 to 1938, the Kentucky State Penitentiary at Eddyville from 1912 to 1952, and the Kentucky State Reformatory at LaGrange from 1939 to 1952. The registers were used to gather information on prisoners admitted to and discharged from these institutions. Different kinds of information were entered into the registers, depending on the institution and the time period. In 1855, occupation information was added and notations for sex and race were entered after 1865. Physical descriptions were eliminated from the books around 1876 and reference to a separate description book was noted. About this time former convictions and religious habits were recorded. Although, previously, prisoners were given a committed number, by the turn of the century each prisoner was assigned a unique prisoner number. From 1900 until the institution was closed, the following information was routinely recorded: date received; prisoner name and number; color and sex; age; crime; sentence; term of court; county; and discharge reason and date. These books represent the format in which the registers were kept for the time periods indicated.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Name; crime; sentence; county; term of court; received date; sentence expiration date; age; education; place of birth; drinking habits; marital status; height; weight; complexion; eye and hair color; distinguishing marks; discharge reason and date; color and sex
	Retention and Disposition	Retain permanently in the State Archives Center
03630	Register of Prisoners by County	Closed Series: This series documented information on prisoners confined at the Kentucky State Penitentiary/Reformatory at Frankfort (1894-1938) and the Kentucky State Reformatory at LaGrange (1939-1952) and is arranged by the county in which the case was heard. The registers list most of the same information as the Register of Prisoners (03615) but lists it by the county of sentencing. Federal prisoners were recorded in some of the books. The book dated 1922-1926 also has prisoners listed by crime for 1924 to 1926 and by sentence for 1922 to 1926. In addition, this book lists prisoners who were legally executed during the period 1911 to 1926.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoners' name and number; date received; race and gender; age; crime and sentence; term of court; disposition of prisoners or reason for discharge
	Retention and Disposition	Retain permanently in the State Archives Center
04012	Cell House Register	Closed Series: This series documented the names of each inmate and the cell they occupied while at the Kentucky State Penitentiary at Frankfort and the Kentucky State Reformatory at Frankfort, for the period 1892 to 1919.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner name, cell number, walk number
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04013	Prisoner Admitted/Discharged Register	Closed Series: This series provides documentation on all prisoners admitted to and discharged from the Kentucky State Penitentiary at Frankfort, the Branch Penitentiary at Eddyville, and the Kentucky State Reformatory at Frankfort, for the period 1891 to 1960.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name and number; date of admission; date of discharge; crime committed; list of valuables surrendered at time of incarceration; race; age; sentence; home county
	Retention and Disposition	Retain permanently in the State Archives Center
04014	Prisoner Description Book	Closed Series: This series was used to record a description of distinguishing physical characteristics of individual prisoners confined at the Kentucky State Penitentiary at Frankfort and the Branch Penitentiary at Eddyville, for the period 1887 to 1910.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; date of admission; crime; sentence; race; description of any distinguishing marks or characteristics (marks, scars); county from
	Retention and Disposition	Retain permanently in the State Archives Center
04015	Daily Statement Ledgers	Closed Series: This series documented a daily accounting of the number of prisoners confined at the Kentucky State Penitentiary at Eddyville. The information includes breakdowns by race, length of sentence, and the prisoner's location in the penitentiary. Also, the ledgers list, for each day, the names of the guards on duty, their assignments, and which prisoners were hospitalized at the time. The series dates from 1891 to 1927.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; home county; number admitted or discharged; race; length of sentence; location in penitentiary, name of guards on duty and their assignments; names of prisoners in the hospital
	Retention and Disposition	Retain permanently in the State Archives Center
04016	Record of Provisions for State Prisoners	Closed Series: This series appears to be a listing of the types of food and how much was purchased for the prisoners confined at the Kentucky State Penitentiary at Frankfort. *One volume is dated 1896. The first 55 pages of book #95, Time Lost During the Month (04029), appears to list provisions for prisoners for 1919 and 1920.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; type of provisions (flour, potatoes, coffee, meat, soap, etc.); pounds; gallons; bushels; bars; boxes
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04017	Offences and Punishment Register - (1880 - 1921)	Closed Series: This series documented the violation of institution rules and the punishment levied against inmates confined at the Kentucky State Penitentiary, at Eddyville, and the Kentucky State Reformatory, at Frankfort. Examples of the violations are loafing, bad work, or disobedience. Punishment included whipping, confinement, placement in chains, and/or time lost. The volumes date from 1880 to 1921.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; nature of offense; punishment levied
	Retention and Disposition	Retain permanently in the State Archives Center
04018	Prisoner Fund Cash Books - (1906 - 1914)	Closed Series: This series documented transactions against the Kentucky State Penitentiary 's prisoner fund. It includes information regarding deposits and withdrawals. The withdrawals from the account note whether the cash went directly to the prisoner or was used to pay for goods purchased. The volumes cover the period 1906 - 1914.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; amount deposited; amount withdrawn; date; what cash was used for
	Retention and Disposition	Retain permanently in the State Archives Center
04019	Prisoner Court Record Book - (with index) - (1896 - 1919)	Closed Series: This series appears to be a recording of prisoners who broke the rules of the institution, and court was held in the institution to determine punishment. The records document the Kentucky State Penitentiary, at Frankfort, and also when the institution was known as the Kentucky State Reformatory, at Frankfort. The volumes cover the period 1896 to 1919.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; guard; name and number of prisoner; charge; county; punishment; grade; remarks
	Retention and Disposition	Retain permanently in the State Archives Center
04020	Hospital Register - (1888 - 1921)	Closed Series: This series documented the daily record of prisoners treated at the Kentucky State Penitentiary hospital. The most common sicknesses were consumption, syphilis, and pneumonia. Some of the registers list the names of persons on duty at the hospital and those excused for each day. The volumes cover the period 1888 to 1921.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; the disease or injury treated; kind of treatment administered; a notation as to whether the prisoner was treated in the hospital or as an out-patient; date; names of persons on duty
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04021	Monthly Statement Register - (1891 - 1961)	Closed Series: This series contains a monthly listing of prisoners admitted and discharged from the Kentucky State Penitentiary at Eddyville and the Kentucky State Reformatory at Frankfort, for the period 1891 to 1961. It also lists the reason for discharge, such as parole, expiration of term, or transfer to another institution.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name and number; reason for discharge; date
	Retention and Disposition	Retain permanently in the State Archives Center
04022	Daily Report Books - (1883 - 1937)	Closed Series: This series documented a daily accounting of the number of prisoners confined at the Kentucky State Reformatory at Frankfort, for the period 1883 to 1937. It lists race, length of sentence, and the prisoner's location in the facility.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; home county; number admitted or discharged; race; length of sentence; location in prison; date
	Retention and Disposition	Retain permanently in the State Archives Center
04026	Clothing Issued Book - (1891 - 1933)	Closed Series: This series documented the cost and the number of articles of clothing received by prisoners at the Kentucky State Penitentiary, at Eddyville, and the Kentucky State Reformatory, at Frankfort. Totals were broken down by article of clothing for each prisoner. Clothing included shirts, pants, shoes, socks, and coats. The volumes cover the period 1891 - 1933.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; number of shirts, shoes, pants, socks, coats
	Retention and Disposition	Retain permanently in the State Archives Center
04027	Penitentiary Account Ledger - (1891 - 1950)	Closed Series: This series documented the spending account expenses of the Kentucky State Penitentiary, at Eddyville. The ledger lists the amount of money spent on each section. The sections include: Employee Services, Care and Treatment of Inmates, Agriculture, Industrial, Stores, Capital Outlay, Administration, Materials and Maintenance. It covers the period 1891 - 1950.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; reference number; account number; received from; explanation, credits; cash; pay-in-voucher number; total amount; credits to revolving fund; distribution; refunds; other credits; page number; category; form number
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04028	Work Assignment Book - (1929 - 1931)	Closed Series: This series is a listing of how many workers were assigned to specific work detail - yard, engine room, laundry, etc. It lists the number of workers in each section but not the names of prisoners. The series was created when the institution was known as the Kentucky State Reformatory, at Frankfort. The volume covers the period 1929 to 1931.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; number of workers - yard, engine room, laundry, shoe shop, broom shop, shirt factory, chair shop, miscellaneous; state operation work; number A.E.W.; number of shirts, chairs, brooms
	Retention and Disposition	Retain permanently in the State Archives Center
04029	Time Lost During the Month Book - (1912 - 1923)	Closed Series: Even though the title is Time Lost During the Month, this series appears to be a monthly time and attendance report on all prisoners who worked during the month and how much money they received based on the days worked. Each day of the month is marked if present and with an A, if absent. It also records if the prisoner escaped or was discharged during the month. The series was created when the institution was known as the Kentucky State Reformatory, at Frankfort. The volumes cover the period 1912 to 1923.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner name and number; county; date; days of month; total time lost; rate per day; amount; full month's wages; net wages for month; escaped; discharged; paroled
	Retention and Disposition	Retain permanently in the State Archives Center
04030	Mail Censor Books - (1952 - 1958)	Closed Series: This series documented the amount and frequency of incoming mail to each inmate confined at the Kentucky State Penitentiary, at Eddyville, and the Kentucky State Reformatory, at LaGrange. Some of the volumes recorded the amount of money each inmate received through the mail. The series covers the period 1952 to 1958.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; amount of money received; correspondent's name, address, and relationship to inmate; inmate's age, race, crime, sentence, dated admitted, home county, inmate number
	Retention and Disposition	Retain permanently in the State Archives Center
04031	Cash Received for Prisoners Book - (1898 - 1901)	Closed Series: This series documented the amount of money received from friends and relatives by inmates confined at the Kentucky State Reformatory, at Frankfort. It covers the period 1898 to 1901.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Prisoner's name; amount of money; name of person sending money and relationship to inmate
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04032	Prisoner Account Ledger - (1891 - 1914)	Closed Series: This series documented the spending account for each prisoner confined at the Kentucky State Penitentiary, at Eddyville, and the Kentucky State Reformatory, at Frankfort. It lists the amount of money each inmate had for a specific date and how the money was used. The series shows the procedures which the institution used to maintain inmate money, for the period 1891 - 1914.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; prisoner's name; county of residence; items purchased
	Retention and Disposition	Retain permanently in the State Archives Center
04033	Inmate Earnings Book - (1921 - 1933)	Closed Series: This series documented the daily wages paid to prisoners and totaled monthly for the prisoners confined at the Kentucky State Reformatory, at Frankfort. It also lists the amount of money deducted for fines, and the department where each prisoner worked. The series covers the period 1921 to 1933.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; prisoner's name; amount of money earned; amount fined; department where prisoner worked
	Retention and Disposition	Retain permanently in the State Archives Center
04034	Inventory of Tools, Fixtures and Other Property - (1898)	Closed Series: This series appears to be an inventory conducted for the Kentucky State Penitentiary, beginning July 5 1898 and ending August 1898.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; chairs and their numbers; number of pieces; oak; maple; hickory; labor; posts; rounds; backs; seats
	Retention and Disposition	Retain permanently in the State Archives Center
04056	Special Report Book - (1949 - 1959)	Closed Series: This series documented special statistics on inmates confined at the Kentucky State Penitentiary, at Eddyville. It lists the number of inmates in special categories. For instance, the series lists the number of inmates that are Baptists, Catholics, or Christian, under the religion section, and the number of inmates that were farmers, carpenters, or laborers, under the occupation section.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date-year, month, day; in; out; total; number of inmates under these categories - education, religion, occupation, married, single
	Retention and Disposition	Retain permanently in the State Archives Center
04057	Alias Name Book - (1891)	Closed Series: This series documented the alias names used by inmates who were admitted to the Kentucky State Penitentiary, at Eddyville. The volume covers the period 1891.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date received; alias name; other aliases; register name; page number
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04058	Hospital Weekly Report - (1891 - 1897) Access Restrictions Contents Retention and Disposition	Closed Series: This series documented a weekly numeric report on the number of inmates that were treated at the hospital for the Kentucky State Penitentiary, at Eddyville. The report was sent to the warden from the hospital physician. The series covers the period 1891 - 1897. Agencies should consult legal counsel regarding open records matters. Series contains: Warden name; date; bed patients - number in beds, number received and discharged, remaining number at end of week; hospital patients - number in hospital, number received and discharged, number of cases treated in and out of the hospital, number of deaths, number at the end of the week; signature of physician and surgeon Retain permanently in the State Archives Center
04059	Hospital Labor Register - (1891 - 1897) Access Restrictions Contents Retention and Disposition	Closed Series: This series documented the inmates that were excused from work and those that must report for duty at the hospital, for the Kentucky State Penitentiary, at Eddyville. It covers the period 1891 to 1897. Agencies should consult legal counsel regarding open records matters. Series contains: Warden's name; names of inmates excused from work; names of inmates that must report for duty at the hospital Retain permanently in the State Archives Center
04060	Invoice Claim Ledger - (1897 - 1919) Access Restrictions Contents Retention and Disposition	Closed Series: This series documented claims reported against the Kentucky State Penitentiary, at Eddyville, by companies or individuals doing business with the institution. It covers the period 1897 to 1919. Agencies should consult legal counsel regarding open records matters. Series contains: Name of claimant; number of transportation order; date of claim; on what account made; amount of claim; address of claimant; remarks; date Retain permanently in the State Archives Center
04063	Penitentiary Cash Receipts Book - (1915 - 1920) Access Restrictions Contents Retention and Disposition	Closed Series: This series documented the cash receipts and expenditures for the Kentucky State Penitentiary, at Eddyville. The totals for cash received and spent are recorded for the specific month. The volume covers the period 1915 to 1920. Agencies should consult legal counsel regarding open records matters. Series contains: Date; balance on hand; sales; total; cash expenditures; cash in; gate fee; received from; fees; sales; interest; fines; penalties; rent; miscellaneous; state treasurer; daily total; daily balance Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
04064	Operating Cost Ledger (State Board of Charities and Corrections) - (1921 - 1925)	Closed Series: This series documented the cost of operating the institutions under the State Board of Charities and Corrections each month from 1921 to 1925. It lists the revenue and expenditures for the Girls School, Feeble Minded Institute, Western State Hospital, Eastern State Hospital, Central State Hospital, House of Reform, Kentucky State Reformatory, and the Kentucky State Penitentiary.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Date; operating expenses - food, clothing, miscellaneous, personal service, general expenses, utilities, farm, garden, dairy; total operating expenses; ordinary expenses; extraordinary expenses; grand total expenses; less revenue accrued to budget; total balance; average population; budget less net cost of operations; net cost of operations for each institution
	Retention and Disposition	Retain permanently in the State Archives Center
04065	Inmate Medical File	This series documents the medical information obtained for each inmate housed in correctional institutions in Kentucky. It is created by the staff at each institution and provides medical information regarding inmate sicknesses, diseases or accidents. In some cases, this may be the only medical information available for the inmates. The medical file is maintained separately from the inmate file.
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Psychological evaluation; psychiatric evaluation; medical screening; physician's notes; documents trips to clinics or hospitals; dental records; vision tests results
	Retention and Disposition	Retain in Agency five (5) years after case is closed; transfer to State Records to be retained for fifteen (15) years; destroy. Total retention is twenty (20) years after case closure.
04130	Prison Labor Contracts - (Contracts with private businesses) - (1905 - 1935)	Closed Series: This series documented an agreement between the Commonwealth of Kentucky, Department of Public Welfare and private companies to hire prisoners to work for them. The agreement would be for a specific number of prisoners and usually lasted for two years. The agreement would then be renewed, revised, or cancelled. The companies that used prison labor made shirts, shoes, brooms, chairs, harnesses, saddles, etc.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Contract; terms of agreement; witness; signature; prison commissioner's signature; notary public signature; date; page number; chairman of public welfare signature; governor's signature; state; county
	Retention and Disposition	Retain permanently in the State Archives Center

