

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

**Note: Department and Facility Management, Office of Special Investigations, and Legal Services Staff
will have access to all private and confidential data as required by their job duties**

Facilities Division

Division/Facility: Facilities Div.
Office/Unit: All Adult Facilities

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Base File	Intake Forms; Case Mgmt Reports; Initial & Annual PRT; Incident Reports; HRU Paperwork	Public; Private; Confidential	MS 13.85, subd. 2; 3	Records Staff; Facility Administration Behavioral Health Staff; Case Management Staff; HRU
	Discipline Reports	Public – after hrg;		
	Admission Information/Court Orders	Public if in open court records	MS 13.85, subd. 4	
Offender Confidential File	Confidential Incident Rpts.; Security Threat Group Status	Confidential	MS 13.85, sud. 3	Records, OSI. Case Mgmt, Behavioral Health Staff; Facility Administration Facility staff; supervising agency staff Victims Services
	PSI Report	Confidential after sentencing	MS 609.115	
	Victim Notification Information	Confidential	MS 13.85, sud. 3	
Offender E-file	Case Management Reports Other agency information Admission Information; Court Orders HRU Paperwork	Same as paper	MS 13.85, subd. 2	Records, Case Mgmt, Behavioral Health Staff; Facility Administration MNIT staff as needed

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Citation	Employees w/ Access
Office of Special Investigations (OSI) Data	Investigative files; Surveillance/operational video; phone monitoring; active investigative files	Confidential	MS 13.85, subd. 3	OSI staff; facility administration; security staff as needed
Offender Special Education File	Prior and current IEP Evaluation; testing	Private	MS 13.32	Education staff and teachers Behavioral Health Staff
Offender Medical	H & P; Doctors notes and current orders; nursing notes; treatment notes Lab and x-ray; outside information; referrals and consults	Private	MS 13.85, subd 2; HIPAA	Health Services Staff; Contracted Medical Staff; C.O. Health Services Staff Facility Administration; Behavioral Health Staff; security staff as needed
Offender eMAR	Electronic medication administration record	Private	MS 13.85, subd 2; HIPAA	Health Services Staff; Contracted Medical Staff; C.O. Health Services Staff Facility Administration; Behavioral Health Staff; security staff as needed
ADA Access Plans	ADA Access Plans	Private	MS 13.85, subd. 2	Offender, ADA coordinator, health services, case managers, agents, special release planners, HRU
Offender Behavioral Health; CD, SO Treatment Files	Assessments and screenings, diagnosis, treatment recommendations, doctor and therapist notes, outside records/reports	Private	MS 13.85, subd. 2	Offender, DOC behavioral health assessors, health services and behavioral health staff, case managers, supervising agents, special release planners, HRU
Risk Assessment/Community Notification Data	ECRC documents and reports, Civil commitment referral reports; lifer meeting reports	Private and Confidential	MS 13.85, subd. 2, 3; 244.05; 244.052; Chap. 253D	County attorney, Victim services representatives, behavioral health staff, local law enforcement, case manager, agent, supervisors, administrators

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Category of Record	Description	Classification	Citation	Employees w/ Access
Offender immunization data and TB information	To ensure ongoing services on behalf of the resident offender	Private	MS 13.85, subd 2; HIPAA	Schools, community action agencies (like public health agencies) & HMO organizations.
Offender Assignments – MINNCOR; Offender accounts	Work Files; Evaluations;	Public; Private	MS 13.85, subd. 2	MINNCOR Staff; Administration Staff Work Assignment Staff; Case Management; Public as to court recorded restitution

Division/Facility: Facilities
Office/Unit: MCF - RW

Category of Record	Description	Classification	Citation	Employees w/ Access
Note: All private data on juveniles available to Parents/Guardians unless disclosure determined not to be in juvenile’s interest under Minn. Rule 1205.0500.				
Resident/Offender	Intake Forms	Private	MS 13.82, subd. 2; 13.875, subd, 3	Records Staff
Base File	Case Management Reports, incident reports, Other agency information, Admission information, Court Orders, HRU Paperwork	Private	MS 13.82, subd. 2; 13.875, subd, 3	Facility Administration, Psychology Staff, Case Management Staff
Resident/Offender Confidential File	Confidential Incident reports, Victim Notification Data	Confidential	MS 13.85, subd. 3;	Records Staff, Facility Administration

