DEPARTMENT OF CORRECTIONS

Policy Number:	**106.300**
Title:	**Management of Records and Sentence Administration**
Effective Date:	**11/19/19**

PURPOSE: To ensure that the department's records management and sentence administration practices comply with court orders and relevant law.

APPLICABILITY: Department-wide.

DEFINITIONS:

Correctional Operations Management System (COMS) – a custom application used by the department to maintain information about offenders/residents.

Court Message Manager (CMM) – a custom application developed to receive case notifications from state court administration.

Government records – records made or received by an officer or agency of the state in connection with the transaction of public business, including all cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings, optical disks, and other data, information, or documentary material, regardless of physical form or characteristics, storage media, or conditions of use.

Offender Document System (ODocS) – a document management system the department uses for maintaining documents related to individual offenders/residents.

Individual case records – records of background information and major decisions and events maintained on each offender/resident committed to the custody of the department.

PROCEDURES:

A. Governance

1. The manager of records and sentence administration is responsible for ensuring offenders' sentences and residents' dispositions are properly administered, ensuring individual case records are properly managed, and coordinating the department's government records management program.

2. The director of sentence administration oversees the department's sentence administration unit and ensures that staff calculate and administer offender sentences accurately and in compliance with court orders, state laws, and department policy.

3. The director of offender records is the legal custodian of offender records, oversees the department's records and detainers units, and manages offender records in compliance with state and federal law and department policy.

B. Offender/Resident Case Records

1. Creation of individual case records

   As soon as the department is notified that an offender/resident has been committed to the custody of the department, sentence administration staff create an individual case record, assign an offender identification number (OID), and enter pertinent background information, and sentence or disposition information.

2. Maintenance and management of individual case records
Records and sentence administration staff are responsible for maintaining and updating information in the various applications the department uses, including such examples as Case Message Manager (CMM), the Corrections Operations Management System (COMS), and the Offender Document System (ODocS), to ensure all offender case records are in a standardized format.
   a) Date and username data created on all entries made in individual case records in COMS constitute the electronic signature of the staff person who updated the record.
   b) Staff sign and date documents that require signatures before uploading them to ODocS.

3. Security of and access to individual case records
The manager of records and sentence administration approves the level of access to individual case records that department employees need to perform the responsibilities of their positions.

4. Transfer of offender records
When offenders transfer between facilities operated by the department or to facilities outside the department, records and sentence administration staff authorize staff at the new facility to access whatever parts of the individual case record they need to perform their responsibilities and send the offender's health records with them to the new facility.

C. Retention and disposal of department records
1. Government records
   a) Department staff create and preserve all records necessary to establish a full and accurate account of department activities and retain them in accordance with state law and this policy.

   b) All department staff, contractors, employees of contractors, and volunteers are responsible for records in their care and must know and comply with records access and retention requirements.

   c) Information about and forms for records retention are available on the Records Retention iShare site.

   d) Any individual who intentionally or unlawfully disposes of an official record, or knowingly permits another to do so, other than in accordance with the records retention schedule, may be prosecuted for a misdemeanor.

2. Facility and business unit managers:
   a) Collect only data on individuals necessary to administer programs and activities and identify the official records needed to establish a full and accurate account of the programs and activities for which they are responsible;
   b) Develop a retention schedule based on the administrative, legal, fiscal, and historical value of the records using the form required by the State Historical Society and available on the Records Retention iShare site, and review and revise the schedule as necessary;
   c) Submit the retention schedule to the department's manager of records and sentence administration; and

d) Ensure that the unit's records are disposed of in accordance with the retention schedule and must complete and permanently retain a Records Destruction Report (log) available on the Records Retention iShare site, when records are destroyed.

3. The department's manager of records and sentence administration:
   a) Collects the retention schedules from business unit managers and submits them to the state's Record Disposition Panel for approval; and
   b) Ensures the schedules are posted on the Records Retention iShare site.

INTERNAL CONTROLS:

A. Approved retention schedules are maintained by each business unit and located on the department's Records Retention iShare site.

B. Records Disposition Reports are maintained permanently by each business unit.

ACA STANDARDS: 2-CO-1E-01; 2-CO-1E-02; 2-CO-1E-03; 2-CO-1E-06; 2-CO-1E-07; 4-4095; 4-4098

REFERENCES: Minn. Stat.Ch. 13, and §§ 15.17, 138.17
Policy 106.210, "Providing Access to and Protecting Government Data"

REPLACES: Policy106.240, "Records Retention and Disposal," 11/19/18.
All policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

ATTACHMENTS: None

APPROVALS:
Deputy Commissioner, Community Services
Deputy Commissioner, Facility Services
Assistant Commissioner, Operations Support
Assistant Commissioner, Facility Services