

DOC1 Wardens and Directors Records

Documents the activities and roles of Wardens, Deputy Wardens, Directors, Assistant and Associate Directors or other comparable executive level officials. Includes records on policy or decision making, program development and review, major program issues and concerns, plans and reports, speeches, directives, correspondence, and routine administrative program records.

a) Substantive records on policy or decision making, program development and review, major program issues and concerns, plans and reports, speeches, directives, and relates correspondence

Retention: Permanent.

b) Routine program administrative records including basic monitoring reports, correspondence with inmates, and routine form sign-offs

Retention: Retain ten (10) years.

c) Transitory records such as informational bulletins, announcements, and invitations

Retention: Retain until of no further administrative value.

DOC2 Program Audit Records

Documents the audit, inspection, or investigation of facilities, processes, and programs. Includes logistics, background notes, reports, responses, and related correspondence.

a) Final reports

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years.

DOC3 Internal Affairs Records

Documents investigations into department personnel or staff criminal or suspect activities, use of force, or unprofessional behavior. Includes investigation materials, reports, and related correspondence.

a) Records relating to significant or note-worthy cases, situations, or individuals

Retention: Permanent.

b) All other records

Retention: Retain five (5) years after termination of individual's employment.

DOC4 Inmate Investigation Records

Documents investigations into inmate or non-staff person's criminal or suspect activities. Includes investigatory notes and materials, out of state inquiries, and related correspondence and reports.

a) Records relating to significant or note-worthy cases, situations, or individuals.

Retention: Permanent.

b) All other records

Retention: Retain twenty five (25) years.

DOC5 Institutional Census Records

Documents population levels/tracking within ACI facilities on an ongoing basis. Records include count reports, pop counts, and other log counts.

a) Final official overall midnight population count or its equivalent

Retention: Permanent.

b) All other records

Retention: Retain three (3) years.

DOC6 Institutional Shift Records

Documents the daily shift activity taking place within ACI grounds, facilities, and programs. Includes roll calls, routine inventories and inspections, population counts, log books, prisoner marshalling/transfer sign-offs, inmate property sign-offs, Main Communication System (MCC) blotters, sign-ins for all facilities, laundry, kitchen, mail, library, or other programs.

a) Logbooks, MCC daily blotters, shift roll calls, incident reports

Retention: Retain seven (7) years.

b) Routine inventory and inspections, population counts, transfer records

Retention: Retain three (3) years.

c) Records relating to unusual incidents or which may require some type of follow-up or investigation

Retention: Duplicate and file under appropriate records series and retain according to the retention periods for those records series.

Note: Before discarding any records send the State Archives a sampling of all records at ten-year intervals, and/or when significant changes to methods of recording information have taken place. Sampling technique to be determined in consultation with the State Archives.

DOC7 Code/Event/State of Alert Records

Documents disturbances or events requiring emergency response or out of the ordinary monitoring precautions. Codes are in three categories: fire, medical, and everything else. Includes copies of incident reports, logbook entry copies, background support documentation, witness statements, use of force reports, investigation materials, and related correspondence.

a) Records documenting major disturbances

Retention: Permanent.

b) All other records

Retention: Retain twenty-five (25) years.

DOC8 Inmate Control Case Files

Records consist of both individual hardcopy files and electronic data stored in a Department of Corrections database management system. Documents the commitment, classification, transfer, release, and final legal discharge of individuals sentenced to ACI. Also provides a record of the major activities, events, and legal actions involving inmates while incarcerated. Includes identification and background documentation, classification designations and profiles, discipline reports, court papers, program participation documents, parole board correspondence, and related correspondence.

The DOC also manages an Inmate Facility Tracking System, an automated database management system that has been in operation since the early 1990s. It currently contains data on the identity, status, and incidents relating to individual inmates present in jail or housed in one of the Adult Correctional Institute's facilities as of the early 1990s. The system includes numerous applications used by DOC for retrieval of current and historical data, data manipulation, inquiry screen views, and report production. The system contains inmate demographics, inmate incarceration information and history, classifications, disciplines, visits pay and job history. Legacy or archived inmate data for deceased inmates is stored in separate location. Database contains no health or medical information. RIGL 11-25-17

Note: File is often referred to as the six-part folder or ID folder although the physical arrangement and storage of documentation may change with increased use of computer database systems.

