

**TITLE 1 GENERAL GOVERNMENT ADMINISTRATION**  
**CHAPTER 18 EXECUTIVE RECORDS RETENTION AND DISPOSITION SCHEDULES (ERRDS)**  
**PART 770 ERRDS, CORRECTIONS DEPARTMENT**

**1.18.770.1 ISSUING AGENCY:** State Commission of Public Records - State Records Center and Archives  
[1.18.770.1 NMAC - Rp, 1.18.770.1 NMAC, 7/21/2008]

**1.18.770.2 SCOPE:** corrections department  
[1.18.770.2 NMAC - Rp, 1.18.770.2 NMAC, 7/21/2008]

**1.18.770.3 STATUTORY AUTHORITY:** Section 14-3-6 NMSA 1978. The administrator shall establish a records management program for the application of efficient and economical management methods for the creation, utilization, maintenance, retention, preservation and disposal of public records.  
[1.18.770.3 NMAC - Rp, 1.18.770.3 NMAC, 7/21/2008]

**1.18.770.4 DURATION:** permanent  
[1.18.770.4 NMAC - Rp, 1.18.770.4 NMAC, 7/21/2008]

**1.18.770.5 EFFECTIVE DATE:** July 21, 2008 unless a later date is cited at the end of a section.  
[1.18.770.5 NMAC - Rp, 1.18.770.5 NMAC, 7/21/2008]

**1.18.770.6 OBJECTIVE:** To establish a records retention and disposition schedule for the orderly management and retirement of records necessary for carrying out the Public Records Act pursuant to Section 14-3-6 NMSA 1978.  
[1.18.770.6 NMAC - Rp, 1.18.770.6 NMAC, 7/21/2008]

**1.18.770.7 DEFINITIONS:**

- A. “Administrator”** means the state records administrator (Section 14-3-2 NMSA 1978).
- B. “Agency”** means any state agency, department, bureau, board, commission, institution or other organization of the state government, the territorial government and the Spanish and Mexican governments in New Mexico (Section 14-3-2 NMSA 1978).
- C. “Archives”** means the state archives of the commission of public records.
- D. “Correctional facility”** means any prison controlled or operated by the state for the incarceration of people.
- E. “Disposition”** means final action that puts into effect the results of an appraisal decision for a series of records (i.e., transfer to archives or destruction).
- F. “Grievance”** means a formal inmate protest of any existing circumstance which was not resolved to the inmate’s satisfaction at the informal complaint level of correctional operations.
- G. “Informal complaint”** means the process through which the corrections department attempts to resolve an inmate’s dissatisfaction with the existing conditions of incarceration.
- H. “Microphotography”** means the transfer of images onto film and electronic imaging or other information storage techniques that meet the performance guidelines for legal acceptance of public records produced by information system technologies pursuant to regulations adopted by the commission of public records.
- I. “Non-formulary”** means an alternative medication formula used for the medical treatment of inmates.
- J. “Non-record”** means extra copies of documents kept solely for convenience of reference, stocks of publications, records not usually included within the scope of the official records of an agency or government entity, and library material intended only for reference or exhibition. The following specific types of materials are non-records: materials neither made nor received in pursuance of statutory requirements nor in connection with the functional responsibility of the officer or agency; extra copies of correspondence; preliminary drafts; blank forms, transmittal letters or forms that do not add information; sample letters; and reading file or informational files.
- K. “Public record”** means all books, papers, maps, photographs or other documentary materials, regardless of physical form or characteristics, made or received by any agency in pursuance of law or in connection with the transaction of public business and preserved, or appropriate for preservation, by the agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations or other activities of

the government, or because of the informational and historical value of data contained therein (Section 14-4-2 NMSA 1978).

**L. “Records custodian”** means the statutory head of the agency using or maintaining the records or the custodian's designee.

**M. “Records management”** means the systematic control of all records from creation or receipt through processing, distribution, maintenance and retrieval, to their ultimate disposition.

**N. “Records retention and disposition schedule”** means rules adopted by the commission pursuant to Section 14-3-6 NMSA 1978 describing records of an agency, establishing a timetable for their life cycle and providing authorization for their disposition.

**O. “Retention”** means the period of time during which records must be maintained by an organization because they are needed for operational, legal, fiscal, historical or other purposes.

**P. “Sally port”** means any correctional structure that is used to guard the entrance of others to a correctional facility.

