
 <p>State of Connecticut Department of Correction</p> <p><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number 4.1	Effective Date 6/15/2010	Page 1 of 7
	Supersedes Offender Records, dated 10/31/2007		
Approved By 	Title Inmate Records		

1. Policy. The Department of Correction shall maintain accurate and secure information for each inmate in its custody. Information compiled shall be relevant to the inmate's incarceration.
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 1-1d, 1-81, 1-212, 4-190(3), 4-193(b), 4-193(d), 4-194, 11-8 through 11-8(b), 18-81, 18-94, 19a-581 through 19a-583, 19a-585, 20-7b through 20-7d and Chapter 899.
  - B. West v Manson, Civil Action No. H-83-366 (ANH), April 23, 1987.
  - C. Smith v Meachum, Civil Action No. H-87-221 (JAC) August 8, 1989.
  - D. Doe v Meachum, Civil Action No. H-88-562 (PCD), November 2, 1990.
  - E. Statutory Requirements Regarding Maintenance and Dissemination of Criminal Records in Connecticut, Office of the Connecticut State's Attorney, 1987.
  - F. Regulations of Connecticut State Agencies, Sections 19a-14-40 and 19a-14-43.
  - G. Connecticut State Library, Office of Public Records Administration, Records Retention Authorization Number 85-13-1.
  - H. Connecticut State Library, Office of Public Records Administration, General Schedule IV, "Medical Records and Case Files of Connecticut State Facilities".
  - I. Connecticut State Library, Office of Public Records Administration, Records Management Manual.
  - J. Administrative Directives 1.9, Audits; 2.7, Training and Staff Development; 4.4, Access to Inmate Information; 4.5, Victim Services; 4.7, Records Retention; 6.10, Inmate Property; 9.2, Offender Classification; 9.10, Inmate Identification and Movement; 10.2, Inmate Education; and 10.13, Inmate Programs.
  - K. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1E-01 through 2-CO-1E-04, 2-CO-1E-09 and 2-CO-4E-01.
  - L. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4095, 4-4096, 4-4393, 4-4396 and 4-4413 through 4-4415.
  - M. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standards 4-ALDF-4D-11, 4-ALDF-4D-13, 4-ALDF-4D-14, 4-ALDF-4D-26 through 4-ALDF-4D-28 and 4-ALDF-7D-20.
  - N. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3101 through 3-3103.
3. Definitions and Acronyms. For the purposes stated herein, the following definitions and acronyms apply:
  - A. DCF. Department of Children and Families.
  - B. Discharged Inmate. Any person, once committed under authority of a specific judgment or continuance mittimus or remand to the custody of the Commissioner of Correction and through payment of a fine, bail and/or service of sentence has satisfied the conditions of that mittimus. This shall include an individual held exclusively for the

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United States Marshals Service or the Bureau of Immigration and Customs Enforcement, who have primary custody of the inmate.

- C. DNA. Deoxyribonucleic Acid.
  - D. Inmate Master File. An organized collection of specified data relating to an inmate in the custody of the Department of Correction.
  - E. Jurisdiction. The facility, community or interstate unit administratively responsible for an inmate.
4. Administrative Management. The Director of Offender Classification and Population Management shall be responsible to administer the inmate master file records function throughout the Department. The Unit Administrator shall be responsible for supervision of facility records, personnel and management of local inmate master files.
5. Records Manual. The Director of Offender Classification and Population Management shall maintain a Records Manual containing detailed information concerning inmate records procedures, which shall be reviewed annually and updated as necessary.
6. Inmate Master File. An inmate master file shall be created and maintained alphabetically for each inmate admitted to the custody of the Commissioner of Correction. At a minimum, the inmate master file shall contain all custody documents pertaining to the inmate and all relevant information regarding the inmate's incarceration, classification, and behavior during confinement. This file shall be kept current, accurate and secure.
- A. Labeling. Each inmate master file shall be labeled, using a white label and identified by the assigned inmate number followed by the inmate's last name and first name. For inmates age 14 and 15 years old a yellow label shall be used. Once inmate reaches age 16 a white label will be utilized. The file shall also have the most recent photograph of the inmate placed in the middle of the cover and on the top page of Section 1 in accordance with Administrative Directive 9.10, Inmate Identification and Movement. If an inmate is being held on a felony charge or conviction, the master file cover shall be stamped in the upper left corner with the word "FELONY".
  - B. Contents. The inmate master file shall include, at a minimum, the following documents:
    - 1. Custody Documents. All applicable legal documents (e.g., warrants, mittimus, and detainers).
    - 2. Identification. Intake and reception documentation, including the following personal data, shall be recorded: (a) inmate name; (b) any known alias(es); (c) inmate number; (d) place of incarceration; (e) date of birth; (f) race; (g) social security number; (h) height; (i) weight; (j) hair and eye color; (k) current full face photo; (l) sex; (m) fingerprint card; (n) place of birth; and (o) tattoos/identifying marks.
    - 3. Criminal History. A criminal record check (state and federal) and the Pre-sentence Investigation Report/Description of Offense.
    - 4. Classification. All classification information including, but not limited to: (a) CN 9202, Offender Classification History Form; (b) CN 9701, Orientation and Offender Accountability Plan; (c) objective classification; (d) classification assignments; (e) reviews; (f) approvals or denials for

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community release, parole and furlough; and (g) a chronological record of significant inmate contacts with the assigned case manager or other unit staff.