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Series	Records Title and Description	Function and Use
05456	Inmate Legal Correspondence Logs	This series documents all legal correspondence sent and received by inmates and is recorded in a log book located at each institution. The log book records the legal correspondence by inmate name, date sent and/or received, and the return address on each envelope and/or package and the addressee name and address. If the inmate has been released or transferred to another facility, the log also notes if the mail/package has been forwarded to the addressee or if it has been returned to sender.
	Access Restrictions	KRS 61.878 (1)(a)(k); 39 USC 410 (11)(c)(1). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of inmate, correctional institution name, name and address of sender and receiver, date mail/package was received and whether the inmate received the mail/package or if it was forwarded to the addressee or returned to sender. The log book will also note if mail was opened, inspected and/or read by personnel, if the mail was rejected because of violation of state and/or federal laws, if the mail contained any contraband, a list of items removed from the mail/package and disposition of mail or package, if it was rejected.
	Retention and Disposition	Retain in Agency two (2) years; destroy.
05457	Inmate Drug Testing Logs	KRS 196.035 and KRS 197.020 authorizes Corrections to promulgate regulations and policies regarding drug testing of inmates at adult institutions. Required testing began in January 2006. Ten percent (10%) of inmates are randomly selected by a computer generated method at each institution for monthly testing of illegal drugs. Testing is conducted on inmates as prescribed in the forenamed policy.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, date of birth, Social Security number, name of correctional institution, type of drug screen being administered, name of person administering the drug test, date and time of test, test results, name of lab conducting tests, if applicable, comments and/or methods regarding collection of sample, history of illegal substance abuse, name of staff witnessing the collection, chain of custody and disciplinary action taken, if applicable.
	Retention and Disposition	Retain in Agency three (3) years; destroy.
05513	Inmate Psychological Testing File (V)	This series documents psychiatric treatment of inmates at correctional facilities. Psychiatric treatment is generally voluntary, though a small number of cases per year are court-ordered. Treatment programs are not uniform, but are tailored to the needs of the specific inmate. Treatments include counseling, medications, examination by psychiatrists, social service workers or institutional case workers. Most inmates complete the programs within one year, though some take longer.
	Access Restrictions	KRS 61.878(1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Intake Behavior Control Report; tracking card; detention order; voluntary agreement form; segregation contract; rights and responsibilities contract; psychological evaluations; treatment plans; physician notes; social services case worker notes; relevant records from other institutions; discharge summary.
	Retention and Disposition	Retain in Agency for five (5) years after case closure; transfer to State Records Center to be retained for fifteen (15) years; destroy. Total retention is twenty (20) years after case closure.
05522	Prison Disciplinary Hearing File - Recording	These recordings are of Prison Disciplinary Hearings conducted pursuant to 501 KAR 6:020 Corrections Policy & Procedure (CPP) 15.6. Hearings are conducted after the Disciplinary Report Form, Part 1 ("Write up & Investigation") is filled out and are held before either a committee or Adjustment Officer. Once the decision is made, the inmate has 15 days to appeal the decision to the Warden. Further appeal may be taken to Circuit Court, for which there is a 1 year statute of limitation. The record is useful for review by the Warden or by the Department's legal counsel for purposes of responding to appeals.
	Access Restrictions	KRS 197.025(2) and KRS 197.025(1). Agencies should consult legal counsel regarding open records matters.
	Contents	Recording of hearing
	Retention and Disposition	Retain in agency for two (2) years after case closure; destroy.

