

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>201#:</b>						
<b>Schedule #:</b> 576 3#:Commissioners Legal Files						
Description not provided.	Paper	11/12/1986	Years 7	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 576 4#:Commissioners Correspondence & Report Files						
Commissioners correspondence Department of Corrections. Originally scheduled as destroy has been superceded by General Schedule #13 Archives.	Paper	11/12/1986	Years 7	No Retention 0	Archives	Current
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<b>Schedule #:</b> 643 32:Press Releases - Corrections						
Press releases are electronic documents produced for the purpose of informing the public on actions, plans or positions of Maine Department of Corrections relating to its daily operations. All press releases are stored on a DOC server for a period of 4 years, in agency and then destroyed/deleted.	Digital File	3/1/2021	Years 4	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 643 5#:Legislation Files - Corrections						
Legislative testimony files contain Department of Corrections statements and testimony to the state legislature regarding DOC's positions on legislation and legislative matters. These are digital files kept on a DOC server for 4 years, in agency, and then destroyed/deleted. They are kept as a matter of public record and for reference in future legislative sessions.	Digital File	3/1/2021	Years 4	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 673 7#:Administrative Files - Associate Commissioner, Corrections						
Correspondence and related documents generated by Associate Commissioner in dealings with institutions and programs assigned by Commissioner. May include informal meeting agenda, informational reports, and projections for assigned programs.	Paper	1/19/2024	Years 3	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 740 10#:Interstate Compact Files						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Department retains paper and electronic copies of all Interstate Compact Agreements with other states. These contracts support the transfer of sentenced prisoners to another jurisdiction where they will serve out the remainder of their states sentence. Transfers only occur when a state has a formalized agreement with the State of Maine.	Mixed	3/19/2021	Years 10	No Retention	0 Destroy	Current

Interstate requests are initiated by the State of Maine and outside States. The requests themselves are either initiated by Department request or by the sentenced individual, with Department support. Any request initiated requires a formal request from the State with an accompanying prisoner packet. This packet provides information on the individuals charges, their conduct within the facility and the reason the transfer request is being made. Packets that are reviewed and denied are immediately destroyed following a denial decision. Packets that are approved are copied and saved the Departments M drive and retained electronically. Paper copies of older approvals are retained within DOC Central Office.

Mixed media includes paper and digital records as stated above.

**Schedule #:** 970 12#:Department of Corrections Capacity and Census Data

Capacity and Census report is a weekly report that pulls data from the Departments electronic record keeping system (CORIS). This report provides a summary of the current capacity of each Correctional Facility as well as their current population numbers. This report also retains the number of individuals that are currently on supervised community confinement, escape status and out on an Interstate Active Detainer. Each report is saved as a pdf or excel file and retained on the Department's shared drive.	Digital File	3/1/2021	Years 15	No Retention	0 Archives	Current
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Security levels are no longer captured on this report and no longer needed as part of this items description.