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Resident E-file	Case Mgmt. Reports, Other Agency Reports, Admission Reports, Court Orders, HRU reports	Private	MS 13.82, subd. 2; 13.875, subd, 3	Records staff; administration; psychology staff; case managers and staff
Educational File	Transcripts, Behavioral Records, Attendance Records, Report Cards	Private	MS §13.32	Education Staff; records staff
Resident Special Education Files	Prior and current IEP Evaluation, Evaluation testing	Private	MS §13.32	Education Staff; records staff; psychology
Resident/Offender Medical Record	H&P; Doctors notes and current orders, Nursing notes, Treatment notes, Referrals and consults	Private	MS 13.85, subd. 2; HIPAA	Health Services Staff, Contracted Medical Staff, Central Office Health Services Staff, Facility Administration as needed
Resident/Offender eMAR	Electronic medication administration record	Private	MS 13.85, subd. 2; HIPAA	Health Services Staff, Contracted Medical Staff, Central Office Health Services Staff, Facility Administration as needed
Resident immunization data and TB information		Private	MS 13.85, subd. 2; HIPAA	Schools, community action agencies, public health agencies, providers as permitted by law

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Division/Facility: Education
Office/Unit:

Category of Record	Description	Classification	Citation	Employees w/ Access
Student Cumulative File	Diplomas, Final Transcript, Record of Access, Earned Credentials and Certificates, Report Cards	Private	MS 13.32	Education Staff
Special Education Records	Due Process File	Private	MS 13.32	Special Education Case Manager Director of Special Education
COMS – Education Tab	Student Payroll, ABE Status, Education Summary, Education Reports	Private	MS 13.32	DOC Staff as needed
Supervisory File	Current position description and expectation of duties, reference data and performance related information for updating and composing performance appraisals, supervisory notes	Private	MS 13.43	Education Administrators
Teacher Working File	Student Work Samples, Progress Reports, Accommodations, Behavior Reports, Test Results	Private	MS 13.32	Licensed Teachers; Behavioral Health staff

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Category of Record	Description	Classification	Citation	Employees w/ Access
Staff Licenses and Certifications	Licensed Staff CEUs, License Renewal Applications, Notice of Voluntary Surrender of Teaching License, Highly Qualified Applications, Current License Waivers	Private	MS 13.41; 13.43	Education Administrators
Student Attendance and Membership Data	MARSS Data File COMS Data File TIES Data File	Private	MS 13.32	Education Staff; security staff as needed
Education History Surveys	Student Self-Reported Educational History	Private	MS 13.32	Education Staff
Class Rosters	COMS, TIES, and Data Base Records	Private	MS 13.32	Educational staff; DOC Security and Mgr Staff

Division/Facility: Facilities
Office/Unit: Health Services

Category of Record	Description	Classification	Citation	Employees w/ Access
Individual offender medical records	Includes medical, mental health and treatment files containing entries by clinical practitioners	Private	MS 13.85, subd 2; HIPAA	All licensed employees and contractors providing clinical services to the offender, DOC managers with a business reason for accessing the information
Offender correspondence files	Letters and responses related to medical issues	Private	Minn. Stat 13.85, subd 2; HIPAA	Central Office Health Services management and support staff and other employees who are necessary to the response process

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Category of Record	Description	Classification	Citation	Employees w/ Access
Hepatitis C Records		Private	MS 13.85, subd 2; HIPAA	DOC medical director and clinicians and DOC managers who support the hepatitis C treatment process
HIV case records in paper and electronic form		Private	MS 13.85, subd 2; HIPAA	DOC medical director and clinicians and DOC managers who support the HIV treatment process
Mortality review reports		confidential	MS 241.021, subd. 4a	DOC medical director, participating clinicians and DOC Health Services director
Litigation documents		Private	MS 13.393	Medical director
HOF tracking log historical e-mails documenting medical approvals for payment	Requests from HOF jail administrators and clinicians requesting DOC approval for payment of excessive medical costs	Private	MS 13.85, subd 2; HIPAA	DOC clinicians, managers, case managers and support staff who support this process

Division/Facility: Facility Div.
Office/Unit: Office of Special Investigations

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender phone calls	Recorded calls between offenders and the public	Confidential	MS 13.85, subd. 3	OSI
Offender screened mail - hard copy or O mail	Offender mail between offenders and the public that OSI has reasonable suspicion to screen	Private; confidential during pendency of investigation	MS 13.85, subds 2; 3	OSI/Mailroom staff