[1.18.770.7 NMAC - Rp, 1.18.770.7 NMAC, 7/21/2008]

#### **1.18.770.8 ABBREVIATIONS AND ACRONYMS:**

- A. “CD”** stands for corrections department.
- B. “CMIS”** stands for criminal management information system.
- C. “CPR”** stands for cardiopulmonary resuscitation.
- D. “CSN”** stands for corrections number.
- E. “DOB”** stands for date of birth.
- F. “FBI”** stands for federal bureau of investigation.
- G. “GED”** stands for general equivalency diploma.
- H. “GL”** stands for general ledger.
- I. “ID”** stands for identification.
- J. “IQ”** stands for intelligence quotient.
- K. “GED”** stands for general equivalency diploma.
- L. “K-9”** stands for canine.
- M. “NCIC”** stands for national crime information center.
- N. “NMAC”** stands for New Mexico administrative code.
- O. “NMCD”** stands for New Mexico corrections department.
- P. “PNM”** stands for penitentiary of New Mexico.
- Q. “SRCA”** stands for state records center and archives.
- R. “USC”** stands for United States code.

[1.18.770.8 NMAC - Rp, 1.18.770.8 NMAC, 7/21/2008]

#### **1.18.770.9 INSTRUCTIONS:**

**A.** For records of a general administrative nature, refer to the GRRDS, General Administrative Records Retention and Disposition Schedule, 1.15.2 NMAC.

**B.** For records of a financial nature, refer to the GRRDS, General Financial Records Retention and Disposition Schedule, 1.15.4 NMAC.

**C.** For records of a personnel nature, refer to the GRRDS, General Personnel Records Retention and Disposition Schedule, 1.15.6 NMAC.

**D.** For records of a medical nature, refer to the GRRDS, General Medical Records Retention and Disposition Schedule, 1.15.8 NMAC.

**E.** Retention periods shall be extended until six months after all current or pending litigation, current claims, audit exceptions or court orders involving a record have been resolved or concluded.

**F.** Descriptions of files are intended to be evocative, not complete. For example, there will always be some documents that are filed in a file that are not listed in the description, and similarly not every file will contain an example of each document listed in the description.

**G.** Confidentiality is denoted for files likely to contain confidential materials, but files without a confidentiality note nonetheless may contain confidential or privileged materials, and failure to include an express confidentiality note in the description of a file does not waive the confidential or privileged nature of those materials. Refer questions concerning the confidentiality of a file or portions of a file to legal counsel for the agency.

**H.** Access to confidential documents and files shall be only by authorization of the records custodian, or by court order, unless otherwise provided by statute. Release of confidential documents to law enforcement and other government agencies shall only be upon specific statutory authorization or court order.

**I.** Records, papers or documents may be reformatted thorough microphotography. Such reformatted records shall be deemed to be an original record for all purposes, including introduction in evidence in all courts or administrative agencies (Sections 14-1-5 and 14-1-6 NMSA 1978).

**J.** Public records placed on magnetic tapes, disks or other data processing media shall be retained for the length of time specified in records retention and disposition schedules and are subject to the same confidentiality and access restrictions as paper records. See also 1.13.70 NMAC, Performance Guidelines for the Legal Acceptance of Public Records Produced by Information Technology Systems.

[1.18.770.9 NMAC - Rp, 1.18.770.9 NMAC, 7/21/2008]

#### **1.18.770.10 - 1.18.770.14 [RESERVED]**

#### **1.18.770.15 VOLUNTEER SERVICES ORGANIZATION FILES:**

**A. Program:** volunteer organizations

**B. Maintenance system:** chronological by fiscal year, then alphabetical by organization name

**C. Description:** records concerning programs that provide volunteer services to the correctional facilities. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.

**D. Retention:** two years after close of fiscal year from last organizational activity

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

[1.18.770.15 NMAC - Rp, 1.18.770.101 & 102 NMAC, 7/21/2008]

#### **1.18.770.16 - 1.18.770.20 [RESERVED]**

#### **1.18.770.21 CRIMINAL MANAGEMENT INFORMATION SYSTEM (CMIS):**

**A. Program:** offender information

**B. Maintenance system:** numerical by primary key (criminal sequential number)

**C. Description:** 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.

**D. Retention:**

(1) **Inmate financial account data:** six fiscal years after date annual audit report released

(2) **All other data:** 50 years after date of discharge

**E. 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).

**F. Input:** All documents used as input for the *CMIS* are filed in *volunteer services organization files*, 1.18.770.15 NMAC; *inmate trust account files*, 1.18.770.26 NMAC; *inmate case files*, 1.18.770.35 NMAC; *lockdown, reintegration classification appeal files*, 1.18.770.41 NMAC; *inmate grievance appeal files*, 1.18.770.47 NMAC; *dismissed report packets*, 1.18.770.66 NMAC; *security files*, 1.18.770.75 NMAC; *inmate education files*, 1.18.770.91 NMAC; *educational database*, 1.18.770.93 NMAC; *inmate legal mail file*, 1.18.770.105 NMAC; *rejection notice file*, 1.18.770.107 NMAC; *inmate accident and injury file*, 1.18.770.115 NMAC; *daily recreation*

files, 1.18.770.123 NMAC; *general inmate visitation files*, 1.18.770.141 NMAC; *movement, transfer and discharge files*, 1.18.770.152 NMAC and *probation, parole and compact case files*, 1.18.770.161 NMAC.