**Schedule #:** 970 13#:Holding Facility/Monthly Population Report from Police Departments

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These are reports sent to this Department on a monthly basis from Maine Police Departments and Sheriff's Departments who operate a short-term detention or a holding facility pursuant to MRSA 34-A §1208. These reports provide detainee population information on an ongoing basis to include demographic information, crime information, and length of detention. Data from these reports is used for inspection purposes and also aggregated and reported to the U.S. Department of Justice as a condition of grant compliance.</p> <p>Records are received both electronically and in paper format. Any paper records received are scanned and destroyed.</p>	Digital File	3/14/2019	Years 2	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 970 14#:Review of Construction Plans &amp; Blueprints for County Jails</p> <p>If a county jail decides to build an addition, the Department of Corrections has to review the plans for standards compliance. This includes reviewing specifications and blueprints to ensure compliance with jail standards.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 970 15#:Investigative Files</p> <p>These files are created when the Department does investigative work such as suicides at county jails, employee wrong-doing etc. Records include: transcripts of interviews, Medical Examiner reports, other reports and related correspondence. Record retention begins once the investigation is concluded/closed.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 970 16#:Inmate Complaints</p> <p>Inmates in county jails have certain rights with regards to their treatment, access to programs and the like. They make complaints to this department regarding problems such as lack of medical treatment, access to recreation, religious freedom, etc. This includes complaint letter, a copy of grievance letter and related correspondence. Retention begins once the complaint is received. Complaints are retained regardless if they are found to be substantiated or unsubstantiated.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 970 17#:County Jail Inspection Files &amp; Reports</p> <p>Each county jail has to be inspected every 2 years. This is the file where we have records of each county jail inspected, the response copy from the county jail stating what they will do to come in compliance, and the correspondence related to the inspection.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p><b>Schedule #:</b> 970 18#:Requests for Resource Materials/Technical Assistance</p> <p>These are any requests received from a county jail that are concerning resource materials, staffing analysis or technical assistance for the operation of a county jail. Retention begins once the request is received.</p>	Digital File	4/29/2021	Years 3	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 971 20#:Director of Inspections Files</p> <p>These are files ranging from correspondence to and from the Director of Inspections to bond issues, goals and objectives for our department, jail administrator interviews at a county jail, requests for jail standards etc. The Director of Inspections uses these files to maintain all documents he receives in the course of business, plus copies of all documents he originates.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 971 21#:Contingency Reports from County Jails</p> <p>This is the Contingency Housing Plan Reporting Form which has to be completed by a county jail when their jail is filled to capacity. They must call other jails to make arrangements to send a prisoner to another facility. Then they must send the form to this department.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 971 22#:Detention/Holding Facilities Files and Correspondence</p> <p>This is correspondence and related information regarding inspections of detention and holding facilities of police departments.</p>	Digital File	4/29/2021	Years 10	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 971 23#:Staff Training and Development</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Department of Corrections has a Training and Staff Development Department that is responsible for the organization and oversight of all training offered to Department of Corrections Staff in Community Corrections, Central Office, Juvenile Community Corrections, Juvenile Facility and Adult Facility. Trainings include, but are not limited to new hire training, supervisory training, leadership courses and required yearly re-certifications.	Digital File	3/19/2021	Years 7	No Retention 0	Destroy	Current
All spreadsheets, rosters, lesson plans and course evaluations are retained electronically. There are three (3) databases that retain this information for DOC. An old ASPEN database that the Director of Training has access to (2010 - 2014), our training database (2014 -2017) and PowerDMS (2017 - present).						

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**Schedule #:** 971 24#:Community Corrections Program Applications

Pursuant to the Community Corrections Act, The Department of Corrections is required to hold 30% of the reimbursement to counties until they have submitted program applications for approval for Adult Community-based or juvenile secured detention into foster home care situations under adult supervision, called diversion: A diversion program. Pre-trial adults or adults not on secured detention may be placed in the community on work programs administered by private concerns.	Paper	11/1/1991	Years 7	No Retention 0	Destroy	Current
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**Schedule #:** 971 33:County Jail Monthly Juvenile Population Report Form

This a form which is sent to the Department of Corrections monthly from county jails showing how many juveniles they have incarcerated at their jails. The reports break down juvenile data on those who were held in county jail into several client level categories including: sex; race/ethnicity; most serious offense; date/time in custody; date/time released from custody; officer name; and location released to.	Digital File	5/12/2021	Years 10	No Retention 0	Destroy	Current
This report is sent to the Director of Correctional Operations and is used to ensure county jails are meeting federal standards for facilities providing temporary holding/detention of juveniles. The juvenile data reports are used in instances where investigations must be performed and are retained for a period of ten years beyond the year of holding.						

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**Schedule #:** 2100 28:Log Books