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Category of Record	Description	Classification	Citation	Employees w/ Access
Facility video	All of the video taken at the facilities	Confidential	MS 13.85, subd. 3	OSI/ Due process
Facility radio transmissions	All of the radio transmissions at the facilities and on transportation	Confidential	MS 13.85, subd. 3	OSI/ Watch Commanders
LEA case investigation notes	Cooperative investigation with outside LE	Confidential	MS 13.82 subd 7; 13.03, subd. 4	OSI
Employee IA investigation reports	Investigations of major staff misconduct	Confidential during investigation; private thereafter unless basis for discipline	MS 13.43, subs 2; 4	OSI/HR
Informant files	Files of contacts with offenders and confidential information they have shared	Confidential	MS 13.85, subd 3; 13.86 299C.065	OSI
STG documentation to include COMS STG data	Documentation of gang involvement STG identifiers and files	Confidential	MS 13.85, subd 3; 299C.091 if sent to gang data base	OSI
Inmate criminal investigations	Criminal investigations generated by inmates	Confidential/private/public Depending on status of case	MS 13.82 subd 7	OSI
Email and Voice Mail		Private or public, based on content	MS 13.43, subd. 2; 4	OSI staff
OSI COOP Plan	Documents with the unit outlined COOP recovery plan	Confidential	MS 13.37	OSI management
State MEOP	Disc for State Emergency Operations Plan	Confidential	MS 13.37	OSI Director and Assistant Director-Facilities

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Division/Facility: Facilities Div.
Office/Unit: MINNCOR Industries/Bridge & EMPLOY

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Medical Records - Bridge	Work restriction orders, Treatment orders, Outside medical orders	Private	MS13.85, subd.2; HIPAA	CMS staff, Employ staff, Bridge Supervisor
Offender Financial Records - Bridge	Payroll statements, Monthly statements	Private	MS 13.85, subd. 2	CMS staff, Employ staff, Bridge Supervisor
Security Threat Group Information - Bridge	Review offender history through COMS system.	Confidential	MS 13.85, subd. 3	CMS staff, Employ staff, Bridge Supervisor
Agent Chronos - Bridge	Job search & work history data collected, Home addresses, Phone #'s	Private: Medical, Home residence; Confidential: Collateral given on condition it remain confidential	MS 13.84, subd. 3	CMS staff, Employ staff, Bridge Supervisor
Offender Employment and Training - EMPLOY	Job search & work history data collected,	Private: Employment information	MS 13.47, subd. 2	EMPLOY Staff, MINNCOR Administration
Offender Medical Records	Work restriction orders, Treatment orders, Outside medical orders	Private	MS 13.38, subd. 2	EMPLOY Staff, MINNCOR Administration
Security Threat Group Information - EMPLOY	Review offender history through COMS system.	Confidential	MS 13.85, subd. 3	EMPLOY Staff, MINNCOR Administration
Computer Data - EMPLOY	Review offender Initial PRT Report LSI-R or LS/CMI	Private	MS 13.85	EMPLOY Staff, MINNCOR Administration

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Category of Record	Description	Classification	Citation	Employees w/ Access
EMPLOY Chronos	Home addresses, Phone #'s, data collected	Private: Medical, Home residence; Confidential: Collateral given on condition it remain confidential	MS 13.84, subd. 3	EMPLOY Staff, MINNCOR Administration
Education Data - EMPLOY	Name and address school, subject study, attendance records	Private	MS 13.32	EMPLOY Staff, MINNCOR Administration

Division/Facility: Facilities Div.
Office/Unit: Safety, Occupational Health, Environment

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Injury Statistical Report	Record of all Offender Injuries	Private	MS 13.85, subd. 2	Facility and CO Safety staff; facility mgmt; health services, claims staff
Offender Injury Investigative Report	Evaluation of individual incident	Private	MS 13.85, subd. 2	Facility and CO Safety staff; facility mgmt.; health services, claims staff

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HOF Unit**

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Slough Files	Offender reports (ie: Annuals, PRT, Classification, discipline), Court documents, assessment tools, offender correspondence, ADA information, program applications, Direct Orders, POR documents, PREA documents	Private & Confidential		Case managers HOF Unit staff Records staff Facility administrators
Discipline Spreadsheet	Information related to discipline received at a county jail while on HOF status; entered & stored in iShare	Private		Case managers Facility discipline staff HOF Unit staff
Offender Case Notes	Miscellaneous data information collected by staff regarding individual offenders; entered & stored in COMS	Private & Confidential		Specific COMS users with access rights
ICC Offenders Files	File information (including medical & mental health) regarding MN offenders transferred or awaiting transfer to a prison in another state; file information (including medical & mental health) regarding non-MN offenders transferred to or awaiting transfer to a MN prison File information is similar to what is listed above for Slough file data	Private & Confidential	MN § 241.29	ICC Compact Administrator, ICC Compact Coordinator, Office of Special Investigations staff, Facility ICC Review Teams

