

770 – Corrections Department File Plan

This file plan was developed to be a guide for Corrections Department employees. This guidance document was created to ensure consistent records classification and to provide agencies with other relevant record information. The final disposition authority resides in the Functional Records Retention and Disposition Schedule (FRRDS), 1.21.2 NMAC.

This file plan only list records series of program's specific to the Corrections Department. For records series of a general administrative nature, refer to the General Administrative Records File Plan. For records of a financial nature, refer to the General Financial Records File Plan. For records of a personnel or medical nature, refer to the General Personnel/Medical Records File Plan.

770-001 VOLUNTEER SERVICES ORGANIZATION FILES:

Division/unit: Volunteer organizations

Maintenance system: Chronological by fiscal year, then alphabetical by organization name

Record series content: Records concerning programs that provide volunteer services to the correctional facilities. Files may contain *application for volunteer* form (CD-060201.1), *automobile insurance coverage* form (CD-060201.2), *volunteer job description* form (CD-060201.A), *American correctional association code of ethics* form (CD-060201.B), *guidelines for volunteers* form (CD-060201.C), *signed statement of understanding for volunteers* form (CD-060201.D), *volunteer program sign-in sheet* form (CD-060201.E), *volunteer training attendance and accountability sheet* form (CD-060201.F), *completed NMCD handbook for volunteers - prison volunteer guidelines inventory sheet* form (CD-060201.G), *volunteer program application for admission* form (CD-060202.1), *volunteer program biographical data* form (CD-060202.2), *pledge for maintaining confidentiality* form (CD-060202.A), *waiver of liability* form (CD-060202.B), *code of ethics acknowledgement* form (CD-060202.C), letters of recommendation, training materials, copies of reports, lists of names and addresses of volunteers, correspondence, etc.

Classification: 1.21.2.145 NMAC, Programs - Community and Public Relations

File closure: Close of fiscal year from last organizational activity

Confidentiality: Portions of these records may be confidential pursuant, but not limited to, 5 USC 552a (i.e., social security number).

[New - 03/31/2021]

770-002 to 770-010

770-011 CRIMINAL MANAGEMENT INFORMATION SYSTEM (CMIS):

Division/unit: Offender information

Maintenance system: Numerical by primary key (criminal sequential number)

Record series content: Database system that maintains information on individuals convicted of a crime or imprisoned in a correctional facility. Data may contain inmate name, CSN number, date of birth, social security number, location, demographics, offense committed, sentence information, admission and release dates, movement history, rehabilitation program history, behavior risk assessments, etc.

Classification:

(A) **Inmate financial account data:** 1.21.2.307 NMAC, Funds Management

(B) **All other data:** 1.21.2.904 NMAC, Inmate Files - Penitentiary

File closure:

(A) **Inmate financial account data:** Close of fiscal year after date annual audit report released

(B) **All other data:** Date of discharge

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, Protection of Records, Section 31-21-6 NMSA 1978 (i.e., social records, pre-sentencing reports, pre-parole reports,

supervision histories, etc.), Section 14-6-1 NMSA 1978 (i.e., health and treatment information) and 5 USC 552a (i.e., social security number).

[New - 03/31/2021]

770-012 INMATE TRUST ACCOUNT FILES:

Division/unit: Offender information

Maintenance system: Chronological by fiscal year, then numerical by inmate NMCD number

Record series content: Fiduciary records of checking and saving accounts held in trust for inmates. File may contain bank account statements, cancelled checks, money release forms, debit forms, inmate purchase orders, deposit slips, deposit batch ID, batch deposit reports, copies of money orders or cashier's checks or certified checks and receipts, canteen sales journals, inmate store sales journals, correctional facility pay forms, inmate account balance listings, money forwarded forms, bank reconciliations, inmate canteen sales statements, inmate ledgers, state dated check registers, family support registries, correctional facility payroll reports, monthly payroll distribution reports, copy of inmate grievance forms, correspondence, etc.

Classification: 1.21.2.307 NMAC, Funds Management

File closure: Close of fiscal year after date annual audit report released

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, policy CD-023500 (financial violations) and 5 USC 552a (i.e., social security number).

[New - 03/31/2021]

770-013 to 770-020

770-021 AMERICAN CORRECTIONAL ASSOCIATION ACCREDITATION AUDIT COMPLIANCE FILES:

Division/unit: Accreditation

Maintenance system: Chronological by calendar year, then numerical by standard number

Record series content: Records documenting audit compliance with the American correctional association accreditation standards. File may contain *equipment inventory*, copy of primary correctional training standards and secondary documentation on training policies, accreditation checklist, etc.