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	Years	In Agency Retention	10	Rec Center Retention	0	Disposition	Status
<p>It is the policy of the Department of Corrections that staff maintains accurate documentation of all scheduled and unscheduled activities occurring within adult and juvenile facilities. Logbook documentation is essential to effective record keeping practices. Accurate logbook documentation is also used to provide evidence of staff actions and sound correctional practices during legal proceedings. A Post Logbook shall be used by staff assigned at each post to document scheduled and unscheduled activities and actions occurring at a post relating to routine operations, resident conduct, incidents and emergency and critical incident situations. Post Logbooks shall include the following information: personnel on duty at the post; date and shift; time of each event for which an entry is made; summarized entry of the event logged and rationale for staff action as appropriate; signature/initials of staff making the entry. All staff shall print their name and sign their first entry in the logbook and shall initial all additional entries; accountability for all post inventory; results of alarm and other equipment testing; resident population count information; vehicular and pedestrian traffic through perimeter security gates and doors as appropriate; supervisors and persons not assigned to the post shall sign the logbook upon entering and exiting the area. Results of the fire drills, inspections shakedown; all critical incidents, emergencies, and use of force; all other scheduled and unscheduled activities and actions; and as required by post orders or by supervisory staff.</p> <p>Department of Corrections log books that are in paper format are retained in that format unless and until they are scanned/converted into digital format, after which they may be destroyed. The digital copies of the records are then retained as the record copy for the remainder of the 10-year retention period.</p>	Mixed	1/3/2022	Years	10	No Retention	0	Destroy	Current	

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**Schedule #:** 2107 29:Adult Facility Prisoner Case Records

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Prisoner case records consist of individual prisoner case files pertaining to each prisoner's custody, treatment, and progress while incarcerated at a Department correctional facility. While the contents of the files vary from prisoner to prisoner, nearly all include administrative, case management, program, financial, property, visit, and telephone records. The content of prisoner records includes:</p> <p>Administrative records include criminal justice agency and court documents including judgement &amp; commitments; detainers; warrants; writs and remands; personal legal documents; calculation of sentence and release date; extradition and transfer documents; intake and reception documents; disciplinary chronology; DNA record; substance abuse screening and assessment results; grievance records; all photographs taken of a prisoner, approved visitation and telephone list, prohibited contacts, release of information forms signed by the prisoner, and personnel property inventory; documents that prisoners may not have access to by law.</p> <p>Case Management records include a universal face sheet; intake sheet; hand writing sample; current photograph; housing chronology; orientation records; Individual Case Plan (ICP); case manager case notes; prisoner behavior; incident reports; disciplinary matters; special management housing status documents; program participation including academic and vocational education; work assignments; services provided including casework management; substance abuse treatment; community transition participation, furloughs and supervised community confinement documents, if any; selective service notification, and copies of personal legal documents and final discharge report.</p> <p>Records are considered closed once a prisoner is discharged or deceased. Records will be kept at the facility for 3 years after records are closed (discharged/deceased).</p>	Paper	7/11/2018 Years	3	Years 7	Destroy	Current

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**Schedule #:** 2137 30:Adult Facility Prisoner Education Records

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	Years	In Agency Retention	3	Rec Center Retention	7	Disposition	Status
<p>These records contain and document prisoner participation in educational programs such as Adult Basic Education (ABE), High School Diploma (HSD), High School Equivalency Diploma (HSED), College Transitions (CT), and Postsecondary Education. These records include: educational intake forms, evaluations and assessments, program plans, progress reports, classroom records, and related correspondence. In addition, copies of prior educational records such as formal student transcripts, diplomas and certificates are included.</p> <p>Prisoners who earn certificates, diplomas, or degrees while incarcerated receive the original record and the Department retains a copy. All certificate, diploma, and degree program transcripts are retained at the issuing school. All adult education records are stored in print and electronically through the Maine Dept. of Education database (MaineSTARS), which is accessed by all adult education programs. In addition, all high school equivalence diplomas are maintained in Diploma Sender, which is a national database.</p> <p>These records are kept to assist in educational planning as well as in the case that an inmate returns to custody. These records are used by correctional educators to document educational needs, verify program enrollment and program completion, as well as to assist in educational planning.</p>	Mixed	4/26/2019	Years	3		Years	7	Destroy	Current

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**Schedule #:** 2227 34:Policies and Procedures



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## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These records consist of policies and procedures, rules, and other similar documents that govern the Department's operations, programs, services, and projects. Includes working files and related documentation used in creating or revision of these documents. Policies are made available internally for the use of staff and non-confidential policies are available to the public.</p> <ol style="list-style-type: none"> <li>1. Department policies (current and archived since 2014) and related documentation are maintained electronically in the Department's online document management system (PowerDMS).</li> <li>2. Original policies signed by the Commissioner are kept in individual policy file folders in file cabinets in the Policy Office.</li> <li>3. A set of all current policies in paper form are maintained in a set of binders in the Policy Office.</li> </ol> <p>The State General Schedules are followed for the Department's APA (Administrative Procedures Act) Rules.</p> <p>One copy of each finalized and signed mandatory and elective policy will be retained permanently in the Agency. All publicly-disclosable mandatory policies will be sent to the Maine State Archives. Mixed media consists of both paper and electronic file.</p>	Mixed	11/8/2021	Variable - See Description	0	No Retention	Archives Current