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Community Services Division

Division/Facility: Community Services
Office/Unit: Field Services

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Treatment Records	Sex offender, chemical dependency, mental; health, domestic violence	Private	MS 13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Assessment Results	LS/CMI, YLS/CMI 2.0, DRA information gathered from the assessment tools	Private	MS 13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Assessment Tools	Actual LS/CMI, YLS/CMI 2.0, DRA tools used	Confidential	MS 13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Case Plans	Offender goal documents to address causes of criminality.	Private	MS 13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Court Progress Reports	Courts reports including adjustment, violation discharge.	Confidential	MS 13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Pre-sentence Investigation Reports	Summary of defendant and case used to recommend court disposition	Private prior to sentence Confidential after sentence	MS 609.15	<u>Prior to sentence:</u> parties at trial, court, agent and supervisor <u>Post-sentence:</u> custodial or supervising staff Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85

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Category of Record	Description	Classification	Citation	Employees w/ Access
Offender address	Data collected on offender address, ISR leased housing	Private	MS 13.84, 13.85	Field Services Staff; Other agencies as allowed under MS 13.84, and §13.85
Offender conditions, adjustment status	Offender conditions, supervising agency, current adjustment	Public	MS 13.84, 13.85	Field Services Staff, persons as allowed under Minn. Stat. §13.84 and §13.85
Offender Medical Records	Medical reports	Private	MS 13.84	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Agent Case Notes./Chronos	Agent offender adjustment notes	Confidential	MS 13.84. 13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Third party Information	Treatment records marked confidential, data obtained for the court.	Confidential	MS 13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Victim Information	Victim name(s) and address	Confidential	MS 13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85

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Division/Facility: Community Services
Office/Unit: Hearing and Release Unit

Category of Record	Description	Classification	Citation	Employees w/ Access
Hearing Packet	Notice of violation; report; related evidence as submitted by agent	Private until violation found, then public	MS 13.87, subd. 7	All HRU staff
Warrant Packet	Warrant authorization; warrant logs; warrant cards	Private if release reasonable results in risk of harm	MS 13.37, subd. 1	All HRU, Warrant staff; supervising agents; law enforcement
HRU Data Base	Hearing disposition notes; statistical data	Private, unless violation found or summary data	MS 13.84	All HRU, Warrant staff; supervising agents; law enforcement
Scheduling Data Base	Location, offender, assigned hearing officer, date and time	Confidential until hrg completed; then private or public.	MS 13.37, subd. 1	All HRU, Warrant staff; supervising agents; jail staff
Employee cell, desk and personal phone lists		Private, except for HRU general number	MS 13.37, subd. 1	All HRU, Warrant staff; supervising agents; law enforcement

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Division/Facility: Community Services
Office/Unit: Inspection and Enforcement

Category of Record	Description	Classification	Citation	Employees w/ Access
S3: Complaints	Complaints from offenders; parents; residents; medical concerns	Private	MS 13.41, subd. 2	All I & E staff
S3: Incidents (death reports)	Reports from facilities; incident types; DOB; name; death data	Confidential if active investigation; private as it relates to affected individual thereafter	MS 13.41, subd. 4; 2	All I & E staff

Division/Facility: Community Services
Office/Unit: Victim Assistance/Restorative Justice (VA/RJ)

Category of Record	Description	Classification	Citation	Employees w/ Access
MN CHOICE Chronos	Information gathered through contact with registrants or other interested parties	Confidential	MS 13.84, subd. 3	VA/RJ Staff
Restorative Justice Chronos	Data through program operation	Confidential	MS 13.84, subd. 3	VA/RJ Staff

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Category of Record	Description	Classification	Citation	Employees w/ Access
CoSA Chronos	Data collected by program staff through program operation	Confidential	MS 13.84, subd. 3	VA/RJ Staff
PREA Documents	Information received from offenders or the court relating to PREA claims	Private	MS 13.85, subd. 2	PREA Advocate, VA/RJ Director
Offender Medical Records	Data gathered during the course investigation of criminal activity, not limited to PREA – HIV exam results	Private	MS 13.85, subd. 2	PREA Advocate, VA/RJ Director
Victim Medical Records	Primary Care Provider for victim collected to disseminate results of HIV exam	Confidential	MS 611A.19	VA/RJ Director
Victim Identification Information	Data collected through court documents, victim contact and MNCHOICE access	Private	MS 13.37, subd. 1 611A.90, 13.42, subd. 2	VA/RJ Staff, Visiting Staff, Case Manager
Offender Treatment Records	Sex offender, chemical dependency, mental; health, domestic violence	Private	MS13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Assessment Results	LS/CMI, YLS/CMI 2.0, DRA information gathered from the assessment tools	Private	Minn. Stat. §13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Assessment Tools	Actual LS/CMI, YLS/CMI 2.0, DRA tools used	Confidential	Minn. Stat. §13.85	Field Services Staff Other agencies as allowed under Minn.