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Series	Records Title and Description	Function and Use
05542	Inmate Account File (V)	This series documents activity on each inmate's account, providing a back-up for each transaction. Inmate accounts are custodial accounts opened on behalf of inmates, but which are treated as bank accounts. Activity can include deposits and disbursements by an inmate, such as medical co-pays or purchases of books, magazines, or canteen items. Records are maintained in each institution.
	Access Restrictions	KRS 61.878(1)(a); KRS 61.878(1)(l); KRS197.025(2). Agencies should consult legal counsel regarding open records matters.
	Contents	Inmate # and name, account activity and totals, checks written, deposit tickets
	Retention and Disposition	Retain in Agency five (5) years; destroy after audit.
05576	American Correctional Association Accreditation File (V)	This file contains records required for the accreditation process conducted every 3 years by the American Correctional Association (ACA). The ACA is the largest international correctional association. Each institution is required by the Department of Corrections Commissioner to go through the accreditation process. There are different standards for the different types of institutions (minimum, medium, and maximum security). Standards reflect practical, up-to-date policies and procedures that safeguard the life, health, and safety of staff and offenders. Each institution signs a contract, pays an accreditation fee, conducts a self-evaluation and has a standards compliance audit by trained ACA consultants prior to an accreditation decision by the ACA. To be awarded accreditation, an institution must comply with 100% of the applicable mandatory standards and at least 90% of the applicable non-mandatory standards.
		*The Date Span (#14) will vary among institutions, depending on the first year submitted for accreditation.
	Access Restrictions	KRS 61.878(1)(l), KRS 197.025(1), KRS 197.025(2). Agencies should consult legal counsel regarding open records matters.
	Contents	Contract; self-evaluation; standards compliance audit; logs and information sheets regarding services, programs, and operations essential to good correctional management, including: General Administration, Fiscal Management, Personnel, Training and Staff Development, Case records, Information Systems and Research, Citizen Involvement and Volunteers, Physical Plant, Building and Safety Codes, Size, Organization, and Location, Inmate Housing, Environmental Conditions, Program and Service Areas, Administrative and Staff Areas, Security, Institutional Operations, Security and Control, Safety and Emergency Procedures, Rules and Discipline, Special Management, Inmate Rights, Institutional Services, Reception and Orientation, Classification, Food Service, Sanitation and Hygiene, Health Care, Social Service, Release, Inmate Programs, Work and Correctional Industries, Academic and Vocational Education, Recreation and Activities, Mail, Telephone, Visiting, Library, Religious Programs, Section 4-4530 (Security Threat Group).
	Retention and Disposition	Retain in Agency six (6) years; transfer to Records Center to be retained for three (3) years; destroy. Total retention is nine (9) years.
05577	Daily Activity Logs (V)	This series documents various activity logs maintained at correctional facilities. Each institution maintains logs of the daily activity in the different sections. The logs are submitted as a part of the institution's monthly report to the Department of Corrections. Logs will vary among the different types of institutions (minimum, medium, and maximum security). This series does not include any weapons, which fall under Series #03015 Weapons Check-out Sheet.
	Access Restrictions	KRS 61.878(1)(l), KRS 197.025(1), KRS 197.025(2). Agencies should consult legal counsel regarding open records matters.
	Contents	This Series contains but is not limited to logs regarding: security, the tower, food service, menu, daily key inventory, daily count sheet, barbershop inventory, contraband, control center, daily shift inspection, supervisor's report, temporary holding cell, inmate's sign-out sheet (Doctor appointment, etc), movement plans, pest control, search consent, restraint, sharp instrument check-out, syringe inventory, telephone calls, theft report, tool inventory, training equipment Post Order Logs, Unit Logs, entry/exit chemical log, service gate log, restraint log, visitor log and Law Library Inmate Sign-In Sheets.
	Retention and Disposition	Retain in Agency for six (6) years; transfer to Records Center to be retained for three (3) years; destroy. Total retention is nine (9) years.