**G. Output:** Because the *CMIS* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are either forwarded to the requesting entity, or filed in corresponding file. Some of these reports and documents produced by the system include: *pre-sentence report; good time figuring sheet; escape flyer; count sheet; classification scoring form; order of parole; order of probation; parole violation report; probation violation report; contact sheet; alpha roster; adult facilities daily inmate count; volunteer services organization files*; offender financial account records, etc.  
[1.18.770.21 NMAC - Rp, 1.18.770.181 NMAC, 7/21/2008]

#### **1.18.770.22 - 1.18.770.25 [RESERVED]**

#### **1.18.770.26 INMATE TRUST ACCOUNT FILES:**

**A. Program:** offender information  
**B. Maintenance system:** chronological by fiscal year, then numerical by inmate NMCD number  
**C. Description:** fiduciary records of checking and saving accounts held in trust for inmates. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.  
**D. Retention:** six fiscal years after date annual audit report released  
**E. 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).  
[1.18.770.26 NMAC - N, 7/21/2008]

#### **1.18.770.27 - 1.18.770.30 [RESERVED]**

#### **1.18.770.31 AMERICAN CORRECTIONAL ASSOCIATION ACCREDITATION AUDIT COMPLIANCE FILES:**

**A. Program:** accreditation  
**B. Maintenance system:** chronological by calendar year, then numerical by standard number  
**C. Description:** 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.  
**D. Retention:** six years after completion date of compliance audit  
[1.18.770.31 NMAC - Rp, 1.18.770.194 NMAC, 7/21/2008; A, 9/21/2009]

#### **1.18.770.32 - 1.18.770.34 [RESERVED]**

#### **1.18.770.35 INMATE CASE FILES:**

**A. Program:** inmate records  
**B. Maintenance system:** alphabetical by inmate surname  
**C. Description:** records concerning inmate case histories. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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; inquire 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.

**D. Retention:** 50 years after date of discharge, then transfer to archives for appraisal and final disposition

**E. 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).

[1.18.770.35 NMAC - Rp, 1.18.770.209, 146, 147, 148, 149, 150, 151, 152, 153, 154, 247, 248, 249, 250 & 251 NMAC, 7/21/2008]

### **1.18.770.36 DISMISSED DISCIPLINARY REPORT PACKETS:**

**A. Program:** inmate records

**B. Maintenance system:** chronological by calendar year and date of hearing, then numerical by log number

**C. Description:** records of administrative hearings in which charges against an inmate were dismissed. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.

**D. Retention:** three years after charge dismissed

**E. 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).

[1.18.770.36 NMAC - Rp, 1.18.770.277 NMAC, 7/21/2008]

### **1.18.770.37 - 1.18.770.40 [RESERVED]**

### **1.18.770.41 LOCKDOWN, REINTEGRATION CLASSIFICATION APPEAL FILES:**

**A. Program:** classification

**B. Maintenance system:** chronological by calendar year, then by month

**C. Description:** records concerning inmate appeals of classification decisions for placement into lockdown or reintegration into the general prison population. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain *level V or VI referral packet check list* form (CD-1430001.6), *inmate appeal form* (CD-143001.7), written decision, correspondence, etc.

**D. Retention:** two years after close of calendar year in which denied or approved  
[1.18.770.41 NMAC - Rp, 1.18.770.226 NMAC, 7/21/2008]

### **1.18.770.42 - 1.18.770.44 [RESERVED]**

### **1.18.770.45 INMATE INFORMAL COMPLAINT FORM (CD-150501.3):**

**A. Program:** inmate complaints and grievances

**B. Maintenance system:** chronological by calendar year, then numerical by file number

**C. Description:** 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.

**D. Retention:**

(1) **Resolved complaints:** four years after close of calendar year in which complaint resolved

(2) **Unresolved complaints:** forward to grievance file

**E. Confidentiality:** Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).  
[1.18.770.45 NMAC - N, 7/21/2008]

**1.18.770.46 INMATE GRIEVANCE FILES:**

**A. Program:** inmate complaints and grievances  
**B. Maintenance system:** chronological by calendar year, then numerical by file number  
**C. Description:** 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.  
**D. Retention:** four years after close of calendar year in which case is closed  
**E. Confidentiality:** Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).  
[1.18.770.46 NMAC - Rp, 1.18.770.271 NMAC, 7/21/2008]

