



Corrections and Community Supervision

SUBJECT MATTER LIST

Updated April 8, 2024

ADMINISTRATIVE SERVICES

Subject Area	Record Type
Budget and Finance	
Central Depository	
Facilities Planning and Development	<ul style="list-style-type: none"> • General Files – Alphabetical categories maintained from ACA- Yard lighting, Building Permits, Facility files, OGS project files, NYPA project files, 1612's, Facility bluebooks, Facility Maps, DOCCS constructions standards, Biennial Building Inventory, Sustainability/EO22/EO88/Build Smart 2025, Trip Reports, Monthly Reports, Monthly Our of Service Cell Reports, Annual staff housing inspections. Perimeter fence audits, Water Treatment, Water Storage, Dams, Wastewater Treatment, Stromwater, Powerhouse, Air Emissions, Generators, Electrical, Energy, Petroleum Bulk Storage (PBS), Chemical Bulk Storage (CBS), Cooling Towers, Legionella, Refrigerants, Pesticides, Fuel master monthly audit, Term Service Contracts, Plant Operations and Maintenance for each facility. • Finance records – Minor rehabilitation projects (from funding request, approval and quarterly reporting), OGS Construction Projects/Emergency projects (Funding requests & supporting docs for new awards, change orders and work orders), OGS Time card invoices, NYPA project invoices, Corcraft Invoices, ITS invoices, annual budget files, Capital Budget five year plans, monthly disbursement reports, staff housing by facility.
Internal Audit	
Organizational Alcohol Program	
Support Operations	<p>Building & Lease Administration: All executed leases with OGS and associated communications, related purchases, project and space planning</p>

reviews and determinations.

Surplus Property management:

- DOCCS Fixed Asset Inventory reporting
- Surplus Property Disposition Forms
- Local disposition Authorizations

Record Management officer:

Records Retention Determinations

Central Files:

Active incarcerated individual (I/I)/releasee files

Central Depository:

- I/I records for NYC facilities
- Inactive I/I records
- Inactive Central Office and Executive files
- Records from closed facilities

Procurement:

- Procurement records for Central Office, Board of Parole, and certain centralized procurements, including all DOCCS vehicle procurement (OGS-DOB Business Case process)
- Capital Equipment Request Forms

Contract Procurement:

- Contract procurement records for Central office and Board of parole
- DOCCS MWBE & SDVOB GOAL compliance reporting and contracting efforts

Vehicle/Fleet management:

- Central Office and Board of Parole vehicle maintenance records
- Vehicle mileage logs
- Fuel Card Administrator records – requests
- Vehicle registrations
- Accident reporting records
- Vehicle administration records, inventory, transfers, surplus
- EZ Pass Administration records
- Reported traffic violations
- Central Office pool vehicle reservations
- Insurance claims processing

Central Quartermaster Warehouse:

- Security apparel (including badges) and Central Office/Board of parole office supplies inventories,

	<ul style="list-style-type: none"> receiving, and requisitions • Photocopying services requests <p>I/I Commissary:</p> <ul style="list-style-type: none"> • Annual commissary audits • Financial reporting <p>Sanitation and Hygiene/Laundry Services:</p> <ul style="list-style-type: none"> • Annual Sanitation and Hygiene audits • Facility laundry reports <p>I/I Package Vendor Reviews: Disapproved I/I package room vendor forms and reviews</p> <p>Miscellaneous:</p> <p>Due to the board scope of activities and interfaces with all DOCCS functional areas, the division maintains a wide variety of administrative files such as, but not limited to, policy reviews, responses to inquiries from the field, Internal Controls and Risk Assessment survey responses, division meeting minutes, monthly report submissions, staffing charges, OGS security ID processing records, training presentations, MOUS with other agencies such as with OCFS for vending services ITS equipment distributions, etc.</p>
Training Academy	<ul style="list-style-type: none"> • KHRT Training completions for all employees • RTFs for Central Office (six-year retention) • Peace Officer School completions • Lesson Plans

BOARD OF PAROLE

Subject Area	Record Type
Parole Appeals	
Parole Interview and Revocation	
Parole Revocation Decisions	
Transcripts	

CLASSIFICATION AND MOVEMENT

Subject Area	Record Type
County Intake (State Screening Unit)	Reports, Electronic Data
DNA	Reports, Electronic Files
DOCCS OMH beds	Report, Electronic Data
FOIL	Request & Responses
HALT	Reports, Electronic Data
Immigration	Reports, Electronic Files, Signed Agreements
Incarcerated Individuals Releases (Immediate)	Tracking, Electronic Data
Incarcerated Individuals Transfers	Reports, Electronic Data
Interstate	Electronic Data, Reports, Agreements
IRC Offices	Reports, Electronic Data, & Filing
Reception / Classification	Reports, Electronic Data
SARA	Reports, Electronic Files Data
Separation System	Reports, Electronic Data Files
Shock	Tracking, Reports, Electronic Data, & Files
SOMTA	Electronic Files
SORA	Reports, Electronic Data
Transgender Population	Tracking Electronic Data
Transportation	Reports, GPS Data, Transportation Contract

COMMISSIONER'S OFFICE

Subject Area	Record Type
Commissioner	<ul style="list-style-type: none"> • Commissioner's Correspondence • Delegations of Authority • Executive Organizational Chart • Federal Priorities
Associate Commissioner/Chief of Staff	<ul style="list-style-type: none"> • Bi-annual Domestic Violence Agency Liaison (DVAL) statistical reports • CLA Lineman surveys and supporting documents • Monthly calls with Regional Directors meeting minutes • Monthly calls with Superintendents meeting minutes • Workplace violence statistical reports