Note: In compliance with RIGL 11-25-17, records on reception, discharge, death, pardon, or escape, and all disciplinary action for breach of institution regulations, and all medical care received must be retained.

a) Hard copy files for sentenced and deceased inmates

Retention: Transfer to archives for possible weeding and selection forty (40) years after discharge from facilities, or upon an inmate's death.

b) Individuals who were never sentenced

Retention: Retain twenty-five (25) years after discharge.

c) Inmate Facility Tracking System Data (InFACTS)

Retention: Permanent.

Note: Retain all system documentation for one year after data transferred to new or upgraded system, system has been restored, and all system and inmate data has been validated and verified as accessible, accurate, legible and complete.

d) Post-1992 hard copy files for sentenced and deceased inmates

Retention: Verify entry in InFACTS, retain until inactive, and then discard.

DOC9 Inmate Medical Case Files

Provides a central core record of inmate medical condition and all treatments to meet the medical/legal interests of the Department of Corrections, the inmates, and care providers in compliance with RIGL 11-25-17 requiring records to be maintained on all medical care received. Records include release of medical information, access to file permissions,

informed consents, physician notes and orders, medication records, lab and x-ray reports, dental charts, infirmary and hospital visits, and related correspondence.

The DOC also manages a comprehensive medical history database system. The system produces an electronic health record related to scheduled and unscheduled patient encounters across a broad spectrum of providers. All care provided to the inmate population is either entered directly into the database or scanned as PDF file, all matched to every patient with a unique medical record number. All encounters and results are available to the providers on a real-time basis. The record includes dental, behavioral/mental health, general medical care, specialty clinics like ENT, podiatry, general surgery, orthopedic, cardiology, physical therapy, ophthalmology, and interagency information to/from acute care hospitals in Rhode Island.

Retention: Retain records/data ten (10) years after discharge from facilities.

Note: If inmate returns reactivate the original file.

DOC10 Inmate House Case Files

Documents an inmate's residential history while incarcerated within a given facility such as Minimum, Medium, or Maximum Security or under the monitoring of Community Corrections programs or Interstate Compact program, or other program. Includes transfer information, employment information, progress reports, social program documentation, court correspondence, property and account information, mail and phone logs, discipline and grievance records, incident reports, and other inmate activity documentation.

Note: Core information is also kept with the central inmate control file.

Retention: Retain ten (10) years after discharge from facilities.

DOC11 Inmate Discipline Records

Documents investigations into purported infractions of ACI rules of prisoner conduct. Includes incident reports, discipline reports (booking sheets), witness statements, affidavits, evidence, hearing tapes and related correspondence. RIGL 11-25-17

Note: Summary discipline records are kept in the Inmate Control files and in the Inmate House files and retained according to the retention periods for those record series.

Retention: Retain four (4) years.

DOC12 Inmate Complaint/Grievance Records

Documents inmate inquiries, requests and/or complaints while incarcerated and any subsequent follow-up investigations. Includes letters, notes, request forms, requests for resolution of grievances, background documentation, investigator's reports, grievance logs, hearing documentation, responses, and related correspondence.

a) Requests

Retention: Retain ten (10) years.

b) Abandoned, incomplete, non-jurisdictional, or non-substantive complaints

Retention: Retain three (3) years.

c) Landmark or policy setting cases

Retention: Retain entire file permanently.

d) All other records

Retention: Retain ten (10) years after final resolution.

Note: Complaint correspondence is also kept in Inmate House file and retained according to the retention period for that record series.

Note: Take any necessary statistics before disposing of any records.

DOC13 Inmate Social/Educational Program Case Files

Documents inmate participation in education or social, vocational, or special limited enrollment programs such as special education, counseling, and library use. Includes program applications, evaluations and assessments, prior educational records, program plans, progress reports, classroom records, formal student transcript record for certification programs such as GED, and related correspondence.

a) Transcripts

Retention: Permanent, or until verified as recorded permanently with the Department of Education.

b) All other records

Retention: Retain ten (10) years after discharge from facilities.

DOC14 Inmate Community Contact Work Release Files (previous series title: Inmate Furlough/Work Release Files)

Documents inmate's temporary limited release from confinement. Includes applications, investigation forms, classification board approvals and decision reports, terms and conditions, resident data sheets, community interaction reports, work assignment records, furlough logs, potential sponsor letters, facility notifications, furlough call-in forms, reports, and related correspondence.