**1.18.770.47 INMATE GRIEVANCE APPEAL FILES:**

**A. Program:** inmate grievance appeals  
**B. Maintenance system:** chronological by calendar year, then alphabetical by inmate surname  
**C. Description:** records concerning an inmate appeal on a denied grievance or an unsatisfactory response by the correctional facility on an inmate grievance. These files are input to the *CMIS*, 1.18.770.21 NMAC. Files may contain grievance form, attachments; inventory property sheets, etc.  
**D. Retention:** four years after close of calendar year in which date file closed  
**E. Confidentiality:** Portions of these files may be confidential pursuant, but not limited to, inmate grievances, policy CD-150501 F (i.e., grievance information).  
[1.18.770.47 NMAC - Rp, 1.18.770.237 NMAC, 7/21/2008]

**1.18.770.48 - 1.18.770.50 [RESERVED]**

**1.18.770.51 INVESTIGATION FILES:**

**A. Program:** investigations  
**B. Maintenance system:** chronological by calendar year, then numerical by case number  
**C. Description:**  
(1) **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.  
(2) **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.  
**D. Retention:**  
(1) **Inmate investigations:** 10 calendar years after resolution of case  
(2) **Staff investigations:**  
(a) **Cases involving wrongdoing:** forwarded to human resources for further action  
(b) **Dismissed cases:** 10 calendar years after resolution of case  
**E. 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).  
[1.18.770.51 NMAC - Rp, 1.18.770.246 NMAC, 7/21/2008]

**1.18.770.52 - 1.18.770.60 [RESERVED]**

**1.18.770.61 CANINE FILES:**

**A. Program:** canine unit  
**B. Maintenance system:** chronological by calendar year, then alphabetical by dog name

**C. Description:** 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.

**D. Retention:** 10 years after close of calendar year in which service is terminated  
[1.18.770.61 NMAC - Rp, 1.18.770.261 NMAC, 7/21/2008]

**1.18.770.62 CANINE EXTERNAL AND INTERNAL SEARCH FILES:**

**A. Program:** canine unit

**B. Maintenance system:** chronological by calendar year, then by date of search

**C. Description:** 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.

**D. Retention:** 10 years after close of calendar year in which search conducted  
[1.18.770.62 NMAC - Rp, 1.18.770.262 NMAC, 7/21/2008]

**1.18.770.63 - 1.18.770.70 [RESERVED]**

**1.18.770.71 PHONE MONITORING SYSTEM:**

**A. Program:** phone monitoring

**B. Maintenance system:** numerical by primary key (chronological by time of call)

**C. Description:** 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.

**D. Retention:** 10 years after close of calendar year in which telephone call recorded

**E. 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).

**F. Input:** Portions of the metadata are keyed in by the operator. Input is also from incoming and outgoing telephone calls.

**G. Output:** Because the *phone monitoring system* is a data-based system ad hoc and regularly generated reports and cassette tapes may be generated upon request or demand. When produced, these reports are either forwarded to the requesting entity or filed in *inmate case file*, 1.18.770.35 NMAC or *phone monitoring cassette records*, 1.18.770.72 NMAC.

[1.18.770.71 NMAC - Rp, 1.18.770.280 NMAC, 7/21/2008]

**1.18.770.72 PHONE MONITORING RECORDS:**

**A. Program:** phone monitoring

**B. Maintenance system:** chronological by calendar year, then by time of call

**C. Description:** verbatim recordings of outgoing and incoming inmate telephone calls. This is an output recording of *phone monitoring system*, 1.18.770.71 NMAC.

**D. Retention:** 10 years after close of calendar year in which telephone call recorded

**E. 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).

[1.18.770.72 NMAC - Rp, 1.18.770.279 NMAC, 7/21/2008]

**1.18.770.73 INMATE ATTORNEY PHONE CALL FILES:**

**A. Program:** phone monitoring

**B. Maintenance system:** chronological by calendar year, then by month and week

**C. Description:** 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.

**D. Retention:** three years after close of calendar year in which file created

**E. 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).

[1.18.770.73 NMAC - N, 7/21/2008]

**1.18.770.74 [RESERVED]**

**1.18.770.75 SECURITY FILES:**

- A. Program:** security
- B. Maintenance system:** chronological by calendar year and month, then by date and time
- C. Description:** records concerning documentation of correctional facility and inmate security

protocols. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.

- D. Retention:** five years after close of calendar year in which file created

**E. 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).

[1.18.770.75 NMAC - Rp, 1.18.770.311, 312, 313, 314, 315, 316, 317, 319, 320, 321, 322, 324, 325, 326, 329, 331, 332, 333, 334, 335, 337, 338, 339, 340, 341 & 342 NMAC, 7/21/2008]

**1.18.770.76 - 1.18.770.80 [RESERVED]**

**1.18.770.81 MASTER INVENTORY AND MONTHLY REPORTS:**

- A. Program:** armory
- B. Maintenance system:** chronological by fiscal year, then by month
- C. Description:** 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.