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Series	Records Title and Description	Function and Use
05881	Substance Abuse Program Participant Files (X)	<p>This series identifies the records Department of Corrections maintains for inmates that participate in the Substance Abuse Program (SAP). 501 KAR 7:130 (5)(3) states inmates shall be provided the opportunity to participate in substance abuse programs including Alcoholic Anonymous (AA) or Narcotics Anonymous (NA) and are referred to outpatient treatment available in the community or if the need is for extensive substance abuse treatment and has been referred by the Division of Mental Health shall also be allowed to participate if space is available. Department of Corrections Policy Number 13.8 defines the Substance Abuse Program as "a core intensive program which shall consist of, at a minimum, a six (6) months residential program maintained at facilities designated by Department of Corrections. The primary intensive substance abuse programs shall be coordinated by the Office of Alcohol and Other Drug Abuse (AODA) Programs within the Division of Mental Health and Substance Abuse". Substance means any illegal substance whose purpose is to have a mood altering effect and a drug is defined in KRS 218A or alcohol as defined in KRS 241.010. Inmates may be terminated from SAP upon cause and may appeal termination by submitting a written appeal to the Program Administrator or designee within seven (7) days from written receipt of the termination. The Program Administrator or designee shall respond in a written statement within twenty-one (21) days of receipt of the appeal which is a final decision.</p> <p>Copies of the Discharge Summaries and/or termination forms, individual aftercare recommendations, certificate of completion are placed in the Inmate File - Institution (03016) and Inmate File - Master (02982) and retained pursuant to those retention periods. A copy of the discharge summary is also submitted to the Parole Board.</p> <p>Access Restrictions KRS 61.878 (1)(a) and KRS 319.140. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Name and identification number of inmate; Application including documented substance abuse history; urinalysis test results; screening and assessment measures; criminal history; time served to date; history of prior interventions; types of substances used; disciplinary history; admission into program; attendance records; participant evaluation; Discharge and Termination Criteria; Appeals of termination from the Substance Abuse Program; progress notes; psychological data and psychological reports; releases of information; Certificate of Completion; Discharge Summary; Program Agreement Contract; individual course work; treatment plan; individual aftercare recommendation</p> <p>Retention and Disposition Retain in Agency - copies of Discharge Summaries and/or Termination Forms, Individual Aftercare Recommendations, and Certificate of Completion per Series Numbers 03016 - Inmate (Institution) File and 02982 -Inmate (Master) File; destroy all other remaining records six (6) years after completion or termination in SAP.</p>
05882	Citizen Involvement/Volunteer Programs Files	<p>This series identifies records of citizen volunteers and volunteer programs located at each institution. The guideline and standards are stated in Department of Corrections Policy Number 26.1, dated January 4, 2005, titled "Citizen Involvement and Volunteer Service Program". There are three (3) levels of volunteers: 1. "Certified Volunteers" who are citizens not employed by Department of Corrections, provides an on-going specified service to the inmate population and has met the certification requirements; 2. "Non-Certified Volunteers" are citizens not employed by Department of Corrections for specified services to the inmate population and who has not met the certification requirements; and, 3. "Special Event Volunteers" are citizens or member of a group not employed by the Department of Corrections for a selected activity which does not occur on a regular basis. Each individual must complete a volunteer application, including criminal background checks, attend orientation and training, attend annual training as required by Department of Corrections Training, submit detailed information and goals regarding the volunteer program and attend regular meetings as determined by Department of Corrections to exchange information. Volunteer programs are reviewed annually to insure the programs are meeting the stated goals and continuing to enhance services to the inmate population and all volunteers are reviewed every six (6) months for evaluation of their participation in the volunteer program. Department of Corrections may terminate volunteer programs and/or volunteers for inadequate participation, security issues or other relevant issues. Volunteers and volunteer programs are conducted at no cost to the institution.</p> <p>Access Restrictions KRS 61.878 (1)(a) - volunteer Personal information. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Volunteer application which include name, address, phone number, email address, Social Security number; date of application, detailed information regarding volunteer services or programs; certification process; orientation and training; annual training; evaluation of programs and/or volunteers; special event programs</p> <p>Retention and Disposition Retain in Agency two (2) years after volunteer program has ended or after termination of volunteer; destroy.</p>

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Justice and Public Safety Cabinet
Corrections, Department of
Adult Institutions

**Record Group
Number
0635F**

Series	Records Title and Description	Function and Use
05883	Inmate Marriage Requests	<p>This series identifies the records of an inmate's request for marriage while incarcerated in one of the Commonwealth of Kentucky's correctional institutions. Per Department of Corrections Policy Number 14.3, dated October 14, 2005, an inmate who desires to get married while incarcerated may do so with the approval of the Warden of their institution or the Program Manager of the inmate's Community Center. The inmate and future spouse must submit a written request to the Warden/Program Manager explaining the circumstances of the marriage along with the request for marriage. The Warden or Program Manager may disapprove a request for marriage for the following reasons: 1. Legal restriction to the marriage; 2. The proposed marriage threatens the security of the institution or public; 3. Inmate may be emotionally unstable or incompetent; 4. Inmate may desire to marry a Department of Corrections employee; or 5. Inmate may desire to marry an inmate currently incarcerated at another institution. The Warden or Program Manager must submit their decision regarding the request for marriage within ninety (90) days of the request. Final plans for the wedding ceremony must not be made until final approval is given by the Warden or Program Manager. If the request is denied, the inmate at a correctional institution may appeal the decision to the Deputy Commissioner of Adult Institutions or his designee or if the inmate is a resident of a Community Center, the inmate may appeal the Program Manager's decision to the Director of Local Facilities. If the wedding ceremony is approved, a copy of the marriage license is placed in the inmate's institutional file (Series 03016).</p> <p>Access Restrictions KRS 61.878 (1)(a) - personal information of the wedding party. Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Request for marriage; narrative report explaining circumstances of marriage; copy of divorce decree, if applicable; Warden's or Program Manager's approval or disapproval; if approved, a copy of the wedding ceremony plan, including a list of guests; furlough approval if wedding takes places outside the institution.</p> <p>Retention and Disposition Retain in Agency the request for marriage and supporting documentation for two (2) years after approval or disapproval of marriage request, then destroy. If the wedding occurs, a copy of the marriage license is placed in the Inmate File - Institution (Series 03016).</p>
05884	Hazardous Waste Management Policy Files (Y)	<p>This series identifies the records regarding hazardous waste management policies and procedures as required by KRS 224.01 through KRS 224.50-760 and 401 KAR 35:180; 401 KAR 31:030; 401 KAR 31.040; and 401 KAR 43:005 (296) and Department of Corrections Policy Number 7.3, dated May 7, 2006. Hazardous waste management is defined by KRS 224.01-010 (31)(b) as the systematic control of the collection, source separation, storage, transportation, processing, treatment, recovery, and disposal of hazardous waste.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Environmental Protection Agency (EPA) Identification Number; Contingency Plan; Contingency Plan Implementation Report, if applicable; Hazardous Waste Lab results; Generator Classification; Registration; Inspection Sheets for storage and management of hazardous waste containers, including General Inspection Reports; Preparedness and Prevention Plan in the event of a spill; Manifest forms; Annual Reports; Exception Reports; Personnel training; Kentucky Notification of Hazardous Waste Activity</p> <p>Retention and Disposition Retain in Agency for three (3) years; destroy.</p>
05952	Inmate Inventory and Property Form	<p>This series documents the state-issued property and the personal inventory of inmates in an institution pursuant to the Department of Corrections Policies and Procedures Manual, Policy Number 17.1. The state-issued property list consists of one (1) coat; four (4) long sleeve shirt; four (4) short sleeve shirts, four (4) pants; one (1) belt; bed linens, personal hygiene items and also may include certain prescribed medical items, such as bronchial inhalers, nitro glycerin or dressings. Inmates may purchase additional required items listed in Policy Number 17.1 from the canteen located at each institution. Also, inmates are allowed to have personal items which are also listed in Policy 17.1. A new inventory form is issued each time the inmate's inventory is revised.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Inmate identification number and name of inmate; name of correctional institution; itemized list of issued and personal inventory; date of issue; name of institution issuing employee, signatures of inmate and property inventory officer.</p> <p>Retention and Disposition Retain at assigned correctional institution for a period of five (5) years from date of issue; destroy.</p>