Classification: 1.21.2.415 NMAC, General - Audits and Compliance

File closure: Date of compliance audit

[New - 03/31/2021]

770-022 to 770-030

770-031 INMATE CASE FILES:

Division/unit: Inmate records

Maintenance system: Alphabetical by inmate surname

Record series content: Records concerning inmate case histories. Files may contain *escape flyer*; *individual inmate behavior log* (CD-143002.2); *community activity furlough*; *family visitation log* (*family visitation request forms*); *clearance memo*; *documents of relationships* (*birth certificated - marriage license*); *special needs form* (*native American identification*); admissions summary records; new commitments records; *receipt for state prisoner*; transport memoranda; *orientation form for intakes*; *disciplinary report log*; completed adjudicated disciplinary packets (guilty finding only - no dismissals); completed adjudicated disciplinary appeals and decisions; inmate requests - referrals for administrative segregation; inmate incarceration placement records; *waiver of protective custody*; administrative segregation committee hearing records; *notification of administrative segregation classification hearing*; waiver of committee hearing records; documentation on inmate's behavior; *request for voluntary placement in inmate protection form* (CD-143001.2); *judgment and sentence*; commitment papers; court orders affecting sentence computation; fugitive writs (NM and out-of state); correspondence from inmate;

notification of immigration and naturalization services of incarcerated foreign nationals; inquires or correspondence from family or friends of inmates; *victim notification of parole or discharge* (CD-040101.A); DNA documentation; institutional discharge certificate, parole certificate; parole plan investigation requests (inter-state and intra-state); parole board actions; probation or parole progress reports; *sex offender registration* (CD-0409901.A); *probation notification* (CD-040101.B); *release checklist* form (CD-080102.11); etc.

Classification: 1.21.2.904 NMAC, Inmate Files - Penitentiary

File closure: Date of discharge

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, Protection of Records, Section 31-21-6 NMSA 1978 (i.e., social records, pre-sentencing reports, pre-parole reports, supervision histories, etc.), Section 14-6-1 NMSA 1978 (i.e., health and treatment information), 5 USC 552a (i.e., social security number) and 42 USC 1320d (4) and 42 USC 1320-6 (i.e., health information).
[New - 03/31/2021]

770-032 DISMISSED DISCIPLINARY REPORT PACKETS:

Division/unit: Inmate records

Maintenance system: Chronological by calendar year and date of hearing, then numerical by log number

Record series content: Records of administrative hearings in which charges against an inmate were dismissed. Packets may contain *inmate misconduct report* form (CD-090101.1), *disciplinary officer's investigation report* form (CD-090101.2), *disciplinary officer's findings and recommendations* form (CD-090101.3), *disciplinary summary of evidence and proceedings* form (CD-090101.4), *disciplinary decision* form (CD-090101.5), *supplemental signature* form (CD-090101.6), *disciplinary appeal* form (CD-090101.7), *disciplinary segregation behavioral credit* form (CD-090101.8); disciplinary hearing tape recordings, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Date charge dismissed

Confidentiality: Portions of this record may be confidential pursuant to but not limited to inmate discipline, policy CD-090101 H 15 (i.e., confidential informant information).
[New - 03/31/2021]

770-033 to 770-040

770-041 LOCKDOWN, REINTEGRATION CLASSIFICATION APPEAL FILES:

Division/unit: Classification

Maintenance system: Chronological by calendar year, then by month

Record series content: Records concerning inmate appeals of classification decisions for placement into lockdown or reintegration into the general prison population. File may contain *level V or VI referral packet checklist* form (CD-1430001.6), *inmate appeal form* (CD-143001.7), written decision, correspondence, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year in which denied or approved

[New - 03/31/2021]

770-042 to 770-050

770-051 INMATE INFORMAL COMPLAINT FORM (CD-150501.3):

Division/unit: Inmate complaints and grievances

Maintenance system: Chronological by calendar year, then numerical by file number

Record series content: Records concerning informal complaints filed by the inmates. Form may contain inmate name, NMCD number, correctional facility name, housing unit cell number, name of subject or

person to whom the complaint was filed against, detailed explanation of complaint, inmate signature and date of complaint, reviewing staff member's name, recommendation, justification for the recommendation, staff member's signature and date of recommendation, inmate's acknowledged signature for receipt of recommendation and date, staff witness' signature and date for inmate's receipt of recommendation, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year in which complaint resolved

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).