COMMUNITY SUPERVISION

Subject Area	Record Type
Executive Clemency	<ul style="list-style-type: none">• Statistical reports involving grants of clemency and pardons• Statistical reports involving issuance of certificates of good conduct and certificates of relief from disabilities• Records and reports produced for received from the Executive Chamber• Internal reports monthly, annual, and periodic as necessary• Business forms associated with executive clemency and the issuance of certificates of good conduct and certificates of relief from disabilities• State licensing documentation and instructional materials• Executive Chamber sponsored special initiative and special project documents and reports• Data and statistical information maintained in the Clemency Lotus-based operating system
Internal Operations	<ul style="list-style-type: none">• Community Supervision policies, procedures, directives, and authorized business forms• CS reports, online print system reports, personnel reports, statistical reports• contracts with vendors• records and reports associated with initiatives, projects, and data requests under the direction of the Commissioner, Deputy Commissioner and Assistant Commissioners• Online Print System reports Community Supervision Operations) central office and statewide distribution• ITS systems produced reports associated with community preparation, case supervision, discharges, violations of release, arrests, and revocations• Purchase authorizations,

	<p>requisitions, budget documents, and procurement approvals</p> <ul style="list-style-type: none"> • Accreditation documentation, data reports, statistical information, and audit materials • Community Supervision (releasee) Central Files records • Community Supervision inventory files and lotus repository • Monthly and annual reports produced by Central Office Operations staff • ParoleSTAT reports and presentation documents • FOIL and subpoenas received involving community supervision, personnel matters, statistical information, community supervision • Personnel evaluations for staff assigned to Internal Operations and all units under the supervision of Internal Operations • CS handbook, memorandums of direction, instructional materials, correspondence, and training information • Business forms associated with release, supervision, revocation, and sentence/post-release supervision discharge • Reports, memorandums of direction, and policy documents produced by the units under the direction of the Office of Internal Operations for Community Supervision • CS records maintained in the PARMIS, VIOLATORS, and Case Management System (CMS) programs
<p>Interstate Supervision Bureau</p>	<ul style="list-style-type: none"> • Statistical reports involving case transfers of supervision to other states • Statistical reports involving cooperative supervision cases received from other states • Records and reports produced in connection with the supervision of released individuals under the authority of the Interstate Compact

	<ul style="list-style-type: none"> – ICAOS • Internal reports monthly, annual, and periodic as necessary • Business forms associated with the supervision of released individuals under the Interstate Compact • DOCCS sponsored special initiative and special project documents and reports • Data maintained in the ICAOS Case Management System (external case management system) • Data maintained in the DOCCS Interstate Case Management Program (Lotus-based program – internal) • Case-specific business forms (DOCCS and Interstate Compact forms)
<p>Parole Supervision Field Operations (CO/ Bureaus)</p>	<ul style="list-style-type: none"> • Parolee Grievance Logs • Unusual Incident Report (UIRs) • Use of Force reports • Workplace Violence logs • GPS/EM Controls • Vehicle Logs • Responses to Complaints • Parole Violation Spreadsheets
<p>Parole Violation Unit (Downstate)- NYC Metro Area</p>	<ul style="list-style-type: none"> • Violation of Release Reports, investigation materials, bureau analysis forms, Parole Board action forms, and recognizance hearing documents • Documentary evidence and chain of custody documentation prepared and maintained for physical evidence utilized at the revocation hearings • Recognizance, preliminary, and final hearing decision forms • Transcripts from the administrative revocation hearings • Case-specific court documents, arrest notices and reports, criminal and superior court dispositions, and commitment forms • Statistical reports and electronic records involving case creation, warrants issued, hearing calendar and scheduling, violation charge

	<p>information and disposition information</p> <ul style="list-style-type: none"> • Case-specific and caseload Online Print System and PVLE reports • Litigation records and court documents • Administrative appeal forms • DOCCS supervision and mainframe program records – PARMIS, CMS, and VIOLATORS
Parole Violation Unit (Upstate) – Upstate Counties and Long Island Areas	<ul style="list-style-type: none"> • Violation of Release Reports, investigation materials, bureau analysis forms, Parole Board action forms, and recognizance hearing documents • Documentary evidence and chain of custody documentation prepared and maintained for physical evidence utilized at the revocation hearings • Recognizance, preliminary, and final hearing decision forms • Transcripts from the administrative revocation hearings • Case-specific court documents, arrest notices and reports, criminal and superior court dispositions, and commitment forms • Statistical reports and electronic records involving case creation, warrants issued, hearing calendar and scheduling, violation charge information, and disposition information • Case-specific and caseload Online Print System and PVLE reports • Litigation records and court documents • Administrative appeal forms • DOCCS supervision and mainframe program records – PARMIS, CMS, and VIOLATORS
Parolee Closed Files (Central and Area Offices)	
Polygraph Unit	<ul style="list-style-type: none"> • Polygraph Annual Report • Polygraph monthly Report • Polygraph Exam Report • Polygraph Referrals
Quality Control Unit	<ul style="list-style-type: none"> • Quality Control (QC) is responsible for ensuring the accuracy,

	<p>completeness, and timeliness of Community Supervision data entered in the Department's Case management System (CMS).</p> <ul style="list-style-type: none"> • Within QC there are three subunits: PARMIS, VIOLATORS, and ALERTS. • The PARMIS Unit is responsible for ensuring the integrity of all supervision data entered into CMS and the distribution of management reports throughout the agency. • The ALERTS Unit is responsible for processing parolee arrest information, absconder warrants and rep sheet requests. • The VIOLATORS Unit is responsible for ensuring the accuracy of time computations, processing violation warrants, assisting with scheduling violation hearings, and verifying the accuracy of revocation disposition information. • Each subunit also provides technical assistance and support to Community Supervision field offices, facility offices, the Parole Violation Unit, and the Board of Parole. • DOCCS supervision and mainframe program records – PARMIS, CMS, and VIOLATORS
<p>Re-Entry Services</p>	<ul style="list-style-type: none"> • RTF Spreadsheets • Priority Releases Spreadsheets • Domestic Incident Report Spreadsheets • Emergency Housing Spreadsheets • Medical parole Spreadsheet • CBRP PREA Audit Schedule • CBRP Census Information • CBRP RFA/Workplan • CEO Contract • Reentry Operations Roster • Potential Employer Spreadsheets provided by Employment PO (regional) • Spreadsheets of releasees referred to Employment PO (regional) • Work for Success Eligible