- D. Retention:** six years after close of fiscal year in which report created

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

[1.18.770.81 NMAC - Rp, 1.18.770.351 NMAC, 7/21/2008]

**1.18.770.82 SUB INVENTORY FILES:**

- A. Program:** armory
- B. Maintenance system:** chronological by calendar year, then by month
- C. Description:** 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.

- D. Retention:** three years after close of fiscal year in which file created

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

[1.18.770.82 NMAC - Rp, 1.18.770.352 NMAC, 7/21/2008]

**1.18.770.83 CHEMICAL AGENTS ISSUANCE FILES:**

- A. Program:** armory
- B. Maintenance system:** chronological by calendar year, then by day
- C. Description:** 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.

- D. Retention:** three years after close of fiscal year in which file created

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

[1.18.770.83 NMAC - Rp, 1.18.770.353 NMAC, 7/21/2008]



**1.18.770.84 AMMUNITION ISSUANCE LOGS:**

- A. Program:** armory
  - B. Maintenance system:** chronological by calendar year, then by date of issuance
  - C. Description:** 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.
  - D. Retention:** three years after close of fiscal year in which file created
- [1.18.770.84 NMAC - Rp, 1.18.770.355 NMAC, 7/21/2008]

**1.18.770.85 RESTRAINT EQUIPMENT ISSUANCE FILES:**

- A. Program:** armory
  - B. Maintenance system:** chronological by calendar year, then by date of action
  - C. Description:** records tracking the issuance and status of restraining equipment. File may contain *handcuff inventory log, leg-iron inventory log, belly chain log, etc.*
  - D. Retention:** three years after close of fiscal year in which file created
- [1.18.770.85 NMAC - Rp, 1.18.770.356 NMAC, 7/21/2008]

**1.18.770.86 WEAPON ISSUANCE FILES:**

- A. Program:** armory
  - B. Maintenance system:** chronological by calendar year, then by date of issuance or return
  - C. Description:** records tracking the issuance and return of weapons. File may contain *weapons issue log, lethal weapons equipment list, etc.*
  - D. Retention:** three years after close of fiscal year in which log created
- [1.18.770.86 NMAC - Rp, 1.18.770.357 NMAC, 7/21/2008]

**1.18.770.87 - 1.18.770.90 [RESERVED]**

**1.18.770.91 INMATE EDUCATION FILES:**

- A. Program:** education
  - B. Maintenance system:** chronological by calendar year, then alphabetical by inmate surname
  - C. Description:** records documenting the educational history of inmate while incarcerated. These files are input to the *education database*, 1.18.770.93 NMAC and *CMIS*, 1.18.770.21 NMAC. 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.*
  - D. Retention:** 50 calendar years after date of discharge
  - E. 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).
- [1.18.770.91 NMAC - Rp, 1.18.770.366, 367, 368, 369 & 370 NMAC, 7/21/2008]

**1.18.770.92 EDUCATION SERVICES PLAN:**

- A. Program:** education
  - B. Maintenance system:** chronological by calendar year
  - C. Description:** 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.
  - D. Retention:** three years after close of calendar year in which created
- [1.18.770.92 NMAC - N, 7/21/2008]

**1.18.770.93 EDUCATIONAL DATABASE:**

- A. Program:** education bureau
  - B. Maintenance system:** numerical by primary key
  - C. Description:** 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.
  - D. Retention:**
    - (1) **Transcript data:** 50 calendar years after date of discharge
    - (2) **All other data:** five years after close of calendar year in which data created
  - E. 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).
  - F. Input:** All documents as input for the *educational database* are filed in *inmate education files*, 1.18.770.91 NMAC.
  - G. Output:** Because the *educational database* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are either forwarded to the requesting entity or filed in *inmate education files*, 1.18.770.91 NMAC. Some of these reports include *education performance tracking, educational gains and attendance for pre- and post-tested participants, educational gains and attendance by educational functioning level, core follow-up outcome achievement, NM adult basic education*; etc.
- [1.18.770.93 NMAC - Rp, 1.18.770.372 NMAC, 7/21/2008]

**1.18.770.94 - 1.18.770.99 [RESERVED]**

**1.18.770.100 INMATE CLINICAL FILES:**

- A. Program:** health services
  - B. Maintenance system:** chronological by calendar year, then numerical by inmate NMCD number
  - C. Description:** 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.
  - D. Retention:** 10 years after date of discharge
  - E. 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).
- [1.18.770.100 NMAC - Rp, 1.18.770.381 NMAC, 7/21/2008]