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**Schedule #:** 2241 35:Benefit Fund

<p>A fund shall be established and maintained by each facility for the overall benefit of prisoners or residents. Fund monies shall not be used for programs, services, activities, capital improvements, supplies or equipment that are necessary to facility operations. Funds can be derived from donations, commissary commissions, phone commissions, unidentifiable funds received in the mail, bank interest, and any other sources approved by the Commissioner.</p> <p>All purchasing, capital improvement, and service contract requirements of the State and the Department shall be followed, as applicable.</p> <p>Documentation includes payables, receivables, cancelled checks, deposit slips, phone commission deposits, commissary commission deposits, credit card receipts, reimbursement records, resident payroll timesheets, and resident correspondence. This financial documentation is kept for 3 years.</p> <p>Benefit Fund bank statements are retained in Central Office for 7 years.</p> <p>Mixed media includes both paper and digital records.</p>	Mixed	5/12/2022	Variable - See Description	0	No Retention	Destroy Current
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p><b>Schedule #:</b> 2242 36:Canteen Funds</p> <p>It is the policy of the Department of Corrections that each facility shall ensure space is provided for a facility canteen or other provisions for canteen services are maintained to allow prisoners of adult facilities to purchase from the Department's contract vendor approved items that are not furnished by the facility.</p> <p>Residents are provided with an opportunity to purchase items that include but are not limited to food, personal hygiene, and electronic equipment. Financial records such as money transfer forms, item order forms, and resident account statements are all kept at the facility either electronically or in paper form.</p> <p>Canteen is handled by a combination of a contracted outside vendor and the facility annex. The Department pays all billing monthly. The invoice for payment and the check stub are maintained at the facility. Records pertaining to the facility annex (offering only specialized food items) are also kept both electronically and on paper.</p> <p>The financial records kept assist with identifying all purchases in the case of returns and damaged goods, resident money transfers, and inventory on site for the annex.</p> <p>Mixed media includes paper and electronic records.</p>	Mixed	5/12/2022	Years 7	No Retention 0	Destroy	Current
<p><b>Schedule #:</b> 2243 37:Prison Industry Account</p> <p>The Maine Department of Corrections operates their Industries Programs in five Adult Correctional Facilities. The program provides quality products to the public and other agencies while, very importantly, keeping as many residents busy as possible.</p> <p>Through an enterprise-style program, retail sales create documentation and records of a mostly financial nature. The Department retains a daily composite of showroom sales, credit card receipts, credit card batch receipts, production orders, internal requisitions, cash receipts, deposit slips, billing forms and daily sales summary.</p> <p>These items are required to track sales of produced saleable items, program/item profitability, cost accounting calculations, customer payments, sales tax obligations, and inventory.</p> <p>Mixed media includes paper and electronic records.</p>	Mixed	5/12/2022	Years 7	No Retention 0	Destroy	Current

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<b>201J: Juvenile Justice Advisory Group</b>						
<b>Schedule #:</b> 2224	2: Juvenile Justice Advisory Group (JJAG) Meeting Agenda and Minutes					
The Federal Office of Juvenile Justice and Delinquency Prevention (OJJDP) provide federal funding for the State of Maine to provide leadership, coordination and resources to prevent and respond to juvenile delinquency and victimization. Funding for these projects are handled in each state by an appointed State Advisory Group appointed by the Governor's office. In Maine, that group is known as the Juvenile Justice Advisory Group or JJAG. Maine Department of Corrections hires a federally funded Juvenile Justice Compliance Monitor who helps manage federal funding and ensure reporting and other federal mandates are met. The compliance monitor participates on the Juvenile Justice Advisory Group and works for the Department of Corrections Division of Juvenile Services, under the Deputy Commissioner of Juvenile Services. Agendas and minutes for all meetings are retained.	Digital File	7/23/2021	Years 7	No Retention 0	Archives	Current
<b>Schedule #:</b> 2225	3: Juvenile Justice Advisory Group (JJAG) Seat Appointment and Application					
Community members apply for and are appointed by the Governor's Office to serve on the Juvenile Justice Advisory Board. The original application, date appointed, and any reappointments are retained in agency for length of appointee's term of service.	Digital File	7/23/2021	Contingent Upon Event - See Description	0	No Retention 0	Destroy Current
<b>Schedule #:</b> 2226	4: Juvenile Justice Advisory Group (JJAG) Program Records					