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Category of Record	Description	Classification	Citation	Stat. §13.84, and §13.85 Employees w/ Access
Offender Case Plans	Offender goal documents to address causes of criminality.	Private	Minn. Stat. §13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Court Progress Reports	Courts reports including adjustment, violation discharge.	Confidential	Minn. Stat. §13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Pre-sentence Investigation Reports	Summary of defendant and case used to recommend court disposition	Private prior to sentence Confidential after sentence	Minn. Stat. §609.15	<u>Prior to sentence</u> : parties at trial, court, agent and supervisor <u>Post-sentence</u> : custodial or supervising staff Field Services Staff Other agencies as allowed
Offender address	Data collected on offender address, ISR leased housing	Private	Minn. Stat. §13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender conditions, adjustment status	Offender conditions, supervising agency, current adjustment	Public	Minn. Stat. §13.84, §13.85	Field Services Staff, persons as allowed under Minn. Stat. §13.84 and §13.85
Offender Medical Records	Medical reports	Private	Minn. Stat. 13.84	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Agent Case Notes./Chronos	Agent offender adjustment notes	Confidential	Minn. Stat. §13.84. §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85
Offender Third party	Treatment records marked confidential, data	Confidential	Minn. Stat. 13.85	Field Services Staff Other agencies as allowed under Minn. Stat.

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Information	obtained for the court.			§13.84, and §13.85
Category of Record	Description	Classification	Citation	Employees w/ Access
Victim Information	Victim name(s) and address	Confidential	Minn. Stat. §13.84, §13.85	Field Services Staff Other agencies as allowed under Minn. Stat. §13.84, and §13.85

Division/Facility: Community Services
Office/Unit: Community Reentry Unit

Category of Record	Description	Classification	Citation	Employees w/Access
Second Chance Release Violator Grant 2011-2015 Offender Records	Initial PRT reports, case plans, Release of Information.	Private	MS §13.85, Subd.2	DOC Planning and Performance and contracted researchers. Grants Specialist, Case Manager, Reentry Coordinator, Manager. During Participation: Contracted Community Service Providers
Offender Work Release Files	Program application and screening forms, PRT reports, PSI, Release Plans, 3 rd Party Progress Notes, Completion reports	Private; confidential (PSI)	MS 13.85, Subd.2 MS 609.15	Work Release Contracted Residential Facility staff, Work Release Agent, WR Manager. HRU Officers.

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Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Program Eligibility and Participation lists	Offender COMS Data: OID, Name, Location, MnSTARR Score, LSCMI Score, STG status, Presumptive Release County, Confinement Milestones	Private	MS 13.85, Subd.2	Reentry Unit and Facility staff involved in coordinating programming. Contracted Program staff.

Division/Facility: Community Services
Office/Unit: Risk Assessment/Community Notification

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Assessment Tools	ASSESS Tools: LS/CMI; LSI-R; Accute; Stable; Static; MnSOST (all versions); Other	Private	MS 13.85 Subd. 2	RACN Staff
Offender Assessment Tools	ASSESS Correspondence	Private	MS 13.85 Subd. 2	Assessors; Management/Supervisors
BCA Predatory Offender Registration Documents	BCA Change of Information; POR Forms; CJIS Hit Response; CJIS Criminal History; Correspondence	Private; Confidential	MS 13.85 Subd. 2; 13; 13.87	RACN Staff
BCA Predatory Offender Registration Documents	BCA MN Public Criminal History	Public; Private; Confidential	MS 13.85 Subd. 2; 13.87	RACN Staff

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Category of Record	Description	Classification	Citation	Employees w/ Access
Behavioral Health Records – Chemical Dependency	CD Assessments; CD release plan; correspondence; discharge summary; monthly review	Private	MS 13.85 Subd. 2	RACN Staff
Behavioral Health Records – Mental Health	Assessment/Diagnosis/Plan; Evaluations; MH release plan; treatment discharge plan	Private	MS 13.85 Subd. 2	RACN Staff
Sex Offender Treatment Records	Evaluations; Discharge summary; Program assessment; treatment recommendations; reports Mandatory assessments	Private	MS 13.85 Subd. 2	RACN Staff
Case Management Offender Records	Case Report; summary; domestic violence rpt.; Halfway House req. authorization; case plan; Interstate transfer; Interstate Compact Transfer req.; agent assignment	Public; Private	MS 13.85 Subd. 2	RACN Staff
Court Documents – Civil Commitment		Private	MS 13.85 Subd. 2	RACN Staff; Co. attorney;
Court Documents - Criminal	Presentence Investigation Report	Confidential after sentence	MS 609.15	RACN Staff; supervising agent