**1.18.770.101 - 1.18.770.104 [RESERVED]**

**1.18.770.105 INMATE LEGAL MAIL FILES:**

- A. Program:** correctional facility mail room
  - B. Maintenance system:** chronological by calendar year, then by month and day
  - C. Description:** documentation on inmate correspondence from courts, judges, attorneys, veterans affairs, social security administration, child support enforcement division, etc. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain inmate legal mail log, *inventory-chain of custody* form (CD-090301.1), *evidence box sign-in log* (CD-090301.A), etc.
  - D. Retention:** five years after close of calendar year in which created
- [1.18.770.105 NMAC - Rp, 1.18.770.391 NMAC, 7/21/2008]

**1.18.770.106 PROPERTY RECEIPT FILES:**

- A. Program:** correctional facility mail room
- B. Maintenance system:** chronological by calendar year and month, then alphabetical by inmate surname
- C. Description:** records concerning goods mailed to inmates. File may contain inmate purchase order, property receipt, correspondence, etc.
- D. Retention:** five years after close of calendar year in which file created

[1.18.770.106 NMAC - Rp, 1.18.770.392 NMAC, 7/21/2008]

**1.18.770.107 REJECTION NOTICE FILES:**

- A. Program:** correctional facility mail room
- B. Maintenance:** chronological by calendar year and month, then alphabetical by inmate surname
- C. Description:** records concerning notice of rejected mail for contraband. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain rejection slip, inmate purchase order, correspondence, etc.
- D. Retention:** five years after close of calendar year in which notice issued

[1.18.770.107 NMAC - Rp, 1.18.770.393 NMAC, 7/21/2008]

**1.18.770.108 - 1.18.770.110 [RESERVED]**

**1.18.770.111 HOUSEKEEPING INSPECTION FILES:**

- A. Program:** fire, safety and sanitation
- B. Maintenance system:** chronological by calendar year, then by quarter and month
- C. Description:** records concerning housekeeping inspections for fire prevention, sanitation and safety. File may contain *housekeeping plans; daily housing unit safety and sanitation* sheets; *housing unit weekly monthly inspection fire, safety, and sanitation* sheets; *weekly housekeeping plan staff department inspection* sheets; *work order requests*; correspondence; etc.
- D. Retention:** five years after close of calendar year in which created

[1.18.770.111 NMAC - Rp, 1.18.770.401 NMAC, 7/21/2008]

**1.18.770.112 FIRE EQUIPMENT INSPECTION FILES:**

- A. Program:** fire, safety and sanitation
- B. Maintenance system:** chronological by calendar year, then by quarter and month
- C. Description:** 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.
- D. Retention:** four years after close of calendar year in which equipment inspected

[1.18.770.112 NMAC - Rp, 1.18.770.403 NMAC, 7/21/2008]

**1.18.770.113 GENERAL OR HYGIENE SUPPLY ISSUANCE FORM:**

- A. Program:** fire, safety and sanitation
- B. Maintenance system:** chronological by calendar year, then by quarter and week
- C. Description:** 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.
- D. Retention:** five years after close of calendar year in which created

[1.18.770.113 NMAC - Rp, 1.18.770.404 NMAC, 7/21/2008]

**1.18.770.114 CAUSTIC MATERIAL INVENTORY LOG:**

- A. Program:** fire, safety and sanitation
- B. Maintenance system:** chronological by calendar year, then by quarter and week
- C. Description:** 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.
- D. Retention:** one year after the calendar year in which created

[1.18.770.114 NMAC - Rp, 1.18.770.406 NMAC, 7/21/2008]

**1.18.770.115 INMATE ACCIDENT AND INJURY FILES:**

- A. Program:** fire, safety and sanitation
- B. Maintenance system:** chronological by calendar year, then by date of occurrence
- C. Description:** records concerning any type of injury sustained and treatment rendered to an inmate. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain *inmate accident and-or injury report, medical incident report*, correspondence, etc.
- D. Retention:** five years after close of calendar year in which incident occurred

**E. 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).  
[1.18.770.115 NMAC - Rp, 1.18.770.409 NMAC, 7/21/2008]

**1.18.770.116 - 1.18.770.120 [RESERVED]**

**1.18.770.121 INMATE ART AND CRAFT FILES:**

- A. Program:** recreation
  - B. Maintenance system:** chronological by fiscal year, then numerical by inmate NMCD number
  - C. Description:** 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.*
  - D. Retention:** six fiscal years after termination of agreement
- [1.18.770.121 NMAC - Rp, 1.18.770.421 NMAC, 7/21/2008]