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>Records in this series include:                      Inspections of juvenile holding facilities (Jails, police departments, Sherriff's, and courts) occur every 1-3 years and reports of findings are kept 7 years in agency in compliance of federal audit requirements. Destroy after 7 years.</p> <p>JJAG Contracts- RFPs are issued for federal JJAG approved services, all contract documents, vendor invoices, and related contractual documents are retained in agency for 7 years to satisfy the Federal audit requirements, then are destroyed.</p> <p>Statistical Analysis, Performance Measures, and Grant Closeout reports- these reports are generated in response to issued contracts and or required federal reporting. They are retained in agency for 7 years and then destroyed.</p> <p>Detention Logs- Any time a juvenile is detained in a county jail, or sheriff's department or approved holding facility they are required to file a monthly report the JJAG compliance monitor. These logs are retained seven years in agency to meet federal mandates and then destroyed.</p>	Digital File	7/23/2021	Years 7	No Retention 0	Destroy	Current

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### 217#:Juvenile Corrections

**Schedule #:** 1442 1:Probation and Parole Case Folders (Juvenile)

Records provide a chronological account of juvenile's criminal history to include police reports, agency actions and/or court dispositions, authorizations to release information and case notes. Keep in agency until client reaches age of majority plus 5 years.	Paper	12/10/2002	Years 5	Years 20	Destroy	Current
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### 204#:Long Creek Youth Development Center

**Schedule #:** 454 2#:Juvenile Facility Resident Special Education Records

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## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
The Special Education Student File located at the Arthur. R Gould School within Long Creek Youth Development Center contains documents that are highly confidential and are available on a restricted basis to IEP Team members. These include (but are not limited to) the following sections: File Sign Out, Parent Contact Sheet, Student Information Sheet Summary of Performance, Current IEP/Scored, Current Written Notice, IEP Attendance Form, Advance Written Notice, Age of Majority Letter, Direct Instruction Notes, Consultation Notes, Teacher Observations, Staff Accommodations-Sign Off, Personal Learning Plan Educational Testing (NWEA, WRAT and SAT Scores), Transcript Analysis Report Cards, LCYDC Letter to Superintendent, Detained Progress Reports, Project Impact Letters/ Notes Correspondence and Previous Records. These records contain and document juvenile student's participation in Special Education programs and document the levels of services received and the progress recorded. These records are kept to assist in educational planning as well as in the case when a student returns to DOC custody prior to their graduation from high school or receiving their HiSET diploma. The current Maine Local Government expectations provided via MADSEC indicate (Individual Student Records 18.19) for Special Education (Records pertaining to special education referrals and services provided to student) are to be retained until the individual turns 26.	Paper	5/7/2019	Contingent Upon Event - See Description	0	Years 10	Destroy Current

**Schedule #:** 532 3#:Client Case Files - Medical (Maine Youth Center)

Medical Record, Form 146, Continuation of Medical Record, Examinations and Recommendations, Clinic Sheet, Physician's Order Sheet, Request for Psychological and/or Psychiatric Examination, Form#4, Daily Medical Log, Copies of testing done for diseases, Medication Record, Inf, Form#1, Human Services Caseworker Reports, related correspondence, Infirmary Record, Inf Form #5 (when required) Infirmary Log, Inf. Form #7, Records of Immunizations and hearing and eye tests, Request for Laboratory Examination, Requisition for Drug Supplies, Request for Blood and Urine Examination.	Paper	9/4/1986	Years	100	No Retention	0	Destroy	Current
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**Schedule #:** 1668 10#:Juvenile Facility Detained/Hold for Court Resident Case Records