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Category of Record	Description	Classification	Citation	Employees w/ Access
ECRC Documents	Administrative Review; Appeal record; case chrono; correspondence; risk assessment report; appeal documents; risk level report	Private	MS 13.85 Subd. 2; 244.052;	RACN Staff; local law enforcement
HRU Documents	Conditions of Release; hearing disposition; revocation hearing documents	Private, until hearing complete, then public if violation found	MS 13.84, subd. 7	RACN staff
Community Notification Documents	Correspondence; fact sheets; Notification forms & photos; correspondence; law enforcement notice	Public (Public fact sheet;); Private	MS 13.85 Subd. 2; 244.052	RACN Staff; local law enforcement
Civil Commitment Documents	ECRC Outcome list; recommendation; interview memo; referral letter; review packet; Screen committee agenda; updates	Private	§ 13.85 Subd. 2	RACN Staff

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Support Services Division

Division/Facility: Support Services
Office/Unit: Financial Services

Category of Record	Description	Classification	Citation	Employees w/ Access
Accounts Receivable	Staff Addresses on Checks	Private	MS 13.43, subd. 4	Finance
Accounts Receivable	juvenile data	Private	MS 13.875	Finance
Accounts Payable	Uniform invoices w/staff addresses	Private	MS 13.43, subd. 4	Finance
Accounts Payable	Medical related info on staff; SS# Tax info	Private	13.386, subd 3; 13.85, subd 2	Finance
Accounts Payable	Lawsuits; settlements; workers comp detail	Private	MS 13.386 subd 3; 13.85, subd 2	Finance
General Info	Coop Plans/Calling Lists	Private	MS 13.43, subd. 4	Finance Leadership
Offender Accounts	Offender SSN; data on funds being received, child support orders, release addresses	Private	MS 13.85, subd.2	Offender Accounts Staff, Finance Supervisors and Managers
Payroll	SSN, Garnishment, Child Support Orders, Investigation, Grievance Docs	Private	13.43, subd. 4	Payroll Staff; Finance Supervisor
Payroll-Expense Reports	Home Addresses	Private	13.43, subd. 4	Payroll Staff; Finance Supervisor
Supervisory Files	Resumes, hiring docs, home addresses, medical info; workers comp	Private	13.355 & 13.43, subd. 4	Supervisors

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Category of Record	Description	Classification	Citation	Employees w/ Access
SEMA4/Human Resources	Birthdates; addresses	Private	13.355 & 13.43, sub 4	Finance Supervisors and staff

Division/Facility: Support Services
Office/Unit: Diversity

Category of Record	Description	Classification	Citation	Employees w/ Access
ADA	medical, ADA request, ADA accommodation, position descriptions	Private	MS 13.43	HR, Diversity staff, supv
Emergency Evacuation	disability of employee and emergency contact	Private	MS 13.43	HR, safety staff, diversity
Religious Accommodation	religious accommodation	Private	MMS13.43	HR, diversity staff, supv
Harassment And Discrimination	complaint file, EEOC, MDHR	Confidential	MS 13.43	HR diversity staff
Disability Data		Private	Minn. Stat § 13.43	Diversity staff
Offender Disability Data	medical eval, accommodation request, legal request	Private	MS 13.43	Diversity staff, ADA coordinators, case workers, Health, Behavioral Health, facility mgmt ,security

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Division/Facility: Support Services
Office/Unit: Human Resources

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Vacancy Filling Files	Recruitment and selection material such as: requisitions, job announcements, ads, job postings and bids, resumes, cover letters, applications, test records, interview records, reference check results, and background studies	Applicant name is private until the applicant is a finalist for the position, then it is public. Testing or examination materials or scoring keys are non-public.	M.S. 13.43, subd.3 M.S 13.34	Human Resources staff at facility Human Resources staff at CO
DOC delegated job audit files	Job audit documentation and class study documentation	Position descriptions, job audit requests, memos or notices relaying the class decision, and other supporting data is public. Private as to incumbent's name	M.S. 13.34 M.S. 13.43. subd. 4	Human Resources staff at facility Human Resources staff at CO

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Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Resumix Database	Applicant and vacancy requisition data such as resumes, job announcements, applicant tracking, applicant test scores, applicant protected group status, and special consideration lists (e.g. worker's compensation and layoff).	Applicant name is private until the applicant is a finalist for the position, then it is public. Affirmative action or equal opportunity data on an individual is private.	M.S. 13.43, subd.3 M.S. 13.43, subd.2 and 3	Human resources staff at CO Supervisor Affirmative Action Manager
DIGITS Database	Log of incidents involving investigations, corrective (including disciplinary) actions, and/or grievances	Pending Investigation – Confidential (Completed investigation – private data Private	M.S. 13.85, subd. 3 M.S. 13.39 subd. 1 M.S. 13.42 subd. 2 M.S. 13.43, subd 2	Human Resources staff at facility Human Resources staff at CO
Investigation Files	Employee misconduct investigations including notes, documentation of events, interviews including audio recordings, summary, and exhibits.	Private; confidential Pending Investigation – Confidential (M.S. 13.39 subd. 1)	MS 13.43	Human Resources staff at facility, Human Resources staff at CO, investigator, supervisor, If grievance has been filed, designated union personnel with signed release.