	Participant List Reentry Operations Monthly Meeting Agendas and Minutes
Sex Offender Management Unit	<ul style="list-style-type: none"> • SOMTA – Article 10 produced case-specific records, supervision documents and forms, investigation reports, court records, and orders • Supervision records internal and external) special conditions, treatment records, GPS tracking, polygraph records, electronic alcohol monitoring, CMS records, civil commitments, violation records, and discharge records • Inpatient and residential treatment records • Strict and Intensive Supervision and Treatment (SIST) investigations, SIST and parole violations, civil confinement, and discharge records • Case-specific records produced and disseminated by the Office of the Attorney General and the Office of Mental Health • Internal reports monthly, annual, and periodic as necessary • DOCCS supervision and mainframe program records – PARMIS, CMS, and VIOLATORS

CORRECTIONAL INDUSTRIES (CORCRAFT)

Subject Area	Record Type
Abatement	
Call Centers	
Distribution	
Manufacturing	

CORRECTIONAL FACILITIES

Subject Area	Record Type
Communication Control Center	<ul style="list-style-type: none"> • CCC Captains • CCC Operations • Unusual Incident Statistics
Correctional Emergency Response Team	<ul style="list-style-type: none"> • Advanced CERT • Affidavits (Security Concerns) • CERT Certification • CERT Files

	<ul style="list-style-type: none"> • CERT Identification Cards • CERT Training • Performance Evaluations (CERT/CCC) • DHSES/OEM • Escape Attempts / Pursuits • FEMA • Semi-Annual Uniform Inspections • Site Visits (CERT/Security) • Incarcerated Transportation
Crisis Intervention	<ul style="list-style-type: none"> • Administrative Segregation • Central Monitoring Cases
Facility Operations	<ul style="list-style-type: none"> • Superintendent memorandums from Deputy Commissioner for Correctional Facilities • Guard 1 Plus Reviews
Fire and Safety	<ul style="list-style-type: none"> • Accreditation Standards • Material Safety Data (MSDS) • ADA Compliance • N-95/P-100/ SCBA Respiratory Protection • Central Office Accreditation Standards • Commissioner's Letters • National Fire Protection • NYSCOPBA Communications • NYS Office of Fire Prevention & Control • OSHA Information and Files • PEF Communications • Council 82 Health & Safety Documents • Respirator Requirements & Information • CSEA Health & Safety Documents • Department of Labor Violations & Corrective Actions • Employee Assistance Program Documents • Sprinkler Requirements • Tool Control • Facility Environmental Services Reports • Ventilation Systems • Facility Fire Alarms • Volunteer Fire Department Information

	<ul style="list-style-type: none"> • Facility Planning Information • Work Site Safety program • Year-End Reports for fire Safety • Year-End Reports for AED Program • Fire Suppression System Information • First Aid • Hearing Protection (Personal Protection Equip) • Incarcerated Individuals Letters • Internal Controls Information • Litigation Affecting Fire Safety • Lead Standards • Legislative issues • Lesson Plans for Fire Safety
<p>Security Inventory</p>	<ul style="list-style-type: none"> • CERT Equipment • Satellite Telephones • Semi-Annual Uniform Inspections • Operation Preserve phones • Monthly facility arsenal weapons, ammunition, and equipment inventory reports • Department weapons data base • Annual facility key inventories • Radio equipment data base • Facility body worn camera installation, and inventory • AED Inventories & Equipment • Confined Space Training & Equipment • Self-Contained Breathing Apparatus • Firefighting Turnout Gear • Fire Trucks and Equipment
<p>Security Reports</p>	<ul style="list-style-type: none"> • Contraband • Use of Force • Unusual Incidents • Weapons prohibition, extension, and removal • Accident Reports • Annual, Quarterly facility contraband evidence storage reports • Biennial facility arsenal audits • Facility Fire Reports • S-Block Evacuations That

	<ul style="list-style-type: none"> Occurred • Fire Drills for Facilities • Fire Safety Monthly Reports
Security Staffing	<ul style="list-style-type: none"> • Facility Files • General Files • Arbitration • Audits – OSC – General • Construction • Correction Employment Training Enhancements • Deployment • Expansions • Forms • HUBS • Labor Relations • Mental Health – General Health • Monthly Reports • Security Information & Staffing unit Reports • COMPUTERIZED FILES
Shock	<ul style="list-style-type: none"> • Shock Incarceration
Special Housing/Incarcerated Individual Disciplinary	<ul style="list-style-type: none"> • Tier III Appeals • Time Allowance Forms • Tier III Expungements • Tier II Court Ordered Expungements • Voluntary/Involuntary Protective Custody Forms • SHU Operation Manuals • Deprivation Orders • Hearing Extension Reports • Confinement Reports • Disciplinary Reports • Over 15 Days Shu Report (#4933B and C) • Cell Shield Reports • Restraint Order Reports • Special management Meal Forms • Exceptional Circumstances Forms • Report on Special Housing Incarcerated Individuals and availability of Health Care Services
Special Operations	<ul style="list-style-type: none"> • Departmental C- Forms • Missing, Lost, Found State property • Security Equipment Purchase Requisitions • Visitor Processing System/Sanction records

	<ul style="list-style-type: none"> • Radio communications- channel ID numbers • Facility FCC licenses
Watch Commander Master Log	<ul style="list-style-type: none"> • Incident Summary