**1.18.770.122 INMATE SELF-HELP GROUP FILES:**

- A. Program:** recreation
  - B. Maintenance system:** chronological by calendar year, then alphabetical by group name
  - C. Description:** 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.*
  - D. Retention:** three years after close of calendar year from last group activity
- [1.18.770.122 NMAC - Rp, 1.18.770.422 NMAC, 7/21/2008]

**1.18.770.123 DAILY RECREATION FILES:**

- A. Program:** recreation
  - B. Maintenance system:** chronological by calendar year, then by month, then by date and time
  - C. Description:** records documenting the number of inmates attending recreation activities, the recreation areas used, the times inmates are allowed to participate, etc. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain *recreation daily log, daily shakedown log, gymnasium cleaning equipment issuance log, spray bottle sign-out sheet, etc.*
  - D. Retention:** three years after close of calendar year in which file created
- [1.18.770.123 NMAC - Rp, 1.18.770.424 NMAC, 7/21/2008]

**1.18.770.124 - 1.18.770.130 [RESERVED]**

**1.18.770.131 BOILER WATER INSPECTION FILES:**

- A. Program:** power plant
  - B. Maintenance system:** chronological by calendar year, then by date of inspection
  - C. Description:** records documenting the inspection of boilers used to supply water to the correctional facilities. Files may contain inspection form, *certificate of inspection, etc.*
  - D. Retention:** two years after close of calendar year in which inspection conducted
- [1.18.770.131 NMAC - Rp, 1.18.770.435 NMAC, 7/21/2008]

**1.18.770.132 MICROBIOLOGICAL WATER REPORTS:**

- A. Program:** power plant
  - B. Maintenance system:** chronological by month
  - C. Description:** 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.
  - D. Retention:** one year after close of calendar year in which report issued
- [1.18.770.132 NMAC - Rp, 1.18.770.436 NMAC, 7/21/2008]

**1.18.770.133 - 1.18.770.140 [RESERVED]**

**1.18.770.141 GENERAL INMATE VISITATION FILES:**

- A. Program:** visitation
- B. Maintenance system:** chronological by calendar year, then by month and day
- C. Description:** records documenting visits to inmates or inmate requests for a meeting with legal counsel, family, chaplain or corrections staff, etc. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.
- D. Retention:** five years after close of calendar year in which file created  
[1.18.770.141 NMAC - Rp, 1.18.770.501 NMAC, 7/21/2008]

**1.18.770.142 - 1.18.770.150 [RESERVED]**

**1.18.770.151 SUBSTANCE CONTROL BOOK:**

- A. Program:** pharmacy
- B. Maintenance system:** chronological by calendar year, then by date
- C. Description:** 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
- D. Retention:** 10 years after date of last entry
- E. Confidentiality:** Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).  
[1.18.770.151 NMAC - Rp, 1.18.770.557 NMAC, 7/21/2008]

**1.18.770.152 TRANSFER AND DISCHARGE FILES:**

- A. Program:** pharmacy
- B. Maintenance system:** chronological by calendar year, then by date of transfer
- C. Description:** inmate pharmaceutical dispensation records generated as a result of inmate movement or the relocation of an inmate from one correctional facility to another. These files are input to the *CMIS*, 1.18.770.21 NMAC. File may contain *intra-facility transfer form*, transfer check-off list, copy of medical record receipt, etc.
- D. Retention:** 10 years after date transferred or discharged
- E. Confidentiality:** Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).  
[1.18.770.152 NMAC - Rp, 1.18.770.558 NMAC, 7/21/2008]

**1.18.770.153 PHYSICIAN MEDICATION ORDER FORM:**

- A. Program:** pharmacy
- B. Maintenance system:** chronological by calendar year, then by date of order
- C. Description:** 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.
- D. Retention:** 10 years after dispensation of medication
- E. Confidentiality:** Portions of record may be confidential pursuant, but not limited to, 42 USC 1320d (4) and 42 1320d-6 (i.e., health information).  
[1.18.770.153 NMAC - Rp, 1.18.770.559 NMAC, 7/21/2008]

**1.18.770.154 REQUEST FORM FOR NON-FORMULARY DRUGS:**

- A. Program:** pharmacy
- B. Maintenance system:** chronological by day
- C. Description:** 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.

**D. Retention:** 10 years after medication is dispensed

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

[1.18.770.154 NMAC - Rp, 1.18.770.560 NMAC, 7/21/2008]

#### **1.18.770.155 - 1.18.770.160 [RESERVED]**

#### **1.18.770.161 PROBATION, PAROLE AND COMPACT CASE FILES:**

**A. Program:** probation and parole

**B. Maintenance system:** chronological by calendar year, then alphabetical by client surname

**C. Description:** records concerning offender compliance with probation, parole and inter-state compact requirements. These files are input to the *CMIS*, 1.18.770.21 NMAC. 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.