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Grievance files	Grievances and/or complaints filed under a labor agreement/plan including documentation of grievance/complaint hearing(s), response(s), and resolution.	Private data prior to grievance in final disposition	M.S. 13.67	Human Resources staff at facility, Human Resources staff at CO, If grievance has been filed, designated Union personnel with signed release.
Employee SEMA4 Records	State's Human Resource/Payroll System	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
Employment Eligibility Verification Form (I-9)	The form is used to verify the identity and employment authorization of individuals hired for employment in the United States.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO, and/or authorized employer representative
Personnel File	This file may include: commendations, compensation, discipline, general correspondence including leave requests and appointment letters; performance reviews, position descriptions, and receipt of policy.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO, Employee's supervisor. Designated Union personnel with signed release

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Private/Confidential Employee File	This file may include: initial hire documents, application/resume, background studies/background check results, change of name/address forms, and military leave documents.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
Employee Medical File	Employee Medical Statements, Medical documentation and Information (non-Worker's Compensation related)	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
Employee Long Term Retention File	Employee Pre-Employment Physical Exam result including respirator medical evaluation and Mantoux results.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
Employee Workers' Compensation File	Employee medical statements, medical documentation related to the injury, forms for processing the injury.	Private/Confidential	M.S. 13.43, subd 2, 4 and subd 18. M.S. 13.02 M.S. 176.138.	Human Resources staff at facility, Human Resources staff at CO, Supervisor (collect/provide data), Safety Administrators, and Department of Administration.
Salary Justification	Documents used in determining salary placement.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Unemployment claim documents	Documents used for or associated with the determination of unemployment benefit.	Private	M.S. 13.43. subd. 4 Provided to Department of Employment and Economic Development (M.S. 13.43 subd 13)	Human Resources staff at facility, Human Resources staff at CO, Department of Employment and Economic Development
Employee Exit Surveys	Employee’s response to survey including exit interviews.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
TRF Log	Database that tracks the vacancy filling and/or job audit process and includes information on the supervisor’s request, position, classification, internal bidding and external announcement, selection processes including approval processes (e.g. missed opportunity, background checks, compensation approval, pre-employment physical), and the finalist selected.	Employee names who have submitted an eligible bid are private until the employee is a finalist for the position, then it is public.	M.S. 13.43, subd.3	Human Resources staff at facility Human Resources staff at CO Supervisor TRF Approvers (supervisor’s chain of command) Financial Services staff Executive Management
Transactions Log	Database of information to be entered into the State’s Human Resources/Payroll	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO
iRISK	Workers’ Compensation Data	Private/Confidential	(M.S. 13.43, subd 2, 4 and subd 18) M.S. 13.02 M.S. 176.138.	Human Resources staff at facility, Human Resources staff at CO.

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Governing Statute	Employees with Need for Access
Occupational Health Tracking Log	Database used to track employees who go to contracted occupational health clinic for services.	Private	M.S. 13.43. subd. 4	Human Resources staff at facility, Human Resources staff at CO.
Human Resource COOP Plan	To provide procedures for the recovery of time-sensitive business operations in the event of disruption to services.	Private/Nonpublic	M.S. 13.37, 13.356, and 13.43	Human Resources COOP Plan Leader and Alternate.
Commercial driver's license	New hire and random drug and alcohol testing documentation.	Private	M.S. 13.43. subd. 4	Human Resources staff at CO
Supervisory files	This file may contain performance reviews, corrective (including disciplinary) actions, position descriptions, work plans, leave requests, and FMLA notifications.	Private	M.S. 13.43, subd.3	Human Resource, supervisors and managers

**Division/Facility: Operations Support/Central Office
Office/Unit: Business Continuity and Internal Controls**

Category of Record	Description	Classification	Citation	Employees w/ Access
Personnel Information	Homes Addresses, Phone Numbers, and Emergency Contact	Private	M.S. §13.356 and 13.43, Subd 4 and 17	Assigned Living Disaster Recovery Planning System (LDRPS) users Assigned Team Leaders and Alternates

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Citation	Employees w/ Access
Offender Financial Records	Offender Account Balances in Itag, Offender Financial Transaction Details, Offender Payroll Information	Private	M.S. §13.85, Subd 2	Internal Auditor and Internal Controls Mgr; Chief Financial Officer
Personnel Information	Home Addresses	Private	M.S. § 13.43	Internal Auditor and Internal Controls Mgr; Chief Financial Officer
Personnel Information	Home Address, Phone Number, Performance Reviews, Medical Info	Private	M.S. §13.43	Internal Controls Mgr., Asst Commissioner of Operations Support.