COUNSEL - DEPARTMENT OF CORRECTIONS AND COMMUNITY SUPERVISION

Subject Area	Record Type
Commissioner's Hearing Officer Program	<ul style="list-style-type: none"> • Statistical reports on the number of hearings conducted by Commissioner's Hearing Officers • Agendas and presentation materials
Discrimination Complaints	<ul style="list-style-type: none"> • Complaints filed with the Division of Human Rights and the Equal Employment Opportunity Commission • Investigative reports • Responses to complaints • Decisions
Foreign National Prisoner Transfer	<ul style="list-style-type: none"> • Transfer request acknowledgment letters • Commissioner's decisions • Approved application referrals
Freedom of Information Law	<ul style="list-style-type: none"> • FOIL requests, appeals, and responses • Training materials
Governor's Extradition	<ul style="list-style-type: none"> • Fugitive extradition and rendition applications, requests from demanding states, accusatory instruments, warrants, fugitive identification materials, and the Governor's Warrant or Governor's Requisition, if issued
Litigation	<ul style="list-style-type: none"> • Records from counsel representing the Department in litigation • Subpoenas
Regulations	<ul style="list-style-type: none"> • Filing documents • Public Comments
Sentencing Review	<ul style="list-style-type: none"> • Date computation forms • Training material
Visitation Appeals	<ul style="list-style-type: none"> • Appeals, requests for reconsideration, and decisions • Hearing decisions

DC POPULATION MANAGEMENT RECORDS

Freedom Of Information Law	Record Type
	Requests and Responses
Civil Management	Process and procedures
Correctional Facilities	MFC Reports, Capacity changes, Closed Facility Info
Data Sharing	NDAs, MOUs, File specifics
Intake & Classification	Process and procedures
IT Projects	Project Designs
Population Projections	Reports
Sentencing Minutes	Process and procedures
State Ready	Litigation
Statewide Meetings – Statewide Labor Management, All Bureau Chiefs, All Superintendents,	Agendas
Substitute Jail Orders	Requests, Approvals, Renewals

EMPLOYEE SUBJECTS

Subject Area	Record Type
Correction Officer Trainee Investigations	
Employee Assistance Program	
Executive Facility Files	
Human Resources/EIU	<ul style="list-style-type: none"> • BDA Files • Personnel procedures Files • General Files A-Z • Medal of Honor/Medal of merit files • Closure Files • Pistol Permit Files • Peace Officer Registry Forms • Security Employee Reinstatement Requests • Correction Officer Trainee Recruit Personnel Files • Recruit Class Files • Security Employee Reassignment Files • Security Supervisor Promotional Lists Files • Language Proficiency Testing Files • Classification Files • Hazardous Duty Pay Appeals • Title Files • Standard Staffing • Out-of-Title Work Grievances • 55-b/c Submissions & Excel Log

- Applications Access Log for Decentralized Titles
- Candidate Applications & letters for Decentralized Titles
- CC-2E: Employee Application for Change in Title or Salary; and Excel Log
- CC-3: Existing Position Description Files
- Classification (Item) Files: Transactions, Package Proposals, Earmarks
- Classification Access Log
- Classification Standard Files & Excel Log
- Examination Announcement Files
- Examination Planning Files & Excel Log
- Hazardous Duty Pay Appeal Submissions and Excel Log
- Increased Minimum Submissions & Excel Log
- Location Preference Sheets
- Non-Competitive Promotion (52.7)
- Non-Competitive Open Competitive (4.2b)
- Organization Charts
- Out-of-Title Work Grievance Submissions, Appeals & Access Log
- PEF Challenges
- Project Files Re: Civil Service, Internal, & State Education
- Rating Scales & Access Log for Decentralized Titles
- Salary Differentials Implemented & Requested & Excel Log
- Standard Staffing Files
- Study materials for Exams
- Title Files: Minimum Qualifications Requests and Results (approval/denial), Duties Descriptions, Classification Standards, and Title Background (correspondence, memos/letters, reports, etc.)
- Title Structure Files
- Application for Examinations
- Civil Service Eligible Lists

- Health Insurance Files
- Personal History files (Central Office Employees, Community Supervision Employees & Board of Parole Employees
- Resume Files
- Timekeeping Records
- Workers' Compensation Records
- ADA – Medical Files (Central Office Employees, Community Supervision Employees & Board of parole Employees
- Correction Officer applicant Background Records
- Correction Officer Trainee Eligible Lists/Parole Officer Eligible Lists/ISO Eligible Lists
- Examination Files
- Psychological Screening Files
- Employee Health Services Files
- Employee Termination Log
- Employee Health Services Log
- Resignation Log
- Facility & CS Region Outside Employment Request Log
- Prior Conviction Log
- BDA Files
- Personnel Training Resources and PowerPoints
- Time and Attendance Audit/Training files
- COELIG Database and updates
- Personnel Directives Subject Files
- Personnel Procedure Manual Subject files
- Historic Files A-Z (Time & Attendance)
- Central Office Service Awards
- Automated Timekeeping System (legacy System)
- Civil Service Commission Leave Extensions 7 Approval letters
- M/C Employee Evaluation Annual Ratings
- LATS Development Files
- Facility leave Donation Records
- Facility Academic 10-Month Calendars (LATS)
- Form DD-214s that support

	employees' Leave for Combat Related Healthcare Services
Labor Relations	<ul style="list-style-type: none"> • Employee Disciplinary files • Employee Grievance Files • Local Labor Management meeting Minutes • Statewide Labor Management Meeting Minutes • Improper Practice Charges • Arbitration Decisions • Performance Evaluation appeals • Fitness for duty appeal files • Employee Organizational Leave requests • OMNIBUS drug and alcohol testing records

HEALTH SERVICES

Subject Area	Record Type
Dental Services	
Health Services	
Infection Control	
Nursing Services	
Operations & Policy	
Pharmacy Services	

INCARCERATED COMMUNICATION SERVICES

Subject Area	Record Type
Incarcerated Phone Program	
Incarcerated Tablet Services	

INCARCERATED GRIEVANCE PROGRAM (IGP)