[New - 03/31/2021]

770-052 INMATE GRIEVANCE FILES:

Division/unit: Inmate complaints and grievances

Maintenance system: Chronological by calendar year, then numerical by file number

Record series content: Records concerning grievances filed by inmates. File may contain *inmate informal complaint* form (CD-1505501.3), *inmate grievance* form (CD-1505501.1), *inmate 2-day notice of receipt of grievance* form (CD-150501.2), *emergency grievance statistical log* (CD-150501.A), *miscellaneous grievance status log* (CD-150501.B); list of witnesses; correspondence, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year in which case is closed

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).

[New - 03/31/2021]

770-053 INMATE GRIEVANCE APPEAL FILES:

Division/unit: Inmate grievance appeals

Maintenance system: Chronological by calendar year, then alphabetical by inmate surname

Record series content: Records concerning an inmate appeal on a denied grievance or an unsatisfactory response by the correctional facility on an inmate grievance. Files may contain grievance form, attachments; inventory property sheets, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year in which date file closed

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).

[New - 03/31/2021]

770-054 to 770-060

770-061 INVESTIGATION FILES:

Division/unit: Investigations

Maintenance system: Chronological by calendar year, then numerical by case number

Record series content:

(A) Inmate investigations: Records concerning inmate misconduct pertaining to the commission of a crime, a breach of procedure or an allegation of wrongdoing. Files may contain interview transcripts, interview tape recordings, photographs, case notes, copies of misconduct reports, master record entry records, FBI rap sheets, judgments and sentences, inventory custody and control sheets, correspondence, etc.

(B) Staff investigations: Records concerning staff misconduct pertaining to the commission of a crime, a breach of procedure or an allegation of wrongdoing. Files may contain interview transcripts, interview tape recordings, photographs, case notes, copies of misconduct reports, correspondence, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year after resolution of case

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, Paragraph 4, Subsection A, Section 14-2-1 NMSA 1978 (i.e., investigation records).

[New - 03/31/2021]

770-062 to 770-070

770-071 CANINE FILES:

Division/unit: Canine unit

Maintenance system: Chronological by calendar year, then alphabetical by dog name

Record series content: Records concerning training and assignments of canines. File may contain *K-9 patrol training log* (CD-131601-A), *K-9 narcotics training log* (CD-131601-B), etc.

Classification: 1.21.2.252 NMAC, Employee Training Files

File closure: Close of calendar year in which service is terminated

[New - 03/31/2021]

770-072 CANINE EXTERNAL AND INTERNAL SEARCH FILES:

Division/unit: canine unit

Maintenance system: Chronological by calendar year, then by date of search

Record series content: Records concerning canine internal searches of correctional facilities or external searches requested by outside federal or state agencies. File may contain *K-9 deployment log* (CD-131601.E), correspondence, etc.

Classification: 1.21.2.901 NMAC, Complaints and Investigations

File closure: Close of calendar year in which search conducted

[New - 03/31/2021]

770-073 to 770-080

770-081 PHONE MONITORING SYSTEM:

Division/unit: Phone monitoring

Maintenance system: Numerical by primary key (chronological by time of call)

Record series content: Electronic system used to monitor and record incoming and outgoing telephone calls. Data may include inmate name, inmate pin number, date and time of phone call, telephone number called, phone number and location of telephone being used, etc.

Classification: 1.21.2.910 NMAC, Surveillance

File closure: Close of calendar year in which telephone call recorded

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, Section 30-12-11 NMSA 1978 (i.e., confidentiality of wire or oral communications).

[New - 03/31/2021]

770-082 PHONE MONITORING RECORDS:

Division/unit: Phone monitoring

Maintenance system: Chronological by calendar year, then by time of call

Record series content: Verbatim recordings of outgoing and incoming inmate telephone calls.

Classification: 1.21.2.910 NMAC, Surveillance

File closure: Close of calendar year in which telephone call recorded

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, Section 30-12-11 NMSA 1978 (i.e., confidentiality of wire or oral communications).

[New - 03/31/2021]

770-083 INMATE ATTORNEY PHONE CALL FILES:

Division/unit: Phone monitoring

Maintenance system: Chronological by calendar year, then by month and week

Record series content: Records concerning accessibility and tracking of inmates unmonitored calls to attorneys. File may contain *attorney phone call log* (CD-150301.A), *attorney phone call request* (CD-150301.1), correspondence, etc.

