

 <div style="text-align: center;"> DIVISION OF ADULT INSTITUTIONS POLICY AND PROCEDURES </div>	DAI Policy #: 300.00.73	Page 1 of 5
	Original Effective Date: 05/21/18	New Effective Date: 07/07/25
	Supersedes: 300.00.73	Dated: 07/25/22
	Administrator's Approval: Shannon Butcher, Administrator – 06/17/25	
	Required Posting or Restricted: <input type="checkbox"/> PIOC <input checked="" type="checkbox"/> All Staff <input type="checkbox"/> Restricted	
Chapter: 300 Administrative		
Subject: Correspondence Tracking Database		

POLICY STATEMENT

The Division of Adult Institutions shall respond to all correspondence received from PIOC 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 – PIOC 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

CM – Correspondence Manager

CTD – Correspondence Tracking Database

DAI – Division of Adult Institutions

DOC – Department of Corrections

DOC-400 – Inmate Complaint

ICTS – Inmate Complaint Tracking System

PIOC – Persons in Our Care

RDA – Records Dispensation Authorization

POLICY

I. General Guidelines

- 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.

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- B. The DAI Administrator, Bureau/Office Directors and Wardens, 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. The CTD replaces records retention requirements. Once the original document is scanned into CTD 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.
- E. Wardens//Bureau/Office Directors/designee shall establish methods for the periodic monitoring/auditing of their CTD entries to ensure system fidelity and compliance.

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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. (Example: Last Name, First Name, DOC #, Facility, Subject of Letter, Date Written or Received.) "Original Correspondence" Not to be used.
 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. This 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 the CTD 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 PIOC have already submitted a DOC-400 on the issue prior to drafting a response.
- C. If a DOC-400 has been submitted on the issue and is pending, the response shall reference the complaint number and indicate the issue shall not be addressed outside the ICTS.

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- D. If a DOC-400 has been submitted on the issue and has been decided upon, the response to the correspondence shall not address or contradict the complaint decision; but instead, indicate whether PIOC has exhausted their administrative remedies or direct the individual on the ICTS appeals process.

DIVISION OF ADULT INSTITUTIONS FACILITY IMPLEMENTATION PROCEDURES

Facility: Name		
Original Effective Date:	DAI Policy Number:	Page 5 of 5
New Effective Date: 00/00/00	Supersedes Number:	Dated:
Chapter:		
Subject:		
Will Implement <input type="checkbox"/> As written <input type="checkbox"/> With below procedures for facility implementation		
Warden's/Center Superintendent's Approval:		

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