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**Record Group
Number
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Series	Records Title and Description	Function and Use
06459	Prison Rape Elimination Act (PREA) Investigative Files	This series documents the investigations regarding allegations of sexual abuse per the Prison Rape Elimination Act (PREA) of 2003 and the final standards were effective June 20, 2012 (28 CFR 115) . Reports of sexual abuse allegations are forwarded to Department of Corrections (DOC) PREA Coordinator for investigation.
	Access Restrictions	KRS 61.878 (1) (a); KRS 61.878 (1) (h) and KRS 17.150(2). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Date and details of alleged sexual abuse; names and identification numbers of victim and accused; facility name and address; investigation reports; action taken; legal documentation, including copies of pleadings and Court Orders
	Retention and Disposition	Retain in Agency as long as the alleged abuser is incarcerated or employed by the agency, plus five (5) years, then destroy.
06474	Prison Rape Elimination Act (PREA) Investigative Case Log	This series documents the list of investigations regarding allegations of sexual abuse per the Prison Rape Elimination Act (PREA) (28 CFR 115) and on file with Department of Corrections PREA Coordinator. The log will be updated as needed.
	Access Restrictions	KRS 17.150 (2). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Reported date to DOC officials of sexual abuse allegations; dates alleged sexual abuse occurred; and name of correctional facility.
	Retention and Disposition	Retain in Agency as long as the alleged abuser is incarcerated or employed by the agency, plus five (5) years, then purge.
06511	Prison Rape Elimination Act (PREA) Aggregated Collected Sexual Abuse Report	This series documents the data for every allegation of sexual abuse at correctional facilities under the control of Department of Corrections, including the local contracted community confinement facilities. The data is necessary to fulfill requirements of the Survey of Sexual Violence as part of the PREA standards and conducted by the Department of Justice, pursuant to 28 CFR 115.87, 28 CFR 115.88 and 28 CFR 115.89. After personal identifiers are removed from the aggregated data collection, an Annual Report is prepared and made available to the public through the agency's website or other means (28 CFR 115.89). The Annual Report is incorporated in series M0022, Annual or Summary Reports, and has a permanent retention.
	Access Restrictions	KRS 61.878 (1)(a) and 28 CFR 115.89(c) - personal identifiers. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of facility; date and type of alleged sexual abuse; status; findings re substantiated or unsubstantiated; names of victim and perpetrator; and location of alleged abuse
	Retention and Disposition	Retain in Agency ten (10) years after the date of the initial collection, then destroy.
06947	Rejected Inmate Correspondence Log	This series documents all rejected correspondence sent and received by inmates. The log book identifies the reason correspondence was rejected and the action taken regarding the rejected item.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: name of inmate, correctional institution name, name and address of sender and receiver, and reason for rejection.
	Retention and Disposition	Retain two (2) years, then destroy.

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Series	Records Title and Description	Function and Use
06969	Rejected Inmate Mail Form	This series documents correspondence that is sent to inmates and rejected. The form identifies the contraband that was rejected and the action taken regarding the rejected item and correlates with series 06947, Rejected Inmate Correspondence Log.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Inmate name, correctional institution name, name and address of sender, reason for rejection.
	Retention and Disposition	Retain two (2) years, then destroy.

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Corrections, Department of
Community Services
Probation and Parole

**Record Group
Number
0635T**

Series	Records Title and Description	Function and Use
02983	Restoration of Civil Rights (V)	This series documents the applications for and granting of restoration of civil rights to persons who have been convicted of a felony. The Division of Probation and Parole retains all applications for Restoration of Civil Rights as some applicants are denied. Restoration of civil rights provisions are in the United States Constitution, Article 2, Section 2 and the Code of Federal Regulations, Title 28, Volume 1 Sections 1.1 - 1.11 for Presidential Pardons; and the Kentucky Constitution, Section 145 for Gubernatorial Pardons. KRS 196.045 and the regulations promulgated thereto establish the procedures for restoration of civil rights in the Commonwealth. All persons convicted of a felony in any court and in any state lose the right to vote and hold office. To be eligible for the restoration of civil rights, the applicant must have received a Final Discharge from parole or his/her sentence must have expired. The applicant cannot be under felony indictment, have any pending charges, or owe outstanding fines or restitution. The official records are retained with the Secretary of State.
	Access Restrictions	KRS61.878 (1)(a) - personal information; . Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name; inmate or probation number; application for restoration of civil rights; correspondence; and copy of certificate and Order of Restoration of Civil Rights.
	Retention and Disposition	Retain in agency seventy-five (75) years from date of receipt of receiving application for Restoration of Civil Rights, then destroy.
02985	Master Card File on Probationers, Parolees, Misdemeanant, and Pre-Trial (V)	CLOSED SERIES: This series documents information on persons who have been probated, paroled, or convicted of a misdemeanor, or are awaiting pre-trial on criminal charges in the Commonwealth of Kentucky. The Master Card file provides access to the information in a timely and precise manner, including criminal activity, last known address, and Court system criminal charges are pending. The agency stopped creating this record as of 1999.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, date of birth, Social Security Number of person charged with criminal activity; Court location; pending court dates.
	Retention and Disposition	Retain in Agency five (5) years after final release, then destroy.
02987	Probation and Parole Officer's Monthly Caseload Report (V)	This series documents the detailed monthly activities of probation and parole officers pursuant to KRS 439.480 (4). Monthly reports are created statewide and by each probation and parole district. Probation and Parole Officers are sworn Department of Corrections personnel and have all the authority and powers of peace officers, including the power of arrest per KRS 196.037.
	Access Restrictions	KRS 61.878 (1) (a) - personal information and KRS 439.510. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of Probation and Parole Officer; Officer's caseload list; type and level of supervision; supervision histories; alcohol and drug testing results; referrals to appropriate resources; monitoring payment of fees, restitution and community service work; number of pre-sentence investigations; parolee plans; and assistance with Civil Rights Restoration requests.
	Retention and Disposition	Retain in Agency five (5) years; then destroy.