Classification: 1.21.2.909 NMAC, Security and Access

File closure: Close of calendar year in which file created

Confidentiality: Portions of this file may be confidential pursuant, but not limited to, Subsection B, Section 38-6-6 NMSA 1978 (i.e., attorney-client privilege records).

[New - 03/31/2021]

770-084 to 770-090

770-091 SECURITY FILES:

Division/unit: Security

Maintenance system: Chronological by calendar year and month, then by date and time

Record series content: Records concerning documentation of correctional facility and inmate security protocols. Files may contain inmate change sheets; transfer sheets; institutional count sheets; master count sheets; sally port logs; inventory checkout lists; shift post logs; daily post log collection forms; morning and evening watch call logs; perimeter security inspection forms; shakedown and search records; control center daily logs; broken, lost or retained tools forms; briefing and unusual event forms; background investigation forms; teletype message logs; administrative message forms; NCIC cancellation forms; escapee and parole violation wanted forms; radio dispatch logs; dispatcher desk logs; key tracking forms; post order signature forms; visitor logs, etc.

Classification: 1.21.2.909 NMAC, Security and Access

File closure: Close of calendar year in which file created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, 5 USC 552a (i.e., social security number), 28 CFR 20 (i.e., protection of individual privacy) and Subsection B, Paragraph 4 of Section 14-2-1 NMSA 1978 (i.e., investigative information).

[New - 03/31/2021]

770-092 to 770-100

770-101 MASTER INVENTORY AND MONTHLY REPORTS:

Division/unit: Armory

Maintenance system: Chronological by fiscal year, then by month

Record series content: Reports concerning the inventory and condition of equipment, weapons and parts, chemical agents and ammunition for a correctional facility. Report may contain type and grade of ammunition, inventory of ammunition, non-lethal chemical munitions and equipment, lethal weapons equipment list, handcuff inventory, leg-iron inventory, belly-chain inventory, non-lethal equipment list, inventory of mental health security equipment, , munitions inspection sheet, munitions accountability sheet, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which report created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, CD-131400 Policy (i.e., armory operations)

[New - 03/31/2021]

770-102 SUB INVENTORY FILES:

Division/unit: Armory

Maintenance system: Chronological by calendar year, then by month

Record series content: Inventory of equipment issued to specific units within a designated correctional facility. File may contain various inventory forms such as *hospital detail bag* form, *housing unit* armory equipment form, *housing unit* control center equipment form, *quarterly weapon - ammunition inventory inspection* form, *quarterly chemical munitions inventory inspection* form, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which file created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, CD-131400 Policy (i.e., armory operations)

[New - 03/31/2021]

770-103 CHEMICAL AGENTS ISSUANCE FILES:

Division/unit: Armory

Maintenance system: Chronological by calendar year, then by day

Record series content: Records concerning chemical munitions issued to officers for the purpose of controlling inmate incidents. File may contain non-lethal chemical munitions and equipment log, chemical agent usage report, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which file created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, CD-131400 Policy (i.e., armory operations)

[New - 03/31/2021]

770-104 AMMUNITION ISSUANCE LOGS:

Division/unit: Armory

Maintenance system: Chronological by calendar year, then by date of issuance

Record series content: Records tracking the issuance and return of ammunition. Log may contain type of ammunition, amount issued, date and time out, issued by, issued to, purpose, date and time returned, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which file created

[New - 03/31/2021]

770-105 RESTRAINT EQUIPMENT ISSUANCE FILES:

Division/unit: Armory

Maintenance system: Chronological by calendar year, then by date of action

Record series content: Records tracking the issuance and status of restraining equipment. File may contain *handcuff inventory* log, *leg-iron inventory* log, *belly chain* log, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which file created

[New - 03/31/2021]

770-106 WEAPON ISSUANCE FILES:

Division/unit: Armory

Maintenance system: Chronological by calendar year, then by date of issuance or return

Record series content: Records tracking the issuance and return of weapons. File may contain *weapons issue* log, *lethal weapons equipment list*, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year in which log created

[New - 03/31/2021]

770-107 to 770-120

770-121 INMATE EDUCATION FILES:

Division/unit: Education

Maintenance system: Chronological by calendar year, then alphabetical by inmate surname