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## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>These are records of residents detained by court order for detention or remand, administrative hold order, bench warrant, or federal detainer, or detained as a runaway, escapee, or absconder from another state by the Department of Corrections for historical data reporting, proof of their care, movements and events having to do with each detainee. Administrative records include criminal justice agency and court documents including, police reports, judgement and commitment orders, remand and hold orders, writs, petition(s) for review of detention, affidavits, rights to release and consent to conditional release. Detained records include admission and orientation information, gang intake questionnaires, detention risk assessments, disciplinary reports, incident reports, general correspondence and if applicable; classification/special management placements.</p> <p>Resident records will remain in agency until age 21.</p>	Paper	3/25/2019	Years 0	Years 10	Destroy	Current

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**Schedule #:** 2108 30:Juvenile Facility Resident Case Records

<p>Juvenile case records consist of individual resident case files pertaining to each resident's custody, treatment, and progress while incarcerated at a Department juvenile correctional facility. While the contents of the files vary from resident to resident, nearly all include administrative, case management, program, financial, property, visit, and telephone records including:</p> <p>Administrative records include criminal justice agency and court documents including, judgement &amp; commitments; detainers; warrants; writs and remands; release date; transfer information, if applicable; resident housing assignments; personnel property inventory; substance abuse screening and assessment results; grievance records; family or guardian contact information for notification in case of an emergency; approved visitation and telephone list; and documents that residents may not have access to by law.</p> <p>Case Management records include admission and orientation information; social history; juvenile record; classification and placement; Individual Case Plans; program participation including academic and vocational education, work assignments; services provided including casework management, substance abuse treatment; passes/furloughs; disciplinary matters, incident reports; behavior management; special management; community reintegration; and final discharge report.</p> <p>Records are considered closed once a resident is discharged or deceased. Records will be kept at the facility for 5 years after records are closed (discharged/deceased).</p>	Paper	7/11/2018	Years 5	Years 10	Destroy	Current
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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p><b>Schedule #:</b> 2133 12:Juvenile Facility Resident General Education Records</p> <p>These records contain and document juvenile resident's participation in educational programming such as High School Diploma classes, Vocational classes, High School Equivalency Diploma classes and Post-Secondary education. These records include intake forms, high school transcripts, copies of GED / HiSet results/diplomas, copies of High School Diplomas, evaluations/assessments and personal learning plans. In addition, the cumulative records from the resident's prior schools are included.</p> <p>Residents who earn High School Diplomas or High School Equivalency Diplomas while incarcerated are given the originals, while the education department retains a copy. All juvenile education records are stored in print and electronically through the student information system (SIS), PowerSchool. In addition, all High School Equivalency Diplomas are maintained in Diploma Sender, which is an online database.</p> <p>These records are used by correctional educators to document educational needs, verify school attendance and graduation and to assist with educational planning.</p> <p>Records are closed upon discharge.</p>	Paper	5/7/2019	Years 5	Years 10	Destroy	Current
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<b>205#:Maine Correctional Center</b>						
<p><b>Schedule #:</b> 463 2#:Unwarranted Disciplinary Incident Report</p> <p>Consists of a single report of a disciplinary incident that was unwarranted and therefore shredded rather than added to the inmate case file. Either the Director, or the Disciplinary Board, makes the determination as to whether or the incident report is valid. Destroy after decision has been made.</p>	Paper	4/28/1986	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
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<p><b>Schedule #:</b> 1000 4#:Investigative Files (Maine Correctional Center)</p> <p>Alligations of wrong doing either by staff or prisoners must be investigated by the Security Officer. Review form, letter of complaint, investigative note and what ever evidence developes, disciplinary hearing and related correspondence. Keep in agency until case closed plus 7 years.</p>	Paper	7/27/1992	Years	7	No Retention	0 Destroy Current
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<b>206#:Maine State Prison</b>						
<p><b>Schedule #:</b> 610 8#:Weekly Library Records - Maine State Prison</p>						

