

 <p style="text-align: center;"><b>DIVISION OF ADULT INSTITUTIONS</b></p> <p style="text-align: center;"><b>POLICY AND PROCEDURES</b></p>	<b>DAI Policy #:</b> 300.00.73	<b>Page</b> 1 of 5
	<b>Original Effective Date:</b> 05/21/18	<b>New Effective Date:</b> 07/25/22
	<b>Supersedes:</b> 300.00.73	<b>Dated:</b> 05/21/18
	<b>Administrator's Approval:</b> Sarah Cooper, Administrator 7/15/22	
	<b>Required Posting or Restricted:</b> <input type="checkbox"/> Inmate <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted	
<b>Chapter:</b> 300 Administrative		
<b>Subject:</b> Correspondence Tracking Database		

**POLICY**

The Division of Adult Institutions shall respond to all correspondence received from inmates and the public in a timely manner.

**REFERENCES**

Attachment – DAI Correspondence Tracking Database Recommended Guidelines  
Administrative General Records Schedule RDA ADM00009  
DAI Policy 309.04.01 – Inmate Mail  
DOC Security Functional Schedule RDA 148  
Executive Directive 11 – DOC Records Management Program  
Office of Records Management-01 Privacy Breach Incident Reporting and Response Procedure

**DEFINITIONS, ACRONYMS AND FORMS**

BOCM – Bureau of Classification and Movement

CM – Correspondence Manager

CR – Conduct Report

CTD – Correspondence Tracking Database

DAI – Division of Adult Institutions

DOC – Department of Corrections

ICTS – Inmate Complaint Tracking System

PREA – Prison Rape Elimination Act

RDA – Records Dispensation Authorization

**PROCEDURE****I. General Guidelines**

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- A. The DAI Administrator, Bureau/Office Directors and Wardens/designee shall establish procedures, including timelines, for response to business-related correspondence received by their office or facility.
- B. The DAI Administrator, Bureau/Office Directors and Wardens/Superintendents, Deputy Warden, Security Director or designee(s) shall designate a minimum of one staff member/designee to manage correspondence on their behalf.
- C. Designated staff shall ensure compliance with records retention schedules as outlined in ADM00009 for appointed staff or equivalent positions and Security RDA 148 for security staff. The CTD replaces records retention requirements. Once the original document is scanned into CDT as the original, the paper version is shredded.

## **II. Correspondence Tracking Database Oversight**

- A. The DAI Administrator shall assign a CM who shall be responsible for the following:
  - 1. System oversight.
  - 2. System maintenance.
  - 3. Improvements and permissions.
  - 4. Training and policy development/revision.
  - 5. Problem solving.
  - 6. Documentation.
  - 7. Communication and compliance.
- B. The DAI Administrator, Assistant Administrator, Bureau/Office Directors, and Warden/designee, shall determine which correspondence shall be entered into the CTD.
- C. Correspondence recommended to be entered in the CTD includes that which is addressed to the DAI Administrator, Assistant Administrator, Bureau/Office Directors, Warden/designee, Deputy Warden or Security Director as outlined in the Attachment.
- D. Positions mentioned in section I.B. above shall ensure their designated staff have appropriate permissions within the CTD by contacting the CM, and are trained in its use. They shall also notify the CM when a user's permissions need to be removed for such reasons as a role change or separation from the department.

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- E. Wardens/Superintendents/Bureau/Office Directors/designee shall establish methods for the periodic monitoring/auditing of their CTD entries to ensure system fidelity and compliance.

### **III. Correspondence Tracking Database Use**

- A. Designated staff shall complete CTD records in a thorough and timely manner; ensuring records are closed within 90 days of creation except where demonstrable cause exists.
- B. Designated staff shall ensure all uploaded documents:
  - 1. Follow required naming conventions.
  - 2. Are legible.
  - 3. Are properly oriented.
- C. Designated staff shall consider all CTD record fields to be required, except where marked optional.
- D. Designated staff shall neither access nor share a CTD record without a demonstrable business need, especially where protected health information may be contained therein.
- E. Designated staff shall ensure CTD records do not include personally identifiable information such as social security numbers, drivers license numbers or bank/other financial account numbers. Such information shall be redacted prior to upload when it exists in the original.
- F. Records more than six months old shall not be added to unless:
  - 1. The author is adding an “additional” correspondence related to an issue previously addressed.
  - 2. The correspondence directly identifies identical concerns to the original correspondence record.
  - 3. A note is added in the “Correspondence Closed” section to indicate what modification was made, why and the date.

### **IV. Inmate Complaint Review System**

- A. Correspondence shall neither take the place of nor override an ICTS decision.
- B. Designated staff shall verify whether an inmate has already submitted an inmate complaint on the issue prior to drafting a response.

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- C. If an inmate complaint has been filed on the issue and is pending, the response should reference the inmate complaint number and indicate the issue will not be addressed outside the ICTS.
  
- D. If an inmate complaint has been filed on the issue and has been decided, the response to the correspondence shall not address or contradict the complaint decision; but instead, indicate whether the inmate has exhausted their administrative remedies or direct the individual on the ICTS appeals process.

**DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES**

<b>Facility:</b> Name		
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<b>New Effective Date:</b> 00/00/00	<b>Supersedes Number:</b>	<b>Dated:</b>
<b>Chapter:</b>		
<b>Subject:</b>		
<b>Will Implement</b> <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
<b>Warden's/Center Superintendent's Approval:</b>		

**REFERENCES**

**DEFINITIONS, ACRONYMS AND FORMS**

**FACILITY PROCEDURE**

- I.
  - A.
  - B.
    - 1.
    - 2.
      - a.
      - b.
      - c.
    - 3.
  - C.

II.

III.

**RESPONSIBILITY**

I. Staff

II. Inmate

III. Other