Record series content: Records documenting the educational history of inmate while incarcerated. File may contain *transition accountability plan; verification of education records request form; high school - GED verification report; RDC mental health face sheet for education department form (CD-180201.7);* reception and diagnostic center *interview form; inmate access advisement form; inmate literacy program (ILP) status form; reentry employability record form (CD-083001.3);* GED scores, testing information, class schedules, academic progress reports; certificates (i.e., *GED, commercial drivers license*, etc); *education department orientation questionnaire form; request for education services form; permission slips for records requests; adult basic education and literacy services pre screening for special learning needs form; request for special education records; copy of special education records; inmate referral for services form; standard aptitude test; multi-disciplinary treatment team records, consult forms; referral for testing packet; education assessments or diagnostics; individual education plan; success for offenders after release application packet; success for offenders after release testing results; success for offenders after release inmate success plan; college level examination program credits; correspondence; etc.*

Classification:

- (A) **Transcripts:** 1.21.2.189 NMAC, Student Transcripts
- (B) **All other records:** 1.21.2.188 NMAC, Student Records

File closure:

- (A) **Transcript data:** Date of discharge
- (B) **All other data:** Close of calendar year in which data created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, 20 USC 1232g (i.e., education records) and 42 USC 1320d (4) and 42 1320d-6(i.e. health information).

[New - 03/31/2021]

770-122 EDUCATION SERVICES PLAN:

Division/unit: Education

Maintenance system: Chronological by calendar year

Record series content: Records concerning annual plan for providing educational services to inmates. Plan may contain mission statement, vision statement, strategic plan for inmate programming, activities for accomplishment, scope of services, educational and vocational programs to be offered, organization charts of the education bureau, etc.

Classification: 1.21.2.185 NMAC, Programs - Education

File closure: Close of calendar year in which created

[New - 03/31/2021]

770-123 EDUCATIONAL DATABASE:

Division/unit: Education bureau

Maintenance system: Numerical by primary key

Record series content: Database maintains and tracks educational services provided to inmates. Data may contain information on inmate demographics, test results, current school year schedule, transcripts, courses completed, degrees received, inmate education background while incarcerated, etc.

Classification:

- (A) **Transcript data:** 1.21.2.189 NMAC, Student Transcripts
- (B) **All other data:** 1.21.2.188 NMAC, Student Records

File closure:

- (A) **Transcript data:** Date of discharge
- (B) **All other data:** Close of calendar year in which data created

Confidentiality: Portions of this record may be confidential pursuant, but not limited to, 20 USC 1232g (i.e., education records) and 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).

[New - 03/31/2021]

770-124 to 770-140

770-141 INMATE CLINICAL FILES:

Division/unit: Health services

Maintenance system: Chronological by calendar year, then numerical by inmate NMCD number

Record series content: Medical records concerning health services provided to inmates. Files may contain intake screening, health care assessment, treatment plan, treatment plan reviews, discharge summary, progress notes, psychiatry notes, medication administration records, psychological intake evaluations, psychosocial evaluations, mental health inpatient treatment center records, long-term care records, off-site health care records, correspondence, etc.

Classification: 1.21.2.831 NMAC, Patient Records - Adult

File closure: Date of discharge

Confidentiality: Portions of these files may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6(i.e. health information).

[New - 03/31/2021]

770-142 to 770-150

770-151 INMATE LEGAL MAIL FILES:

Division/unit: Correctional facility mailroom

Maintenance system: Chronological by calendar year, then by month and day

Record series content: Documentation on inmate correspondence from courts, judges, attorneys, veterans affairs, social security administration, child support enforcement division, etc. File may contain inmate legal mail log, *inventory-chain of custody* form (CD-090301.1), *evidence box sign-in log* (CD-090301.A), etc.

Classification: 1.21.2.905 NMAC, Inmate Mail

File closure: Close of calendar year in which created

[New - 03/31/2021]

770-152 PROPERTY RECEIPT FILES:

Division/unit: Correctional facility mailroom

Maintenance system: Chronological by calendar year and month, then alphabetical by inmate surname

Record series content: Records concerning goods mailed to inmates. File may contain inmate purchase order, property receipt, correspondence, etc.

Classification: 1.21.2.905 NMAC, Inmate Mail

File closure: Close of calendar year in which file created

[New - 03/31/2021]

770-153 REJECTION NOTICE FILES:

Division/unit: Correctional facility mailroom

Maintenance system: Chronological by calendar year and month, then alphabetical by inmate surname

Record series content: Records concerning notice of rejected mail for contraband. File may contain rejection slip, inmate purchase order, correspondence, etc.

