



Department of Education and Early Development
 Division of Libraries, Archives & Museums
 Alaska State Archives/Records & Information Management Service (ASA/RIMS)
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STATE OF ALASKA

Records Retention and Disposition Schedule

Agency I.D: 437 Schedule No: 20-437.1

DEPARTMENT OF CORRECTIONS

DIVISION OF INSTITUTIONS

437 - CORRECTIONAL INSTITUTIONS, STATEWIDE

The Agency will follow retention periods for common records as listed in the most current State of Alaska General Administrative Records Retention Schedule (GARRDS), unless those records have been listed on this schedule.

All prisoner and criminal justice records are confidential under provisions of AS 12.62.030, AS 12.62.035, 22 AAC 05.090(c), and 22 AAC 05.095. This schedule supersedes #201600.

All records that have potential permanent legal and historical value may be reviewed by the State Archivist for possible permanent retention in the State Archives in accordance with AS 40.21.030.

Under 4 AAC 59.005, it is the responsibility of agencies to ensure that records created and maintained in electronic systems remain accessible and durable for their prescribed retention period. This requires addressing the issues of periodic media refreshment, digital migration strategies and security plans. Backups produced for system recovery purposes do not serve a recordkeeping function or substitute for archived business essential duplicates.

Pursuant to the provisions of AS 40.21 and 4 AAC 59, the records listed on this schedule are approved for retention and disposition as indicated.

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|---------------------------|--------------------------------|---|
| Division Director | Signature of Division Director | Date |
| | * | 10/18/98 |
| Attorney General/Designee | Date | Commissioner of Administration/Designee |
| * | 11/8/98 | * |
| State Archivist | Date | Records Analyst |
| * | 1/14/99 | * |
| | | Date |
| | | 10/22/98 |

* Original signatures held on file.

| Item No - Record Series Title & Description | Format | Total Retention | Bus. Ess. | Remarks |
|---|--------|-----------------|-----------|---|
| <p>001 - Inmate Case Files (Sentenced Prisoner Records) These case files document inmate's term of incarceration and/or term of probation/parole and include the following: pre-sentence investigation reports; court judgments (temporary and permanent); time accounting papers; classification reviews; request for interviews; probation officer notes; correspondence with institutions, attorneys, relatives; commissary slips; time accounting records; and miscellaneous court pleadings. Each inmate is assigned an OBSCIS number.</p> <p>The files are arranged alphabetically by name.</p> | | T | Y | <p>T = As long as the inmate is institutionalized. File is transferred with the inmate if he/she is placed elsewhere in the state system, transferred to probation office if placed on probation or transferred to central records when sentence is completed.</p> <p>OBSCIS = Offender Based State Correctional Information System.</p> <p>Per policy #602.01, the inmate file consists of four parts: booking/transfer sheets; time accounting, classification, disciplinary; other documents</p> |
| <p>002 - Inmate Medical Case Files This series consists of an eight part chart (per DOC 807 policies) of medical, dental, and psychiatric records and may include: reports, assessments/analyses, x-rays, rehabilitation therapy notes, medication records, etc.</p> <p>Arranged alphabetically by name.</p> | | T | Y | <p>T = As long as the inmate is institutionalized. File is transferred with the inmate if he/she is placed elsewhere in the state system or transferred to probation office if placed on probation or transferred to central records when sentence is completed.</p> |
| <p>003 - Logs Includes sign-in, segregation, visitor, post and booking logs.</p> <p>Arranged chronologically.</p> | | 6 | | |
| <p>004 - Training Files This series documents staff professional development and consists of evaluations, training worksheets, completion notices, certificates, course information/outlines, and correspondence.</p> <p>Arranged alphabetically by name.</p> | | C+6 | | <p>C = Until employee is no longer with the Division of Institutions.</p> |

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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| <p>Retention Key</p> <p>A = Until Audit C = Cut-off event/date CY = Current Year CFY = Current Fiscal Year PA = Permanent (Transfer to State Archives)</p> <p>PO = Permanent (Retain in agency office) S = Until Scanned T = Transfer TO = Term of Office</p> | <p>Format Key</p> <p>H = Hardcopy E = Electronic D = Database M = Microform</p> | <p>Bus. Ess = Business Essential</p> <p>1. Are necessary for emergency response 2. Are necessary to resume or continue operations</p> |
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| Item No - Record Series Title & Description | Format | Total Retention | Bus. Ess. | Remarks |
|---|--------|-----------------|-----------|--|
| <p>005 - Offender Financial Accounting System (HOFA) The inmate HOFA accounts are located on a statewide information system that tracks prisoner funds used to purchase items from the commissary (e.g. postage stamps, clothing, etc.) Other disbursements may be for various clubs.</p> | | C | | <p>C = Until the inmate is no longer institutionalized.</p> <p>Hardcopy is kept in inmate case file item #001.</p> <p>Pink copy held by the institution.</p> |

You can transfer records to an approved records center at any point - complete a Records Transfer List (RTL) and submit it to your Records Officer for approval.

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