Retention: Retain ten (10) years after discharge from facilities.

DOC15 Inmate Account Records

Documents inmate account fund activities, transactions, balances, and reconciliations. Includes ledgers, canceled checks, cash receipts, purchase orders, money transfer authorizations, restitution documentation, paycheck receipt verifications, and related correspondence.

a) General ledger (version showing greatest descriptive detail)

Retention: Retain ten (10) years.

b) All other general or subsidiary ledgers

Retention: Retain four (4) years.

c) Individual inmate account ledgers

Retention: Retain four (4) years.

d) All other payment support and account reconciliation records

Retention: Retain four (4) years.

DOC16 Inmate Industrial Program Records

Documents individual inmate participation in work-for-pay programs. Includes applications, assessments, job assignments, hours worked documentation, and payments due records.

Retention: Retain ten (10) years after discharge from facilities.

DOC17 Inmate Store/Commissary Records

Documents inmate purchases at the store/commissary. Includes cash receipts and tapes, checks, and other payment support and account reconciliation materials.

a) General ledger (version showing greatest descriptive detail)

Retention: Retain ten (10) years.

b) All other general or subsidiary ledgers

Retention: Retain four (4) years.

c) All other payment support and account reconciliation records

Retention: Retain four (4) years.

DOC18 Inmate Probation/Parole Case Files

Documents the activity of inmate while on probation or parole. Includes applications, court records, investigation and Board reports, terms and conditions, community notifications, probation caseworker assignments, interview and contact notes, incident reports, and related correspondence.

Retention: Retain ten (10) years after end of sentence.

Note: Do not reactivate closed case files.

DOC19 Parole Board Case Files

Documents the process to deny or grant parole to eligible inmates. Includes, applications, investigation materials, determinations, and related correspondence.

RIGL § 13-8-6

a) Selected files of landmark or noteworthy events or individuals

Retention: Permanent.

b) All other records

Retention: Retain ten (10) years after end of sentence.

Note: RIGL § 13-8-6 (14)(b) states that “Case folders shall be made available to each member of the board not less than a week prior to its meeting to interview applicants for parole and shall be maintained in the permanent files of the board”.

DOC20 Inmate Pardon/Commutation Records

Documents the process to pardon/commute the sentences of inmates. Includes requests and applications, investigation materials, Board discussion documentation, determinations, court documentation, and related correspondence.

Retention: Permanent.

DOC21 Parole Board Minutes

Documents the formal actions and activities of the Parole Board.

Retention: Permanent.

DOC22 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. RIGL 38-1-10, 38-3-6, and 42-8.1-10

Retention: Permanent.

DOC23 Transitions from Prison to Community (TPC) Program Records

Beginning in 2001, the National Institute of Corrections (NIC), part of the US Department of Justice, launched its Transition from Prison to the Community (TPC) Initiative. This initiative concerns the safe transition of a growing number of offenders from prison to the community. The approach emphasizes collaboration among public and private sector organizations and agencies, and provides a practical tool for corrections agencies to utilize. Rhode Island joined the TPC Initiative in 2002.

A Transition from Prison to Community Data System (TPCDS) stores the program’s records and is currently being utilized by DOC counselors, discharge planners, and teachers. The fundamental activities of criminal justice case management include engaging the client in the treatment process, assessing the client’s needs, developing a service plan, linking the client with appropriate services, monitoring client progress, intervening with sanctions when necessary, and advocating for the offender. The system’s Inmate Details (populated by INFACTS – see DOC8 c)), Incarceration Details, and Parole Plans documents are in use as needed and populated by Adult Counselors for inmates under consideration for parole release. The system also includes a view of Details of the Parole Plan and the Parole Risk Instrument, both of which are completed before the Parole Board for consideration of parole release sees an offender. A TCU Drug Screen (Texas Christian University Drug Screen) is currently being completed for parole eligible inmates. A Reentry Plan is generally completed for higher risk inmates or inmates who have individual discharge planning. It is expected that the Reentry Plan will cease to exist in its present form when the case management process is developed and implemented and program plans are also not being

Department of Corrections

Records Retention Schedule

Approved June 2002 & Amended April 2011

used; they are part of the “to be developed” case management process. This is viewed by over 350 users to make decisions about an inmate’s discharge and services that might be needed view the TPCDS.

Retention: Permanent.