Classification: 1.21.2.905 NMAC, Inmate Mail

File closure: Close of calendar year in which notice issued

[New - 03/31/2021]

770-154 to 770-160

770-161 HOUSEKEEPING INSPECTION FILES:

Division/unit: Fire, safety and sanitation

Maintenance system: Chronological by calendar year, then by quarter and month

Record series content: Records concerning housekeeping inspections for fire prevention, sanitation and safety. File may contain *housekeeping plans; daily housing unit safety and sanitation inspection sheets; housing unit weekly monthly inspection fire, safety, and sanitation sheets; weekly housekeeping plan staff department inspection sheets; work order requests; correspondence; etc.*

Classification: 1.21.2.908 NMAC, Safety Records

File closure: Close of calendar year in which created

[New - 03/31/2021]

770-162 FIRE EQUIPMENT INSPECTION FILES:

Division/unit: Fire, safety and sanitation

Maintenance system: Chronological by calendar year, then by quarter and month

Record series content: Records concerning inspection of fire equipment to ensure proper operating condition. File may contain *monthly fire extinguisher inspection, hydrant quarterly inspection, work order, correspondence, etc.*

Classification: 1.21.2.908 NMAC, Safety Records

File closure: Close of calendar year in which equipment inspected

[New - 03/31/2021]

770-163 GENERAL OR HYGIENE SUPPLY ISSUANCE FORM:

Division/unit: Fire, safety and sanitation

Maintenance system: Chronological by calendar year, then by quarter and week

Record series content: Form documenting general and hygiene supplies issued to inmates. Form may contain supply type (i.e., writing paper, envelopes, hand soap, razor, toothpaste, toothbrush, etc.), pod code, cell number, inmate receipt signature and NMCD number, printed name of issuing officer and signature, etc.

Classification: 1.21.2.908 NMAC, Safety Records

File closure: Close of calendar year in which created

[New - 03/31/2021]

770-164 CAUSTIC MATERIAL INVENTORY LOG:

Division/unit: Fire, safety and sanitation

Maintenance system: Chronological by calendar year, then by quarter and week

Record series content: Records monitoring the quantity and type of concentrate disinfectant materials used and in stock. Log may contain location, date, time, disinfectant materials, issued by, issued to, etc.

Classification: 1.21.2.110 NMAC, Logs

File closure: Close of calendar year in which created

[New - 03/31/2021]

770-165 INMATE ACCIDENT AND INJURY FILES:

Division/unit: Fire, safety and sanitation

Maintenance system: Chronological by calendar year, then by date of occurrence

Record series content: Records concerning any type of injury sustained and treatment rendered to an inmate. File may contain *inmate accident and-or injury report, medical incident report, correspondence, etc.*

Classification: 1.21.2.831 NMAC, Patient Records - Adult

File closure: Close of calendar year in which incident occurred

Confidentiality: Portions of these records may be confidential pursuant, but not limited to, Right to Inspect Public Records; Exceptions, Paragraph 1, Subsection A, Section 14-2-1 NMSA 1978 (i.e., physical or mental examinations and medical treatment).
[New - 03/31/2021]

770-166 to 770-170

770-171 INMATE ART AND CRAFT FILES:

Division/unit: Recreation

Maintenance system: Chronological by fiscal year, then numerical by inmate NMCD number

Record series content: Records concerning inmate activity within arts and crafts programs. File may contain *arts and crafts permit-inventory, staff custom work agreement, hobby craft waiver of liability, arts and crafts in-house list, etc.*

Classification: 1.21.2.601 NMAC, Agreements - Other

File closure: Date agreement terminated

[New - 03/31/2021]

770-172 INMATE SELF-HELP GROUP FILES:

Division/unit: Recreation

Maintenance system: Chronological by calendar year, then alphabetical by group name

Record series content: Records concerning voluntary inmate participation in self-help group activities. File may contain *format to initiate new self-help group forms, group meeting proposal forms, format for group banquet proposal forms, correspondence, etc.*

Classification: 1.21.2.907 NMAC, Programs - Correctional Institution

File closure: Close of calendar year from last group activity

[New - 03/31/2021]

770-173 DAILY RECREATION FILES:

Division/unit: Recreation

Maintenance system: Chronological by calendar year, then by month, then by date and time