Subject Area	Record Type
CORC Appeals	<ul style="list-style-type: none"> • Case, History, & Record (CH & R) • Grievance complaints • IGRC/Superintendent/CORC Responses • Investigation materials • Appeal statements • CORC Meeting Attendance Sheets/Calendars/Notes • Receipt of Appeal (ROA)/CORC Decision Distribution Lists

Forms (blank)	<ul style="list-style-type: none"> • Grievance Complaint (Form #2131) • IGRC Response (Form #2131 Reverse) • Superintendent Response (Form #2133) • Investigation Report (Form 2132) • Code Classification Sheet • E-Form Report • Log Supplement • Statistical Outcome Report • Time Average Report • IGRC Representative Removal • PREA – ADS Review/Watch Commander/Grievant Notifications • Superintendent Code 49 Review
Freedom of Information Law (FOIL)	<ul style="list-style-type: none"> • Responses to FOIL requests
Litigation	<ul style="list-style-type: none"> • Record requests from the AG's Office
Reference Materials	<ul style="list-style-type: none"> • Departmental Directives & Manuals • Facility FOM's • Facility Orientation/Operations manuals • All Superintendent's memoranda • 7 NYCRR • CORC Index of monthly Opinions
Reports	<ul style="list-style-type: none"> • IGP Monthly/Semi-Annual/Annual Reports
Training Materials	<ul style="list-style-type: none"> • IGP Training Manual • IGP Presentation Materials for CO's, Sgt.'s, Lt.'s, and FDS/Supt.'s

INCARCERATED INDIVIDUAL SUBJECTS

Subject Area	Record Type
Incarcerated Records	
Inmate Accounts	
Inmate Claims	
Inmate Commissary	
Inmate Discipline	
Inmate Fund Bank Account Files	
Nutritional Services	
Prison Rape Elimination Act (PREA)	

MENTAL HEALTH

Subject Area	Record Type
Cell Shields	<ul style="list-style-type: none"> • Cell shields in specialized mental health programs
CISM	<ul style="list-style-type: none"> • CISM deployments due to facility incidents
CNYPC Admissions/Discharges	<ul style="list-style-type: none"> • Admissions and discharges from CNYPC
Deprivations	<ul style="list-style-type: none"> • Deprivations orders
Discharge Review	<ul style="list-style-type: none"> • Discharge reviews from BHU, RMHU, and TBU
Exceptional Circumstances	<ul style="list-style-type: none"> • Exceptional circumstances for specialized mental health programs
Facility Audits	<ul style="list-style-type: none"> • Facility audits from specialized mental health programs
Justice Center	<ul style="list-style-type: none"> • Justice Center inquiries, document requests
Mental Health Satellite Services and Commitments to CNYPC/4301	<ul style="list-style-type: none"> • Transfers for RCTP placement
Program Hours	<ul style="list-style-type: none"> • Weekly program hours from BHU, ICP, and RMHU
Program Refusers	<ul style="list-style-type: none"> • Chronic program refusers from BHU, CAR, ICP, RMHU, and SNU
Program Schedules	<ul style="list-style-type: none"> • Monthly program schedule for specialized mental health programs (BHU, ICP, RMHU, SNU)
RCTP Monthly Cell Inspections	<ul style="list-style-type: none"> • RCTP monthly cell inspection forms
Specialized Program Monthly Reports	<ul style="list-style-type: none"> • Facility monthly reports for specialized mental health programs
Staffing Levels	<ul style="list-style-type: none"> • Facility staffing levels in specialized mental health programs
Suicides/Suicide Attempts	<ul style="list-style-type: none"> • Tracking suicide watch/any suicide attempts
Time Cuts	<ul style="list-style-type: none"> • Time cuts – confinement sanctions BHU, CAR, and RMHU
Trainings	<ul style="list-style-type: none"> • Trainings records pertaining to suicide prevention, RMHU RCTP, Staff Wellness, Peace officer School, Captain School, Sergeant School, Lieutenant School
Transfers	<ul style="list-style-type: none"> • Transfers for I/I's in a specialized mental health program
Treatment Team Minutes	<ul style="list-style-type: none"> • Treatment team notes from BHU, CAR, ICP, RMHU, and SNU

MISCELLANEOUS

Subject Area	Record Type
Clemency	

NUTRITIONAL SERVICES

Subject Area	Record Type
Accounts Payable	<ul style="list-style-type: none"> • Vouchers and Credit Card Statements
Audits	<ul style="list-style-type: none"> • Monthly Vehicle Fuel Audit Reports • Monthly Recycling Reports • Monthly Inventory Reports
Budget / Finance	<ul style="list-style-type: none"> • Yearly Spending Plans • Monthly Action Plans • Bank reconciliations • Income Statements • Food Cost Reports • Sole Custody Reports
Food Ingredients	<ul style="list-style-type: none"> • Bid Specifications • Nutritional Information • Ingredient Lists for Finished Products
Food Production Center	<ul style="list-style-type: none"> • Fleet and facility vehicles • FPC Wastewater discharge and testing records • Maintenance Work Order Requests • HACCP Records • SSOP Records • USDA Records
Food Service Operation	<ul style="list-style-type: none"> • Approved DOCCS Menus • Portion Control Chart • Directives 4310, 4311, 4312 • Food Service Operations Manual • Therapeutic Diet Manual • Religious Menus • Food Equipment Inventory records • Incarcerated Individual Training Records • RCCFS/NSA1 Site visit reports • Health Department Inspection Records • Special Event Packets
Nutritional Data	<ul style="list-style-type: none"> • Recipes • Nutritional Analysis of menus • Special Diets/Allergy guides • Labeling information
Personnel	<ul style="list-style-type: none"> • Program Set-Ups / Duties • Evaluations