5. Programs Participation. CN 101302, Program Activity Log in accordance with Administrative Directive 10.13, Inmate Programs; and significant program activities and events.
  6. Sentence Calculation. Current controlling time sheet, with documentation which supports time calculations including, but not limited to: (a) time restoration; (b) time forfeiture; and (c) applicable time credits shall be included.
  7. Additional Information. Any applicable victim notification notice, high security notice, DNA requirements and/or receipts, disciplinary report, program/parole violation report.
- C. Organization. Each inmate master file shall be either a six (6) or two (2) section file, as appropriate. Any inmate who may be held for a limited period in pretrial status, may have a two (2) section file established. Any other inmate shall have the full six (6) section file.
1. Six Section File Format. The six (6) section file shall be organized as follows:
    - a. Section 1 - Prior Incarcerations. A copy of the inmate's current full face photo shall be included. Any material from a prior incarceration shall be included with each incarceration separated by a divider with the dates for the incarceration period listed and filed in chronological order with the most recent on top.
    - b. Section 2 - Inactive Custody Documents. An inactive writ, detainer, continuance mittimus or other legal document for the current incarceration shall be maintained chronologically in this section.
    - c. Section 3 - Incarceration Record. Any paperwork associated with Sex Offender Registration requirements and/or receipts shall be the top sheet of this section when applicable. The face sheet, any Outstanding Meritorious Performance Award and Statutory Good Time forfeiture or restoration, and Disciplinary Reports shall be filed chronologically for the current incarceration. CN 6702, Minor Misdemeanant Identification Form shall be included in this section.
    - d. Section 4 - Active Legal Documents. A pink file card, which indicates victim notification requirements, shall be the top page of this section when applicable. A yellow card, which indicates that an inmate is being held exclusively for the United States Marshals Service, shall be filed under the victim notification card, when applicable. It shall be followed by the current controlling time sheet. A records log shall be kept under the time sheet when applicable. Any active sentencing mittimus shall normally follow, preceded only by any active warrant, detainer, continuance mittimus or writ. The DNA Felony Submission Form shall be maintained in this section.

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When an inmate is committed delinquent under the custody of DCF, a yellow index card with the DCF Hotline number shall be filed in this section on top of the current mitts. A hold letter from DCF identifying the inmate as a committed delinquent shall be filed behind the yellow index card and on top of the active mitts. When an inmate is under the guardianship of DCF (committed abuse/neglect), a yellow index card with the DCF Hotline number shall be filed in this section of the master file on top of the current mitts.

- e. Section 5 - Criminal History and Classification. A green file card (indicating a high security inmate) or a blue file card (indicating a special monitoring inmate), shall be the top page of this section when applicable. CN 9202, Offender Classification History Form shall normally be the top sheet(s) in accordance with Administrative Directive 9.2, Offender Classification, preceded only by the green file card. Any information pertaining to the inmate's criminal history, including only the current criminal records check (rap sheet), fingerprint card, presentence investigation, objective classification information and any parole summary shall be included in this section.
  - f. Section 6 - Program Documentation Information and Correspondence. CN 101302, Program Activity Log shall be the top sheet of this section in accordance with Administrative Directive 10.13, Inmate Programs. All visiting information shall be maintained in an envelope under the program log. Any miscellaneous program information or correspondence shall be included chronologically in this section, to include but not be limited to, certificates of program completion, letters of support for an inmate, relevant correspondence to and from an inmate and relevant correspondence about the inmate.
2. Two Section File Format. The two (2) section file shall be organized as follows:
- a. Section 1. Section 1 shall include any information from a prior incarceration, discharge information, the face sheet, any Outstanding Meritorious Performance Award, Statutory Good Time forfeiture or restoration, disciplinary report, and any inactive continuance mittimus or writ from the present incarceration period shall be included in this section. CN 101302, Program Activity Log and CN 9202, Offender Classification History Form, shall be the two bottom sheets of this section. A green file card, which indicates high security risk requirements, shall be the top page of this section, when applicable.
  - b. Section 2. Section 2 shall include any miscellaneous information and correspondence, which shall be filed chronologically, a presentence investigation, inmate's criminal history, including only the current criminal records check (rap sheet), objective classification

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information, classification summary, parole information, any active sentencing mittimus with the controlling sentence on top, any active warrant, detainer, continuance mittimus and writ shall be included in this section. A pink file card, which indicates victim notification requirements, shall be the top page of this section, when applicable. A yellow card, which indicates that an inmate is being held exclusively for the United States Marshals Service, shall be filed under the victim notification card, when applicable. A records log shall be kept under the time sheet when applicable.