Record series content: Records documenting the number of inmates attending recreation activities, the recreation areas used, the times inmates are allowed to participate, etc. File may contain *recreation daily log, daily shakedown log, gymnasium cleaning equipment issuance log, spray bottle sign-out sheet, etc.*

Classification: 1.21.2.907 NMAC, Programs - Correctional Institution

File closure: Close of calendar year in which file created

[New - 03/31/2021]

770-174 to 770-180

770-181 BOILER WATER INSPECTION FILES:

Division/unit: Power plant

Maintenance system: Chronological by calendar year, then by date of inspection

Record series content: Records documenting the inspection of boilers used to supply water to the correctional facilities. Files may contain inspection form, *certificate of inspection, etc.*

Classification: 1.21.2.908 NMAC, Safety Records

File closure: Close of calendar year in which inspection conducted

[New - 03/31/2021]

770-182 MICROBIOLOGICAL WATER REPORTS:

Division/unit: Power plant

Maintenance system: Chronological by month

Record series content: Reports concerning water sample tests conducted to identify bacteria. Report may contain scientific laboratory division number, date and time recorded, submitter identification number, user identification number, location of New Mexico environment department area office, date collected, time collected, disinfected findings, residual finding data, reason for sampling, analysis requested, system type, collected by, sample location, county, assigned water system supply code, client information, analyst initials, etc.

Classification: 1.21.2.908 NMAC, Safety Records

File closure: Close of calendar year in which report issued
[New - 03/31/2021]

770-183 to 770-190

770-191 GENERAL INMATE VISITATION FILES:

Division/unit: Visitation

Maintenance system: Chronological by calendar year, then by month and day

Record series content: Records documenting visits to inmates or inmate requests for a meeting with legal counsel, family, chaplain or corrections staff, etc. File may contain *inmate request form (visitation action)*; *request-waiver for meeting with inmate legal assistant*; *visitor statement of understanding (CD-1000201.A)*; *front entrance visiting log*; *record of staff visits*; *staff sign in logs*; *administrative staff, visitor sign-in log*; *visiting room log*; *attorney phone call request form (CD-150401.1)*; etc.

Classification: 1.21.2.909 NMAC, Security and Access

File closure: Close of calendar year in which file created
[New - 03/31/2021]

770-192 to 770-200

770-201 SUBSTANCE CONTROL BOOK:

Division/unit: Pharmacy

Maintenance system: Chronological by calendar year, then by date

Record series content: Book used to record dispensation of medication. Book may contain an index (i.e., inmate name and identification number, drug and strength, page number and signature of persons removing medication from index), controlled substance perpetual inventory-usage record, controlled drug count verification, instructions, etc.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date of last entry

Confidentiality: Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).

[New - 03/31/2021]

770-202 TRANSFER AND DISCHARGE FILES:

Division/unit: Pharmacy

Maintenance system: Chronological by calendar year, then by date of transfer

Record series content: Inmate pharmaceutical dispensation records generated as a result of inmate movement or the relocation of an inmate from one correctional facility to another. File may contain *intra-facility transfer form*, transfer check-off list, copy of medical record receipt, etc.

Classification: 1.21.2.831 NMAC, Patient Records - Adult

File closure: Date transferred or discharged

Confidentiality: Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).

[New - 03/31/2021]

770-203 PHYSICIAN MEDICATION ORDER FORM:

Division/unit: Pharmacy

Maintenance system: Chronological by calendar year, then by date of order

Record series content: Records concerning physician orders for the dispensation of medication from pharmacy. Form may contain correctional facility name, month, dose interval, medication type, prescriber initials, prescriber name, order date, start and stop date, hour, diagnosis, allergies, inmate DOB, inmate number, location, inmate name, etc.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date of dispensation of medication

Confidentiality: Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).

[New - 03/31/2021]

770-204 REQUEST FORM FOR NON-FORMULARY DRUGS:

Division/unit: Pharmacy

Maintenance system: Chronological by day

Record series content: Form requesting non-formulary drugs. Form may contain date, institution, unit, inmate name, inmate NMCD number, DOB, diagnosis, allergies, past medical history, drug, refill type information, number of days prescribed, medications in use, profile check, justification for use, medicine, results of medication, ordering physician name, standard implementation guidelines, drug enforcement agency number (required for controlled substance), observations-comments for provider feedback, reviewer's signature, date, ordering physician signature and date, telephone number, etc.

Classification: 1.21.2.828 NMAC, Drugs and Controlled Substances

File closure: Date medication is dispensed

Confidentiality: Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).