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Number
0635T**

Series	Records Title and Description	Function and Use
02989	Case Folder - Field Office (V)	This series identifies the information contained in the Probation and Parole Office on each offender under the supervision of a Probation and Parole Officer. The Probation and Parole Officers are sworn officers with Department of Corrections and have all the authority and powers of peace officers, including the power of arrest, per KRS 196.037. Their duties are stated in KRS 439.480 and include but not limited to: conduct random home visits and alcohol and drug testing, monitor payment of fees and restitution, monitor community service work, assist with home placement, make referrals to appropriate community resources, assist with rehabilitation services and employment, provide investigative reports to courts and the Parole Board, testify in Court and transport prisoners.
	Access Restrictions	KRS 61.878 (1) (a) - personal information and KRS 439.510. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of Probation/Parole Officer; name of probationer or parolee; address and phone number; date of birth; Social Security number; inmate identification number; employment history; dates, times and nature of contacts (home visits and/or employment verification); dates and times of alcohol and drug testing; referrals to appropriate service(s) and treatment; payments and balance of fees and restitution; copy of investigative report to Court and/or Parole Board; results of risk and needs assessment; case management plan; notices of violations, violation reports to the releasing authority.
	Retention and Disposition	Retain in Agency twenty (20) years after case closure, then destroy.
05454	Sex Offender Files (V)	This series documents registered sex offenders in Kentucky with combined cooperation between the Department of Corrections and Kentucky State Police. The Sex Offender Registration Act was enacted in 1994 pursuant to KRS 17.500 through 17.540 and 42 USC 14071, and requires the Justice Cabinet to develop and implement a Sex Offender Registration System. Registrants are required to register for the specified period pursuant to requirements of KRS 17.520.
	Access Restrictions	KRS 61.878 (1) (a) - personal information, i.e., Social Security Number; Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, age, race, sex, date of birth, height, weight, hair and eye color, photograph, aliases used, residence, email address (if applicable), a brief description of the crime or crimes committed, fingerprints, Social Security number, date of release from custody, maximum date of sentence or supervision whichever is longer; name of person completing form (if registrant is assisted); office phone of the releasing entity, signatures, Sex Offender Registration identification number; additional remarks, date form is completed.
	Retention and Disposition	Retain in agency seventy-five (75) years after required registration period or after death of registrant, then destroy.

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Justice and Public Safety Cabinet
Corrections, Department of
Correctional Industries

**Record Group
Number
0635E**

Series	Records Title and Description	Function and Use
02993	On the Job Training Records	This series identifies the records used for On-the-Job-Training Program for inmates through Correctional Industries and Governmental Services Programs (GPS), including but not limited to: furniture building and refinishing, reupholstery of furniture, clerical skills, manufacturing of clothing and accessories, and the Rock Fence Preservation Program. This provides the inmate with the opportunity to learn job skills and obtain real world experience. An inmate assigned to the program shall work a schedule that corresponds to the workday in the community. Inmates eligible to participate in the On-the-Job-Training Program shall have a Department of Corrections classification of minimum or community level, no current loss of statutory good-time behavior, or felony detainees. Inmates having an extensive history of substance or alcohol abuse or violent behavior shall be closely screened by the Classification and Treatment Officer.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Government Agency Request, Warden Evaluation, Memorandum of Agreement between requesting agency and Department of Corrections, name(s) of inmates, inmate number, work detail, signed copy of the Department of Corrections Policies and Procedures regarding On-the-Job-Training Program and Code of Conduct, and work schedule.
	Retention and Disposition	Retain in Agency for five (5) years from termination date of Memorandum of Agreement; destroy.
02994	Job Training Partnership Act (JTPA)	This series identifies the records for the Job Training Partnership Act (JTPA) between Department of Corrections, Probation and Parole and participating employers pursuant to the provisions of 788 KAR 2:020. JTPA provides on the job training for probationers and parolees. The participating employer receives federal and state grant monies to be used for payment of education, training and salaries of the employee. JTPA is organized under the Education and Workforce Development Cabinet, Department of Workforce Investment, Office of Employment and Training per KRS 151B.020.
	Access Restrictions	KRS 61.878 (1) (a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Copy of Memorandum of Agreement between participating employer, Office of Employment and Training and Department of Corrections; name and address of participating employer; name and address of employee, Social Security number, date of birth, education, training and job details, and work schedule
	Retention and Disposition	Retain in Agency for five (5) years; destroy after audit.
02996	Farm Inventory	This series documents inventory at the institutions that participate in livestock and gardening activities. Some institutions have cattle and horses that are cared for by the inmates and provides training and jobs and most institutions have a small garden.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Inventory list of all livestock, feed, equipment used for caring for animals, tractors, tillers, and garden tools.
	Retention and Disposition	Retain in Agency for three (3) years; destroy after audit.
02999	Inmate Injury Report (V)	This series documents reports by inmates when injuries occur and the duty correctional officer is notified. Not all injuries are serious enough to report to the medical office but may only require a band-aid or noted in a report by the on-duty officer. In the event there is a concern or need for inmates to report to Medical, a report is placed in the Inmate Medical File, Series 04065 and if there is an extraordinary occurrence and injuries occur, a report is also placed in Series 03006, Extraordinary Occurrence Report.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name and identification number of inmate; date and time injury occurs, nature of injury and circumstances when injury occurs, actions/steps taken by correctional officer.
	Retention and Disposition	Retain in Agency twenty (20) years, destroy.

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Justice and Public Safety Cabinet
Corrections, Department of
Correctional Industries

**Record Group
Number
0635F**

Records Title	
Series and Description	Function and Use
03005 Shop Orders (V)	This series identifies records for Kentucky Correctional Industries (KCI) shop orders. Orders may be placed on hardwood and metal office furniture, metal storage units, office seating, modular office systems, institutional clothing and furniture, bedding, janitorial supplies, signage, embroidery and silkscreen, furniture refurbishing, reupholstery and custom wood products. The KCI showroom is open to the public and may sell goods and services to any governmental agency, private business or private individual within the Commonwealth of Kentucky.
Access Restrictions	Agencies should consult legal counsel regarding open records matters.
Contents	Series may contain: Completed order form; invoice, name and address of purchaser; delivery date, if applicable; directions to place of delivery; method of payment (credit cards are accepted); account number
Retention and Disposition	Retain in Agency three (3) years; destroy.

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Justice and Public Safety Cabinet
Corrections, Department of
General Counsel

**Record Group
Number
0635S**

Series	Records Title and Description	Function and Use
04515	Administrative Hearing File - Jail Facilities	This series documents the hearings which may result from inspections of jail facilities by staff in the Division of Local Facilities. If jail personnel take issue with a corrective order issued by the department, they may request a hearing within 72 hours of the inspection. The appeal is made to the Commissioner, Department of Corrections. The department is represented by an officer provided by the Office of the Attorney General and the jail facility is usually represented by the local County Attorney. All hearings are held in Franklin County. The Attorney General's representative makes recommendations regarding the hearing but the final decision is made by the Commissioner, Department of Corrections. The next appeal level, which must occur within 30 days, is to Franklin Circuit Court. Closure orders and reductions orders are those most likely to be appealed.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: A transcript of the hearing; motions; orders; copy of inspection
	Retention and Disposition	Retain in Agency two (2) years; transfer to the State Records Center to be retained for eight (8) years. Total retention is ten (10) years. NOTE: Destroy after all appeals have been exhausted and final action rendered.