**D. Retention:** 50 years after date of discharge

**E. 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.).

[1.18.770.161 NMAC - Rp, 1.18.770.599, 600, 601, 611 & 612 NMAC, 7/21/2008]

#### **1.18.770.162 - 1.18.770.170 [RESERVED]**

#### **1.18.770.171 RAW MATERIALS, WORK IN PROGRESS AND FINISHED PRODUCT INVENTORY FILES:**

**A. Program:** corrections industries

**B. Maintenance system:** chronological by fiscal year, then by month

**C. Description:** inventory of raw materials, work in progress materials and finished goods and services. These files are input to the *corrections industries accounting system*. File may contain end of the month corrections industries *inventory cover sheet*, *farm shop inventory*, *finished products inventory*, *textile items in-transit*, etc.

**D. Retention:** three fiscal years after date agency financial audit report is released

[1.18.770.171 NMAC - Rp, 1.18.770.631 NMAC, 7/21/2008]

#### **1.18.770.172 RAW MATERIALS AND FINISHED PRODUCT TRANSFER SLIPS:**

**A. Program:** corrections industries

**B. Maintenance system:** chronological by fiscal year, then by month

**C. Description:** records concerning shipment and transfer of raw materials and finished products from one correction's industries shop to another. These files are input to the *corrections industries accounting*

system. 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.

**D. Retention:** three fiscal years after date agency financial audit report is released  
[1.18.770.172 NMAC - Rp, 1.18.770.632 NMAC, 7/21/2008]

**1.18.770.173 CUSTOMER FILES:**

**A. Program:** corrections industries  
**B. Maintenance system:** chronological by fiscal year, then numerical by customer number  
**C. Description:** cumulative information on orders received from customers. These files are input to the *corrections industries accounting system* and the *sales report system*. Files may contain work orders, invoices, delivery tickets, purchase orders, copies of warrants or checks, etc.

**D. Retention:** three fiscal years after date agency financial audit report is released  
[1.18.770.173 NMAC - Rp, 1.18.770.633, 634 & 635 NMAC, 7/21/2008]

**1.18.770.174 CORRECTIONS INDUSTRIES SALES REPORT SYSTEM:**

**A. Program:** corrections industries  
**B. Maintenance system:** numerical by primary key  
**C. Description:** 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.

**D. Data retention:** five years after close of fiscal year in which created  
**E. Input:** All documents used as input for the *corrections industries sales report system* are filed in *customer files*, 1.18.770.173 NMAC.

**F. Output:** Because the *corrections industries sales report system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced, these reports are forwarded to the requesting entity. Some of these reports include the *New Mexico corrections department sales reports sales department weekly report*, etc.

[1.18.770.174 NMAC - Rp, 1.18.770.637 NMAC, 7/21/2008]

**1.18.770.175 CORRECTIONS INDUSTRIES ACCOUNTING SYSTEM:**

**A. Program:** corrections industries  
**B. Maintenance system:** numerical by primary key  
**C. Description:** 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.

**D. Data retention:** five years after close of fiscal year in which created  
**E. Input:** All documents used as input for the *corrections industries accounting system* are filed in *raw materials, work in progress and finished product inventory file*, 1.18.770.171 NMAC; *raw materials and finished products transfer slips*, 1.18.770.172 NMAC; *customer files*, 1.18.770.173 NMAC.

**F. Output:** Because the *corrections industries accounting system* is a data-based system, ad hoc and regularly scheduled reports may be generated upon request or demand. When produced these reports are forwarded to the requesting entity. Some of these reports include *corrections industries income statement, corrections industries balance sheet, corrections industries inventory worksheet, GL transaction posting audit, GL transaction edit report, corrections industries transfers*, etc.

[1.18.770.175 NMAC - Rp, 1.18.770.638 NMAC, 7/21/2008]

**HISTORY OF 1.18.770 NMAC:**

**Pre-NMAC History:**

The material in this part was derived from that previously filed with the Commission of Public Records - State Records Center and Archives under:

SRC Rule 70-20, Department of Corrections, Records Retention and Disposal Schedule, filed 8/28/70.

SRC Rule 84-14, Records Retention and Disposition Schedule for Department of Corrections, Field Services Division, filed 5/1/84.

SRC Rule 84-02, Records Retention and Disposition Schedule for Department of Corrections, Administration, filed 2/28/84.

SRC Rule 84-03, Records Retention and Disposition Schedule for Department of Corrections, Juvenile Facilities Division, filed 2/28/84.

SRC Rule 84-04, Records Retention and Disposition Schedule for Department of Corrections, Adult Institutions, filed 2/28/84.

**History of Repealed Material:**

1.18.770 NMAC, ERRDS, Corrections Department, filed 5/16/2001, repealed 7/21/2008.

REPEALED