[New - 03/31/2021]

770-205 to 770-210**770-211 PROBATION, PAROLE AND COMPACT CASE FILES:**

Division/unit: Probation and parole

Maintenance system: Chronological by calendar year, then alphabetical by client surname

Record series content: Records concerning offender compliance with probation, parole and inter-state compact requirements. File may contain *pre-sentence report*, *post sentence report*; *judgment*, *sentence and commitment*; *admission summary*; photograph and fingerprints; *FBI identification record*; *flash - cancellation notice form (I-12)*; *court order of probation*; *parole board order of parole*; *parole board certificate of parole*; *risks and needs forms*; *chronological case notes*; receipts for restitution payments or court fines collected; *report of violation (probation)*; *report of violation (parole)*; investigation reports; *NCIC data collection form*; *probation discharge request*; *parole discharge recommendation*; *order of discharge on suspended sentence*; *probation discharge order*; *parole discharge order*; *community corrections special programs referral*; *arrest order*; *teletype message (cancellation of NCIC entry for the arrest of a violator)*; *notice of parole hearing*; *preliminary parole revocation summary*; *parole plan progress report*; *60 day diagnostic evaluation*; *interstate commission for adult offender supervision offender's application for interstate compact transfer*; *NMCD interstate commission for adult offender supervision transfer request form*; *interstate commission for adult offender supervision compact action request*; *interstate commission for adult offender supervision authorization for release of medical and psychological information*; *interstate commission for adult offender supervision consent to random drug or alcohol testing and to searches based on reasonable suspicion*; *interstate commission for adult offender notice of arrival*; *absconder notification form*; *interstate commission for adult offender supervision case closure notice*; etc.

Classification: 1.21.2.906 NMAC, Parole and Probation Files

File closure: Date of discharge

Confidentiality: Portions of these records are confidential pursuant, but not limited to, Protection of Records, Section 31-21-6 NMSA 1978 (i.e., social records, pre-sentencing reports, pre-parole reports, supervision histories, etc.).

[New - 03/31/2021]

770-212 to 770-220

770-221 RAW MATERIALS, WORK IN PROGRESS AND FINISHED PRODUCT INVENTORY FILES:

Division/unit: Corrections industries

Maintenance system: Chronological by fiscal year, then by month

Record series content: Inventory of raw materials, work in progress materials and finished goods and services. File may contain end of the month corrections industries *inventory cover sheet, farm shop inventory, finished products inventory, textile items in-transit, etc.*

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year after date agency financial audit report is released

[New - 03/31/2021]

770-222 RAW MATERIALS AND FINISHED PRODUCT TRANSFER SLIPS:

Division/unit: Corrections industries

Maintenance system: Chronological by fiscal year, then by month

Record series content: Records concerning shipment and transfer of raw materials and finished products from one correction's industries shop to another. Transfer slip may contain date of transfer; to and from corrections industries' shops, stock number, quantity, item description, color, unit price, transferred by, received by, delivered by, date received, comments, etc.

Classification: 1.21.2.317 NMAC, Inventories

File closure: Close of fiscal year after date agency financial audit report is released

[New - 03/31/2021]

770-223 CUSTOMER FILES:

Division/unit: Corrections industries

Maintenance system: Chronological by fiscal year, then numerical by customer number

Record series content: Cumulative information on orders received from customers. Files may contain work orders, invoices, delivery tickets, purchase orders, copies of warrants or checks, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of fiscal year after date agency financial audit report is released

[New - 03/31/2021]

770-224 CORRECTIONS INDUSTRIES SALES REPORT SYSTEM:

Division/unit: Corrections industries

Maintenance system: Numerical by primary key

Record series content: Database system used to track sales made by correction industries. Data may contain information on correctional facility sales, work orders, invoices, delivery tickets, purchase orders, copies of warrants or checks, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of fiscal year in which created

[New - 03/31/2021]

770-225 CORRECTIONS INDUSTRIES ACCOUNTING SYSTEM:

Division/unit: Corrections industries

Maintenance system: Numerical by primary key

Record series content: Database system used to track work orders, corrections industries merchandise, invoices, customer billing addresses, product stock numbers, description pricing. Data may contain sales representative name, contact person, telephone number, work order number, purchase order number, shipping address, customer number and name, item and quantity, stock number, stain, product type, unit price, status of order, etc.

Classification: 1.21.2.303 NMAC, Accounts Receivable

File closure: Close of fiscal year in which created

[New - 03/31/2021]