	<ul style="list-style-type: none"> • Time Off requests
Purchasing	<ul style="list-style-type: none"> • Bid Tabulations • Purchase Orders • Purchase order Requisitions • Quotes • Invoices • Contracts – Vendor info. / Product Info.
Tax Information	<ul style="list-style-type: none"> • Albany Training Academy tax returns and supporting documentation
Travel Expenses	<ul style="list-style-type: none"> • Expense Reports and Supporting Documentation

OFFICE OF DIVERSITY AND INCLUSION

Subject Area	Record Type
Americans with Disabilities ACT (ADA)	
Equal Employment Opportunity	
Religious Accommodations	

OFFICE OF SPECIAL INVESTIGATIONS

Subject Area	Record Type
Other Complaints of Misconduct Associated with DOCCS	<ul style="list-style-type: none"> • Complaints
Administrative and Criminal Investigations (including but not limited to Canine, PREA, Fugitives, Escape Pursuit)	<ul style="list-style-type: none"> • Investigative materials such as Interview Reports, Surveillance Reports, Case Activity Reports, Lab Reports, Department and Non-Department Records Related to the Investigation, Accusatory Instruments, Final Reports, SAIRI forms, Victim/Staff Closing Notifications Warrant/Detainer, Accusatory Instruments, Information Packets, Investigative Reports, phone calls, medical and mental health reports, photographs, and video.
Appeal to a Challenge to the Accuracy of a Record	<ul style="list-style-type: none"> • Investigative Reports, Response Letters, RMS Documentation
Close Monitoring Case Appeals	<ul style="list-style-type: none"> • Investigative Reports, Response Letters, RMS Documentation
Facility Investigations	<ul style="list-style-type: none"> • Investigative packet, attachments A&B

Law Enforcement Liaison and Record Requests	<ul style="list-style-type: none"> Documented Requests from law Enforcement Agencies, Record of Responses to the Requests
Notification and Request to Associate with Incarcerated Individuals and Releasee as per Dir. 0702	<ul style="list-style-type: none"> Request for Approval to Associate w/Incarcerated Individual/Releasee/Other and related information (forms 0702A, 702B, 702C)
Report of Criminal Charges	<ul style="list-style-type: none"> Police and Arrest Reports
Report of Employee Misconduct	<ul style="list-style-type: none"> Complaints
Reporting Suspicious Activities	<ul style="list-style-type: none"> Suspicious Activity Reports (Form 0750A), Investigative Reports, Records Management System (RMS) documentation
Weapons Prohibitions	<ul style="list-style-type: none"> Weapons Prohibition letters, Weapons Prohibition Records, Applications for Removal of a Weapons Prohibition, C-forms

POPULATION MANAGEMENT

Subject Area	Record Type
Admission Pre-Screening	
Classification and Movement	
Facilities and Capacity	
Incarcerated Housing	
Incarcerated Transportation	
State Ready	

PROGRAM SERVICES

Subject Area	Record Type
	Incarcerated Program Associate <ul style="list-style-type: none"> Policy & Procedure manual Monthly IPA Participant Report Training manual
	Medicaid <ul style="list-style-type: none"> Policy & Procedure manual Monthly caseload data Daily In custody with Pre-release Status & CBIC reports Applications Training materials
	Public Benefits <ul style="list-style-type: none"> Pre-release Agreement with SSA Training materials and applications for:

	<ul style="list-style-type: none"> • Supplemental Security Disability (SSD) • Cash Assistance • Supplemental Nutrition Assistance Program (SNAP)
	Reentry Initiatives <ul style="list-style-type: none"> • County Reentry Taskforce brochures • Office of Temporary Disability – Assistance/Child Support training materials • DOH/CJI initiatives Health Resource Packet
	Reentry Units <ul style="list-style-type: none"> • Program manuals and Training materials
	Residential Rehabilitation Units <ul style="list-style-type: none"> • Program manual and Training materials
	Resource Center <ul style="list-style-type: none"> • Resource Directory tutorial • Reentry Services Regional Guides
	Transitional Services Programs <ul style="list-style-type: none"> • Curriculum and training materials for: • Phase I, Phase II – Thinking for a Changes (males) & Moving On (females), Phase III
	Voluntary Workshops <ul style="list-style-type: none"> • Curriculum and training materials for: Parole Board Preparation & Your Money, Your Goals
Correctional Library Services	<ul style="list-style-type: none"> • General Library Policy and Procedures • General Library Program Files by Facility • Public Library Systems • Talking Book and Braille • Law Library Policy and Procedures • Law Library Program Files by Facility • Legal Research Course Information • Incarcerated legal Resources Program
Cultural and Language Access	<ul style="list-style-type: none"> • Monthly Reports • Annual Reports • Invoices
Earned Eligibility	<ul style="list-style-type: none"> • Program Plan/EEP Assessment • Presumptive Release Determination

	<ul style="list-style-type: none"> • Merit Time Determination • Supplemental Merit Time Determination • Limited Credit Time Application and Determination
Education	<p>Education</p> <ul style="list-style-type: none"> • Academic Education Program Manuals and Guidelines • Testing Policies and Instruments • Special Education records • College records and documents • College Applications and MOU's • Program Proposals • Annual reports
Family	<p>Family</p> <ul style="list-style-type: none"> • Correspondence received and responses related to family service concerns • Family Reunion Program (FRP) site visit reports • Presentation/Training materials relating to FRP • FRP Applications and Appeals • DOCCS Family handbook • Video Visitation monthly reports • DOCCS Parenting Program cycle completion reports • Visitor Hospitality Center Reports • Monthly reporting from contracted service providers • Invoices and claims for payment from service providers • Completed marriages and requests for special review on marriage application
Guidance and Counseling	<ul style="list-style-type: none"> • Chronological Entry Form • Initial/Intake Interview Forms • Orientation activities • Emergency Contact • Authorization for Use of Confidential Information/Release of Information • Consent Forms • Quarterly reviews/Case Plans • Scheduled Transfer Reviews • Proximity to Minor Child information • Program Referral • Program Progress • Program Completion, and Removal Records