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Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Weekly Resident Contract Summary - A complete record of all inmates who participate in one or more of those programs listed on the form. Library Log for Unassigned Inmates - A complete record of all inmates who have been given Library privileges during the week and returned to lock-up. Hourly Check Sheet - Accurate record of Inmate Workers is maintained by Library Officer.	Paper	3/4/1987	Years 5	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 684      11#:Inmate Medical and Dental Records (MSP)						
Medical and Dental records for all inmates who are or have been here at any time. May include: Medication Administration Record; Medical Classification Data; Inmate Medical Record; Physical Examination; Medical History; Analytical Record.	Paper	7/13/1995	Years 5	Years 15	Destroy	Current
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<b>Schedule #:</b> 727      10#:Inmate Property Records						
Property Inventory Sheet; Out-going property receipt; In-coming property receipt; Non-allowable property disposition; Daily log of incoming papackages. Keep in agency until release of prisoner plus 7 year	Paper	9/23/1988	Years 7	No Retention 0	Destroy	Current
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<b>Schedule #:</b> 888      12#:Administrative Segregation Records						
Administrative segregation hearings determine if a prisoner needs to be placed in isolation either for his protection, the protection of other prisoners or the protection of the institution. Files include administrative segregation hearing minutes, decision sheet, and some investigative information & notes.	Paper	11/28/1990	Years 6	Years 15	Destroy	Current
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<b>Schedule #:</b> 1163      15#:Staff and Business Sign In Sheets						
Anyone visiting inmates or doing business with the prison must sign in a log book.	Paper	4/14/1995	Years 6	No Retention 0	Destroy	Current
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<b>615#:Office of Victim Services</b>						
<b>Schedule #:</b> 2220      1:Direct Victim Service Files						



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## 3: Corrections

Description	Media	Last Updated	Years	In Agency Retention	10	Rec Center Retention	0	Disposition	Status
<p>The Department of Corrections Office of Victim Services creates Direct Victim Service Files on all residents whose victims have requested additional information including a safety planning meeting, Victim Offender Dialogue, restitution information and for those victims that have submitted an annual victim satisfaction survey. Files are also maintained for Residents that submit an apology letter to their victim to be held in a repository until claimed. These files consist of several documents regarding the sentence, victim contacts, confidential victim contact information and input, and other notes regarding the research done on the case in order to address the topic at hand (i.e Safety planning, Victim Offender Dialogue, apology letter bank, restitution inquiries, and victim satisfaction survey results.</p>	Mixed	5/11/2021	Years	10		No Retention	0	Destroy	Current
<p>Safety Planning Meetings- The Department Office of Victim Services retains copies of all Safety Planning Meetings held with victims of crimes. These meetings occur prior to or shortly after the release of the resident. These meetings are confidential and victim safety concerns are discussed along with the resident’s final plan and probation conditions. These documents are retained with the Office of Victim Services. These victim related documents are confidential and not to be released to the Public.</p>									
<p>Victims Offender Dialogue requests and Dialogues- Upon request from a victim, and upon approval according to Policy 6.8, a confidential facilitated dialogue may take place on a one-time basis to discuss the crime in a restorative nature. Certain criteria must be met to proceed as outlined in Policy.</p>									
<p>Apology Letters- Perpetrators of an offense may wish to submit a letter of apology to their victim(s) for their actions. These letters are sent to the office of victim services. If there is not a prohibition on contact with the victim, and upon review for appropriateness by the Office of Victim Services (OVS), an attempt to contact the victim will be made. If the victim wishes to receive the letter, that letter may be forwarded to the victim and/or it will remain with the office of victim services in the confidential apology letter bank. The apology letter bank includes original copies of all letters that are secured in a locked file cabinet within the Office of Victim Services.</p>									
<p>Restitution Orders- Restitution orders are issued by the Courts and enforced through the Department of Corrections with management and oversight by the Office of Victim Services pertaining to any victim related issue. A copy of restitution orders are retained in the Direct Service File. Any issues with a restitution order, set-up, or inquired upon by a victim are first directed to this office for research and resolution.</p>									
<p>Victim Satisfaction Surveys- are mailed out on an annual basis to any victim participating with Office Of Victim Services in the previous year. Information received back from these surveys is reported out to the community and other stakeholders and informs the work that is done by the Office of Victim Services.</p>									

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
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Direct Service Files are considered closed 10 years after the release of the offender.