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Justice and Public Safety Cabinet
Corrections, Department of
Local Facilities

**Record Group
Number
0635**

Series	Records Title and Description	Function and Use
02991	Inspection File - Jails - (To determine compliance with jail standards)	This series documents the inspections of jails to determine compliance with standards, as specified in KRS 441.055. Standards include rules covering the following areas: health and safety; fire safety; jail operations; training for jailers and jail personnel; custody, care and treatment of prisoners; medical care; and jail equipment, renovation and construction. The department employs four jail specialists who complete a minimum of two inspections (an initial and one follow-up) of each jail in the state. Facilities inspected include full service jails, totaling 73; hold-over jails, totaling eleven; restricted custody centers; halfway houses, juvenile facilities, etc. The inspection report is a three copy form with 187 separate items which must be addressed. Based on the inspection, a corrective order may be issued. The results of the inspection may be appealed to the Commissioner, Department of Corrections. The request for an appeal must occur within 72 hours of receipt of the corrective order. See series 04515 for information on Administrative Hearings.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Information about administration, management; physical plant; security areas; security, control; safety, emergency procedures; medical services; inmate classification system; admission, release. Also includes facility name and address; type of facility; person in charge; date of inspection; inspector; inspector's signature; date; documentation code key
	Retention and Disposition	Retain in Agency five (5) years; transfer to the State Records Center for ten (10) years; destroy. Total retention is fifteen (15) years.
04513	Investigations of Violations of Jail Standards File	This series documents the request for and investigation of complaints submitted to the Division of Local Facilities, Department of Corrections, by inmates incarcerated in jails throughout Kentucky for alleged violations of jail standards. The minimum standards, as specified in KRS 441.055, cover the areas of: health and safety conditions; fire safety; jail operations, recordkeeping and administration; curriculum of basic and continuing annual training for jailers and jail personnel; custody, care and treatment of prisoners; medical care; and jail equipment, renovation and construction. Requests for investigations may also be made by families of inmates, news media, or any other party which believes a violation has occurred. Complaints must be submitted in writing, signed by the complainant and verified before an investigation can be undertaken. Corrective orders are issued if the investigation supports a violation of standards. Department staff follow-up all investigations within 30-60 days. Jail personnel must take immediate corrective action. If corrective action is not taken, a public hearing can result and the department can pursue enforcement action through the courts.
	Access Restrictions	KRS 61.878 (1) (h), until investigation completed. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Original correspondence requesting an investigation; correspondence acknowledging receipt of request; results of investigations; incident report (if applicable); copies of corrective orders
	Retention and Disposition	Retain in Agency five (5) years. Destroy. NOTE: If litigation results, file must be retained until final resolution

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Corrections, Department of
Mental Health

Record Group
Number
0635

Series	Records Title and Description	Function and Use
05455	Sex Offender Risk Assessment (S.O.R.A.) Files (V)	This series documents efforts to conduct risk assessments of convicted sex offenders. The Sex Offender Risk Assessment Unit (a.k.a. Sex Offender Risk Assessment Advisory Board) was established in January 1999 and is attached to the Department of Corrections pursuant to KRS 17.554. S.O.R.A. performs duties stated in the statutory requirements of KRS 17.552-17.578 and per KRS 17.554 (2) develops a comprehensive sex offender pre-sentence evaluation that is used by approved providers in assessing the risk of recommitting a sex crime by a sex offender, the threat to public safety, amenability to sex offender treatment, and the nature of the required sex offender treatment as required by KRS 532.050 (Comprehensive Sex Offender Pre-sentence Evaluations). The evaluations are based upon, but not limited to: criminal history; nature of the offense; conditions of release that minimize risk; physical conditions that minimize risk; psychological or psychiatric profiles; recent behavior that indicates an increased risk of recommitting a sex crime; recent threats or gestures against persons or expressions of an intent to commit additional offenses; and review of the victim impact statement. The Board/Unit also coordinates, presents and sponsors training, produces research in collaboration with local universities, and trains practicum students.
	Access Restrictions	KRS 61.878 (1)(A); KRS 17.574. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, age, race, sex, date of birth, height, weight, hair and eye color, photograph, residence; Social Security number; criminal history; medical reports; psychological or psychiatric profiles; Victim Impact Statement; Court documents, including Orders; and Evaluation Reports
	Retention and Disposition	Retain in Agency for one year after required registration period, after registrant has relocated to another state or after death of registrant, then destroy

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Justice and Public Safety Cabinet
Corrections, Department of
Planning and Evaluation

**Record Group
Number
0635**

Series	Records Title and Description	Function and Use
02980	Weekly Population Summary - (Computer printout)	This series identifies the records of the location of inmates at each institution for tracking purposes and to ensure an institution is not overcrowded. Inmate institutional assignments are made according to the specific needs and/or medical treatment. Also, institutions receive funding based on the number of inmates housed at each facility.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of institution, date of summary, names and identification number of inmates and total number of inmates.
	Retention and Disposition	Retain in Agency five (5) years; transfer to the State Records Center for forty-five (45) years; destroy. Total retention is fifty (50) years.
04066	Executed Inmate Case Files (V)	This series documents the cases of individuals who have been executed in Kentucky. The files of all inmates given the death penalty will be maintained together. If the inmate is executed, the file will be maintained permanently under this series. If the sentence is changed from the death penalty, the file will be maintained as an Offender Record (02982). These files provide historical documentation regarding the death penalty in Kentucky.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Order for appearance of prisoners; detainers; physical identification forms; incident reports; pre-hearing detention forms; record of interview; academic/vocational school diplomas received; receipt for property; money; correspondence; work reports; meritorious-educational good time recommendations; good time restoration forms; commitment and court orders; sheriff's receipt; custody time credit; status change; notice of discharge; transfer medical clearance; notice of furlough; furlough application; parole board action sheet; parole reports; parole plans; employment placement verification reports; parole certificates; results of preliminary violation hearings; receipt for return of parole violators; parole violation transport authorization form; parole violation warrant; revocation of parole hearing form; notification of release of inmate; victim impact statements; pre-sentence investigations; psychological evaluations; psychiatric evaluations; test scores and test materials; progressive incarceration plans; progressive incarceration plan updates; academic/vocational school progress reports; classification review records; FBI sheet; transfer recommendation and authorization forms; additional execution material added
	Retention and Disposition	Retain in Agency five (5) years after case is closed; transfer to State Archives Center for permanent retention.

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Justice and Public Safety Cabinet
Corrections, Department of
Secretary's Office

**Record Group
Number
0635D**

Series	Records Title and Description	Function and Use
02962	Investigation Reports (V)	This series identifies the records in the investigation of alleged misconduct of Department of Corrections employees by inmates or another employee. The allegations of sexual misconduct are also included in this series. The investigation may result in disciplinary action by Department of Corrections and/or Justice and Public Safety Cabinet and/or criminal charges.
	Access Restrictions	KRS 61.878 (1) (h) (i) (j). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name of employee, complainant name, details regarding allegations, date and time of alleged occurrence, name of investigative personnel, findings, interview notes; findings, and correspondence
	Retention and Disposition	Retain in Agency for one (1) year after conclusion of all action; destroy.
03436	Inmate Grievance File	This series documents the grievance form and appeal records created in the inmate grievance process. The grievance procedure is available to inmates pursuant to 501 KAR 6:020, CPP 14.6. A grievance may cover a variety of issues and the procedure includes several appeal steps. Additions are made to the grievance form at each appeal step. The inmate may attach records to the grievance form initially and may add to the grievance at each appeal step. Responses to appeal steps are made on the grievance form and may include additional documents.
	Access Restrictions	KRS 197.023 (1) and CPP 14.6 (1). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Cover Letter, inmate grievance form, informal resolution stage, grievance committee recommendation, warden's review, grievance appeal form, secretary's review, grievance information form
	Retention and Disposition	Retain in Agency until December 31 of the following year after filing, then destroy.