	<ul style="list-style-type: none"> • Program Change Notification • Program Counseling Notification • Program Refusal Notification • Wage Incentive forms • Institutional assignment sheet • Veterans Program Information • Involuntary Protective Custody/Voluntary Protective Custody forms • Incarcerated correspondence approval • Correspondence requests, approvals denials, and removals • Cadre referral • Letters of Commendation • Visiting information • Outside assignment selection criteria • Shock incarceration eligibility/suitability review • Reception COMPAS • Classification information • Request for Reasonable Accommodation • Sex Offender Registration Form
Ministerial	<p>Ministerial</p> <ul style="list-style-type: none"> • Correspondence received and responses related to ministerial concerns • Ministerial Services Monthly reports • Ministerial Services Site Visit reports & cemetery site visits • Presentation/Training materials related to ministerial services topics • Annual religious Holy Day Calendar
Sex Offender Counseling and Treatment Program	<ul style="list-style-type: none"> • Program acknowledgements, waivers, disclosure agreements, and release of information • Participation Notification • Risk assessment information • Treatment plan • Chronological/Progress Notes • Evaluations • Discharge Summary
Special Subjects	<ul style="list-style-type: none"> • Central Office Monthly Report • Special Subjects & Recreation Program Operations Manual • Facility Special Subjects Monthly

	<p>Reports Incarcerated Organizations Program</p> <ul style="list-style-type: none"> • Operations Manual • Incarcerated Organizations Monthly Reports • Youth Assistance Program Operations Manual • YAP Quarterly Reports • Facility Media Review Monthly Reports • Central Office Media Review Determinations • Canine Training • Senior Living Manual & Training Materials • Wellness Manual • Eligibility List
<p>Substance Abuse Treatment Services</p>	<ul style="list-style-type: none"> • Assessment Tools: • MAST (Michigan Alcohol Screening Test) • SSI (Simple Screening Instrument) • TCUDS5 (Texas Christian University Drug Screening) • TCUDS5 Opioid Supplement • CASAT (Comprehensive Alcohol and Substance Abuse Treatment) Records • CASAT Phase II Work Release Records • Chemical Dependency/Sex offender • Community Reintegration • Conference Materials • Driving While Intoxicated Treatment (DWI) • Duties Description (ASAT) • Monthly & Yearly Reports • Program Plans • Site Visits • Trauma Programming Reports • Gender Responsive Curriculum • Grants Information: <ul style="list-style-type: none"> -Residential Sub Abuse Treatment (RSAT) -OASAS (Office of Addiction and Support Services) • Operation Manuals • Provider Agreements • Relapse Treatment Records • Training Materials • Videos

<p>Temporary Release</p>	<p>Abscondence & Arrests Outstanding Records</p> <ul style="list-style-type: none"> • Warrants, NYS Dept. Criminal Justice Services Wanted Notices • Correspondence from violator and legal jurisdictions. <p>Application History- applications and appeal records.</p> <p>FOIL</p> <ul style="list-style-type: none"> • Requests and responses <p>Litigation</p> <ul style="list-style-type: none"> • Article 78: pending and completed <p>Monitoring Reports</p> <ul style="list-style-type: none"> • Information Technology System daily, weekly monthly, bi-annual, and annual system reports for review of facility and central office transactions • Annual reports • Legislative reports <p>Operational Documents</p> <ul style="list-style-type: none"> • Temporary Release Program Rules and Regulations • Forms and documents for the operation of continuous and short-term programs • Policies impacting Temporary Release application and operations • Training materials
<p>Transitional Services</p>	<p>DMV Non-Driver Identification Card</p> <ul style="list-style-type: none"> • Policy & Procedure manual • Training materials <p>Edgecombe Transitional Housing</p> <ul style="list-style-type: none"> • Policy & Procedure manual • Weekly reports • Training materials
<p>Trauma, Addiction, Mental Health, and Recovery (TAMAR)</p>	<ul style="list-style-type: none"> • Operation Manual • Facilitator's Manual • Participant Workbook
<p>Vocational Training</p>	<ul style="list-style-type: none"> • Annual Education Reports • Annual Vocational Budget • CTEIA Grant Records • Perkins V Grant Records • Employability Profiles • Third Party Certification Records • Vocational Education Audit Reports • Vocational Education Program Manual and Guidelines

Volunteer Services	<ul style="list-style-type: none"> • Correspondence received and responses related to Volunteer service concerns • Volunteer registration paperwork • Volunteer services site visit report and file audits • Volunteer Services Monthly Reports • Volunteer Services by facility and description • Presentation and training materials related to Volunteer Services • I/I and on behalf of I/I letters received and response in regard to Volunteer service concerns • Volunteer registration paperwork • Volunteer services site visit reports and file audits • Volunteer Services Monthly Reports • Volunteer Services by facility and description • Presentation and training materials related to Volunteer Services
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PUBLIC INFORMATION OFFICE

Subject Area	Record Type
Public Information Reports	<ul style="list-style-type: none"> • DOCCS Monthly Fact Sheet – available on the DOCCS website • DOCCS Weekly Briefing (internal record) • DOCCS Today – published 2-3 times a year and available on the DOCCS website

PROGRAM PLANNING, RESEARCH & EVALUATION

Subject Area	Record Type
Accreditation	<ul style="list-style-type: none"> • Copies of submitted materials and reports
Ad Hoc Information Requests	<ul style="list-style-type: none"> • Requests and responses
Board of parole	<ul style="list-style-type: none"> • Electronic data files, reports
COVID 19	<ul style="list-style-type: none"> • Electronic data files, reports
Disciplinary	<ul style="list-style-type: none"> • Electronic data files, reports
Drug Testing	<ul style="list-style-type: none"> • Electronic data files, reports