Mixed media includes both paper and digital files.

**Schedule #:** 2221 2:Programming & Intervention Services

The Department of Corrections Office of Victim Services retains Batters Intervention Program rosters and program assessment and completion data. This data is used for writing and submitting the Batterer Intervention Legislative Report, Batterer Intervention annual data and Batterer Intervention Standards review. These reports are required by statute. Title 34-A; Corrections §1214 5 and 03-201 DOC Chapter 15 Batterer Intervention program Certification #2	Mixed	5/11/2021	Years	10	No Retention	0	Destroy	Current
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Records close 10 years after the release date of the offender.

Mixed media includes paper and digital records.

**Schedule #:** 2222 3:Contact with Victims Waiver Requests

Department of Corrections policy 6.3 Contact with Victims prohibits contact between a victim and perpetrator, while the perpetrator is currently under sentence of the offending crime. This prohibited contact may be extended by the request of the victim or by the Department of Victim Services through the mail, phone, visit policies in addition to policy 6.3. All decisions are confidential and are retained by the Office of Victim Services. This office retains all Domestic Violence/Sexual Abuse of a Minor/ child abuse and neglect waiver requests and the decisions made. This policy confidentiality pertaining to victim information is guided by statute Title 34-A; Corrections §1214 3. F	Mixed	5/11/2021	Years	10	No Retention	0	Destroy	Current
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Files are considered closed 10 years after the release of the offender.

Mixed media includes paper and digital records.

**Schedule #:** 2223 4:Victim Notification & Requests

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
<p>All requests for victim notification are received by this Department via written request or phone call. A victim notification request is what implements the victim notification process. Upon the request from a victim who wishes to receive notification of a residents release or escape, the DOC shall keep the victim's written request for a notification and shall notify the victim by mail of any impending release as soon as the release date is set or if the resident has escaped, by the quickest means reasonably practicable. These notification requests alert this Department to notify the victim when their perpetrator is considered for job placement in the community, Supervised Community Confinement, or release from the Department and other reasons according to statute and policy. In cases where their perpetrator is applying for Supervised Community Confinement (SCCP) a statement from the victim may be submitted for consideration. A request becomes inactive when the perpetrating resident has been fully discharged from the Department of Corrections from the sentence involving the victim. This is guided by statute 17-A §2106 and Title 34-A; Corrections §1214 3. D</p>	Mixed	5/11/2021	Years 10	No Retention 0	Destroy	Current

If an incarcerated resident is having unwanted contact with a civilian, that civilian can request that the contact cease. In these cases, the resident is issued a Harassment Warning. All requests for Harassment are received and monitored by the Office of Victim Services. Harassment warnings becomes inactive when the resident has been discharged from the care or custody of the Department of Corrections. 34-A §1214 3 E

Records close 10 years from the release of the offender.

Mixed media includes paper and digital records.

### 237#:Probation and Parole

Schedule #:	247	4#:Adult Community Probation Individual Case Files				
<p>Case files kept in local Adult Community Probation offices. They contain paperwork generated as a result of an individual being placed on probation. Items contained in these files vary, but include judgement and commitment orders, probation orders, police reports, treatment records, client correspondence, court revocation orders, appeal decisions, and grievances.</p>	Digital File	8/4/2022	Years 10	No Retention 0	Destroy	Current

The digital file will be retained for 10 years.

# Department Series Report

## 3: Corrections

Description	Media	Last Updated	In Agency Retention	Rec Center Retention	Disposition	Status
Paper files are retained until closure of a probation record. The original case files are then uploaded to DocuWare, an electronic storage system maintained by State of MaineIT, Office of Information Technology. Once the file is verified for accuracy, paper records will be destroyed.	Paper	8/4/2022	Contingent Upon Event - See Description	0	No Retention	0 Destroy Current
<b>Schedule #:</b> 557 5#:Master Cards for Probation & Parole Clients						
Contains names of probationers, home addresses, date of birth, parents of juveniles, spouses of adults, date of commitment and similar pertinent information. The cards are also used as index files to locate case folders, as well as for quick reference.	Paper	10/1/1986	Years	100	No Retention	0 Destroy Current