Electronic System With Included Records Series

Justice and Public Safety Cabinet

Department of Corrections

System Description: The KOMS Project directly supports the Legacy Systems Modernization and Technology Consolidation program. It replaced three main offender databases which were approximately twenty-seven years old. It was difficult to maintain the systems and retrieve valuable inmate data. The three applications (ORION, KIMS and PPCMS) although essentially stable (in terms of security of data entered), were at varying stages of their expected life cycles and were not capable of interfacing with each other.

Phase One replaced the Offender Records Information and Operations Network (ORION), the oldest of the three. Orion managed the sentence expiration dates, parole dates, population movements, and population summary.

Phase Two replaced the Kentucky Inmate Management System (KIMS). KIMS maintained information on inmate housing locations, facility movements and transportation, canteen/commissary, inmate personal property inventory, crew work assignment and limited medical information on all inmates housed in the state's adult correctional facilities.

Phase Three replaced the Probation and Parole Case Management System (PPCMS). PPCMS maintained information for the Division of Probation and Parole, which included supervision levels, client demographics, client locations, case data, and supervision fee information for all 31,000+ probation and parole clients throughout Kentucky.

System Contents: KOMS is utilized by various Department of Corrections (DOC) staff in different divisions. The system maintains various menus based on the user classification and the security level assigned to the user. Access is restricted to authorized individuals. There is no public access available to KOMS. The system is used by DOC throughout the entire process from incarceration through probation and parole.

The Department of Corrections, Division of Probation and Parole and the Parole Board have update capabilities. The cafeterias are run by vendors and information from the vendor's systems is interfaced with KOMS. Jails and the Cabinet for Health and Family Services (CHFS) have read only access.

Information contained in KOMS includes inmate records, such as demographic information, photographs, assessments, classifications, jobs & program information, visitation information, time computations, commitments, incarceration information, criminal history, disciplinary actions, community supervision information, and probation and parole information. KOMS accommodates routine incarceration processes and routine supervision processes.

Administrative activities are completed through caseload management, appointment scheduling, population tracking, and facility transfers functions. Information regarding investigations, alerts and victim notification is available. Financial functions allow information such as obligations and fees to be created and tracked. The financial function allows for inmate banking transactions to

be setup and tracked within KOMS.

Technical support within the system includes system administration, security & control information, database maintenance, batch job processing, and help desk services.

Numerous queries and reports, such as administrative, financial, operating, statistical, etc., can be generated in various formats from the data contained in the system.

A sample of the various reports, charts and graphs include: Caseload Management, Inmate Banking Reports, Offender information, Support/Resource, Help Desk Utilization, New Offender registers, scheduling, and population tracking. Information from KOMS is utilized by the court system, the Parole Board and the Kentucky State Police.

Input into KOMS includes historical case records. Case records are scanned into KOMS on a routine basis.

Output from KOMS is used by the Victim Information and Network Everyday (VINE) and the Kentucky Offenders Online Lookup (KOOL) web-based databases which can be accessed by the public. KOMS provides data to VINE on an hourly basis and KOOL four times a day.

Data is also passed from KOMS to the Social Security Administration (SSA) and the Federal Aviation Administration (FAA). Demographic information from KOMS is sent to the Electronic Medical Records (EMR) system, which is an electronic system for inmate's medical records maintained by the Department of Corrections. Medical information is not maintained in KOMS. Information from KOMS is used by the Parole Board to create the Commonwealth Attorney's listing.

General Schedule Items:

<i>System Title:</i> Kentucky Offender Management System		<i>Alternate Title:</i> KOMS
<i>Series #:</i> <i>Series Title:</i>		<i>Disposition Instructions:</i>
02967	Inmate Canteen Reports	Retain in Agency three (3) years; destroy after audit.
02980	Weekly Population Summary	Retain in Agency five (5) years; transfer to the State Records Center for forty-five (45) years; destroy. Total retention is fifty (50) years.
02982	Offender Record - Master File	Retain in Agency until one (1) year after case closure. Transfer to the State Records Center for nineteen (19) years, then destroy. Total retention is twenty (20) years after case closure.
02983	Restoration of Civil Rights	Retain in agency seventy-five (75) years from date of receipt of receiving application for Restoration of Civil Rights, then destroy.

Series #:	Series Title:	Disposition Instructions:
02990	Inmates and Releases	Retain permanently in Agency.
02999	Inmate Injury Report	Retain in Agency twenty (20) years, destroy.
03004	List of Inmates on Death Row	Retain permanently in Agency, update as needed.
03006	Extraordinary Occurrence Report	Retain in Agency five (5) years after date of incident, transfer to State Records Center and retain at State Records Center for 15 years, destroy. Total retention is twenty (20) years.
03016	Inmate File (Institution)	Retain in Agency for five (5) years after case closure; destroy.
03018	Prisoner Payroll Records	Retain in Agency three (3) years and destroy after audit
03436	Inmate Grievance File	Retain in Agency until December 31 of the following year after filing, then destroy.
04066	Executed Inmate Case Files	Retain in Agency five (5) years after case is closed; transfer to State Archives Center for permanent retention.
04481	Preliminary Hearings Files	Transfer to the Department of Corrections, Offender Records Section, for inclusion in the Offender Record, 02982, upon notification of final action. The retention of Series 02982 is seventy five (75) years after case is closed.
04483	Parole Worksheet	Transfer to the Department of Corrections, Offender Records Section, for inclusion in Offender Record, Series 02982. The retention of Series 02982 is twenty (20) years after case is closed.
04484	Deferred/Serve Out Record	Transfer to the Department of Corrections, Offender Records Section, for inclusion in the Offender Record, 02982, upon final disposition. Series 02982 retention period is 75 years after date case is closed.
04485	Final Parole Revocation Hearing Record	Transfer to the Department of Corrections, Offender Records Section, for inclusion in the Offender Record, 02982, upon notification of final action. The retention of Series 02982 is twenty (20) years after case is closed.
04486	Warrant for Parole Violation	Destroy upon execution of the warrant. (The Official Record copy is maintained in the Offender Record, Series 02982, Department of Corrections and the retention period is destroy 75 years after case is closed.)

Series #:	Series Title:	Disposition Instructions:
05454	Sex Offender Files	Retain in agency seventy-five (75) years after required registration period or after death of registrant, then destroy.
05542	Inmate Account File	Retain in Agency five (5) years; destroy after audit.
05878	Notice to Commonwealth Attorney re Parole Eligibility	Retain in Agency and destroy 15 months from date of notification.
05879	Continuance Sine Die (CSD) Motions/Orders	Retain in Agency five (5) years and destroy
05881	Substance Abuse Program Participant Files	Retain in Agency - copies of Discharge Summaries and/or Termination Forms, Individual Aftercare Recommendations, and Certificate of Completion per Series Numbers 03016 - Inmate (Institution) File and 02982 -Inmate (Master) File; destroy all other remaining records six (6) years after completion or termination in SAP.
05883	Inmate Marriage Requests	Retain in Agency the request for marriage and supporting documentation for two (2) years after approval or disapproval of marriage request, then destroy. If the wedding occurs, a copy of the marriage license is placed in the Inmate File - Institution (Series 03016).