Early Release Programs (LCTA, Merit)	<ul style="list-style-type: none"> • Reports
Facility Capacity	<ul style="list-style-type: none"> • Reports
Federal Reporting	<ul style="list-style-type: none"> • Reports
FOIL	<ul style="list-style-type: none"> • Requests and responses
Grants	<ul style="list-style-type: none"> • Applications, required reports, and associated materials
Immigration and Foreign Born incarcerated individuals	<ul style="list-style-type: none"> • Electronic data files, reports, correspondence
Incarcerated Population	<ul style="list-style-type: none"> • Electronic data files, reports
Institutional Program Participation	<ul style="list-style-type: none"> • Electronic data, reports
Letters of Support, MOAs, MOUs	<ul style="list-style-type: none"> • Requests for letters, signed agreements
Mental Health	<ul style="list-style-type: none"> • Electronic data, reports
Mortality	<ul style="list-style-type: none"> • Electronic data files, reports
Outside Research	<ul style="list-style-type: none"> • Applications, signed agreements
Parole Violation Process	<ul style="list-style-type: none"> • Electronic data files, reports
Parolee population	<ul style="list-style-type: none"> • Electronic data files, reports
Population movement	<ul style="list-style-type: none"> • Electronic data files, reports
PREA	<ul style="list-style-type: none"> • Electronic data files, reports
Recidivism	<ul style="list-style-type: none"> • Electronic data files, reports
Reentry	<ul style="list-style-type: none"> • Electronic data files, reports
Restrictive Housing	<ul style="list-style-type: none"> • Electronic data files, reports
Unusual Incidents	<ul style="list-style-type: none"> • Electronic data files, reports

SEXUAL ABUSE PREVENTION& EDUCATION/PRISON RAPE ELIMINATION ACT (PREA) COMPLIANCE

Subject Area	Record Type
LGBTIQ+ staff/incarcerated individuals/releasees	<ul style="list-style-type: none"> • Gender Identity Interview Form • Requests for Gender Affirming Placement
Policies, procedures, and practices for prevention of sexual victimization and compliance with the PREA Standards	<ul style="list-style-type: none"> • Assistant Deputy Superintendent PREA Compliance Manager Handbook • Facility Operation Manual Coordinated Response to Reports of Sexual Victimization • Facility Operation Manual PREA Risk Screening • I/I PREA Orientation Outline • Sexual Victimization Prevention Policy Manual (SVPPM) • Training Materials and Presentations • 000.0 Table of Contents • 001.0 Introduction • 115.6 Definitions Related to Sexual

	<p>Abuse</p> <ul style="list-style-type: none"> • 115.13 Supervision and Monitoring • 115.33 Incarcerated Individual Education • 115.41 Screening for Risk of Sexual Victimization and Abusiveness • 115.42 Use of screening information • 115.53 Incarcerated Individual Access to Outside Confidential Support Services • 115.63 Reporting to Other Confinement Facilities • 115.65 Coordinated Response • 115.67 Agency Protection Against Retaliation • 115.73 Reporting to Incarcerated Individuals • 115.86 Sexual abuse incident reviews • 115.87 Data Collection • 115.88 Data review for corrective action • 115.89 Data storage, publication, and destruction • 115.501 Facility Self-Assessments, Site Reviews, and Site Assessments
<p>Prison Rape Elimination Act (PREA) Audits</p>	<ul style="list-style-type: none"> • PREA Audit Reports (posted on the DOCCS website) • Auditor Engagement Forms
<p>Prison Rape Elimination Act (PREA) Implementation</p>	<ul style="list-style-type: none"> • Annual Report on Sexual Victimization • Annual Supervision and Monitoring Plan Review • Facility Self-Assessment Report Out Tool • Monthly Report of Sexual Victimization Summary • OVS Quarterly Performance Measurement Tool (PMT) • PREA Compliance Certifications/Assurances • PREA Hotline (777) Quality Assurance Protocol • PREA Partners Quarterly Meeting Minutes • PREA Rape Crisis Hotline Call

	<p>Data</p> <ul style="list-style-type: none"> • PREA Risk Screening Forms • Report of Sexual Abuse 115.63 Notifications • Retaliation Monitoring Form – Incarcerated Individual • Retaliation Monitoring Form – Staff • Retaliation Monitoring Tracking Sheet • SAPEO and Mentor Monthly Conference Call Meeting Minutes • SAPEO Monthly Facility/Executive Report (Reported Allegations of Sexual Victimization; Facility by Category) • SAPEO Site Review Report Out Tool • Sexual Abuse Incident Reviews • Survey of Sexual Victimization (See, Division of Program Planning, Research & Evaluation) • Unauthorized Relationship Incident Reviews
Sexual Harassment Complaints	<ul style="list-style-type: none"> • Investigative reports • Notification of Investigative Determination 7.13.2023

STANDARDS

Subject Area	Record Type
Accreditation	
Employee Suggestion	
Internal Controls	
Lean	
OSHA	
Policies and Procedures	

VICTIM ASSISTANCE

Subject Area	Record Type
Automated reports that result in registrant notifications	<ul style="list-style-type: none"> • Parole Results RCLGES 1A-G • Send/Suggest RCLCMA • Anticipated Release RCL231 • PH Date/Release Changes RCL215V • Releases RCL228A-J • Interstate Transfers/Good time

	<p>Changes RCL262</p> <p>(stored for 1 calendar year)</p>
DVD's and CD's	<ul style="list-style-type: none"> • Confidential victim impact statements for Board of Parole Distribution <p>(held until I/I release)</p>
Equifax/Arpriss Victim Information Notification Everyday	<ul style="list-style-type: none"> • Contract and related materials • VINE Script
Individual case files	<ul style="list-style-type: none"> • Filed under Incarcerated Individual Case Confidential victim impact • Confidential victim Impact statements/submitted materials <ul style="list-style-type: none"> • Scheduled victim impact meeting paperwork <p>(held until I/I release)</p>
NYS Office of Victim Services VOCA Grant	<ul style="list-style-type: none"> • MOU • Audits