- D. Maintenance. The inmate master file shall be maintained by the unit having custody of the inmate and shall transfer with the inmate during confinement or supervision. Master files of inmates transferred to other state agencies, Whiting Forensic Institute or parole compact (PARCOM) files are maintained at the facility with jurisdiction. Master files for inmates transferred out of state pursuant to the corrections compact and/or a contractual arrangement are maintained by the Interstate Compact Office.
- E. Readmitted Inmate File. A new inmate master file shall not be created for an inmate previously committed to the Department. A request for the permanent inmate master file not located at the unit shall be made in accordance with Sections 10 and 11 of this Directive, within two (2) business days of admission. The file shall be forwarded to the requesting unit within 10 business days.
- Victim notification documents contained in a readmitted inmate's file shall be handled in accordance with Administrative Directive 4.5, Victim Services.
- F. Escape Files. An inmate master file shall be maintained by the unit having jurisdiction of the inmate prior to escape.
7. Temporary File. A temporary file shall be established while awaiting the receipt of the permanent inmate master file. An inmate admitted who has previously had a master file established shall have any temporary records merged with the permanent master file upon receipt. A temporary master file shall be clearly labeled as such on the front cover consistent with Section 6(A) of this Directive and shall not be used longer than 10 business days unless the permanent master file has been destroyed.
8. Other Inmate Files. Separate inmate files may be maintained for education, in accordance with Administrative Directive 10.2, Inmate Education; and for any inmate participating in an addiction services program as specified in Administrative Directive 10.13, Inmate Programs. If an inmate transfers, these files shall follow the inmate to the unit with jurisdiction.
9. Transfer of Inmate Master File. The inmate master file shall remain in the possession of the unit having jurisdiction. Any inmate master files entrusted to a unit shall be the responsibility of that unit until such inmate master file is transferred to another unit. The Unit Administrator or designee of the sending unit shall ensure the inmate master file is complete and current prior to forwarding to the facility.

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- A. Inter-Unit Transfer. An inmate's master file shall be transferred with the inmate as specified in Administrative Directive 6.10, Inmate Property. When an inmate is transferred to community placement (i.e., Transitional Supervision, halfway house or parole), the inmate master file shall be forwarded immediately to the parole/community unit having jurisdiction.
  - B. Community Placement/Parole Return. When an inmate is returned from community placement or parole the inmate master file shall be forwarded within 10 business days of receipt of request to the receiving unit.
  - C. Out of State Transfer. Master files for inmates transferred out of state pursuant to the correction compact and/or a contractual arrangement shall be forwarded to the Interstate Compact Office within five (5) days of the transfer.
10. Access to Inmate Master File Information. Access to information contained in the inmate's master file shall be in accordance with Administrative Directive 4.4, Access to Inmate Information. No inmate, with the exception of supervised inmate workers assigned to the Central Records Warehouse, shall be permitted access to any master file belonging to another inmate or to any equipment providing automated inmate information of any type.
11. Storage of Discharged Inmate Master Files. The files/records of any discharged inmate shall be stored in a secure area, as specified in Administrative Directive 4.4, Access to Inmate Information. The discharged inmate's files/records shall be numerically sorted by the calendar year during which the inmate discharged. The inmate master file for each discharged inmate shall be stored as follows:
- A. Facility/Parole and Community Services Storage. An inmate master file shall be stored at the appropriate facility or Parole and Community Services office, for an inmate who discharges or escapes, until it is requested or is transferred to a designated storage location.
  - B. Inactive File Storage. The Director of Offender Classification and Population Management shall designate a storage location for discharged inmates' master files. The Central Records Unit shall coordinate the review of discharged inmates' master files according to established schedules. The review shall check the length of time since discharge and if the inmate returned to the system since discharge. The Central Records Unit shall arrange the inactive files for long-term storage by sorting the files numerically according to the calendar year during which the inmate discharged. Such files shall be reviewed for transfer. The Central Records Unit shall arrange for transportation of the completely processed files to the State Archives.
12. Records Retrieval. Any person requiring archived records shall contact the Central Records Warehouse, who shall retrieve the requested files and make whatever changes in the archived storage list.
13. Storage, Transfer and Disposal of Inactive Inmate Master Files. Any inactive inmate master file shall be maintained in accordance with Administrative Directive 4.7, Records Retention. Whenever an inactive inmate master file is requested, the file shall be transferred within 10 business days. The Unit Administrator of the facility/Parole and Community Services office last having custody of the inmate shall verify that legal

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custody of the inmate has been satisfied and terminated prior to deactivation of the inmate master file.

14. Training. The Director of Offender Classification and Population Management or designee shall work in conjunction with the Director of Training and Staff Development to ensure that Department-wide training is conducted in accordance with Administrative Directive 2.7, Training and Staff Development. All newly employed records staff shall receive formal orientation training in records management within the initial 90 days of employment. Each unit records employee shall receive 16 hours of in-service training annually.
15. Audits. The Director of Offender Classification and Population Management shall ensure that each records unit is audited annually in accordance with Administrative Directive 1.9, Audits.
16. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner of Correction.