Division/Facility: Support Services
Office/Unit: Offender Records & Sentence Administration

Category of Record	Description	Classification	Citation	Employees w/ Access
Court Documentation	Commit documents Warrant of Commit, Complaint, Correspondence, Other Court Orders Includes Pre-Sentence Investigation Report	Public (Commit Documents) PSI, private prior to sentence & confidential after sentencing	MS 13.85, subd. 4 MS 609.15	Commit Documents – Facility staff, DOC employees for work purposes PSI – Prior to Sentence, parties at trial, court, agent & supervisor PSI – Post Sentence, Facility staff, DOC employees for work purposes

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Citation	Employees w/Access
Detainer Documentation	BCA Hit Responses, BCA Correspondence, Uniform Mandatory Disposition of Detainers Act (UMDDA), Interstate Agreement of Detainers Act (IADA), Detainer Forms, Other Correspondence, Transport Orders	Confidential – Transport Orders until the transport has occurred	MS 13.85, subd. 3	BCA certified employees, Facility staff, DOC employees for work purposes
Audit Forms	Release Audit Form	Confidential	MS 13.85, subd. 3	Facility staff, DOC employees as required
Offender Delegations	Death Bed Visit, Furlough, Medical, WRIT Documentation	Confidential	MS 13.85, subd. 3	Facility staff, DOC employees for work purposes
Release & Violation Documentation	Conditions of Release Agreement, Discharge Letter, Violation Reports, DOC Issued Warrants, Hearing Documentation including restructures, violations, stop time, Death Documentation	Public after violation determined Confidential; private	MS 13.84, subd. 6 MS 13.85, subd. 3; 13.10	Facility staff, DOC employees for work purposes
Sentencing Documentation	Offender Sentence Memo, Jail Credit Worksheet, Sentencing Correspondence	Public/Private	MS 13.85, subd. 2	Facility staff, DOC employees for work purposes

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Category of Record	Description	Classification	Citation	Employees w/Access
Request for Data/Data Disclosure	Predatory Offender Records Request, Data Privacy Monitoring Notice, Release of Information, Release of Information-Media, Offender base file Access Request, Offender Body/File Receipt	Private; private	MS 13.85, subd. 2	Facility staff, DOC employees for work purposes

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Commissioner’s Office

Division/Facility: Commissioner
Office/Unit: Policy and Legal Services

Category of Record	Description	Classification	Citation	Employees w/ Access
Litigation Files	Discovery; Ct. filings; (electronic and paper)	Public; private; confidential	MS 13.86; 13.39; 13.393; 13.84; 13.95	All PLS staff
Board of Pardons	Court Documents; investigative documents; NCIC data; victim data	Public, if made part of record unless classified private by another law	MS 638.07	All BOP; PLS staff
Claims	Offender/citizen/staff claims and documentation	Public; private	MS 3.738; 3.739; 3.736; 3.739	Claims staff; facility staff investigating claim
Grievance appeals	Offender grievance documents and response	Public; private	MS 13.85, subd. 2	Grievance appeal coordinator; Commissioner’s staff
Contracts	Electronic tracking database	Public; private	MS 13.05, subds. 6;11; 13.591; 16C.02	PL Staff; agency staff involved in contract; Dept. of Admin. staff as required
Personnel Data	Document for performance review; supervision; discipline	Public; Private	MS 13.43, subds. 2; 4	Director; Supervisors; HR staff as required
Offender Correspondence	Letters from offenders and response	Public; private; confidential	MS 13.85, subds, 2; 3; 5	PLS staff; facility staff as required; law enforcement if public benefit
Attorney Data	Data related to attorney work product; protected by attorney-client privilege;	Private; confidential	MS 13.39, subd 1; 13.393	Attorneys; PLS staff

**Minnesota Department of Corrections
Data Classification Inventory – Private/Confidential Data on Individuals**

Division/Facility: Central Office
Office/Unit: Planning & Performance

Category of Record	Description	Classification	Citation	Employees w/ Access
Statewide Supervision System (S3)	Probation, conditional release and supervised release data	Private	MS 241.065	Probation agents Case Managers/Work Release agents OSI Security Staff as needed
Offender LS/CMI Risk Assessments	The Level of Service/Case Management Inventory (LS/CMI) and Risk/Needs Assessment Report	Confidential	MS 13.84, Subd. 4 13.85, Subd. 3	Case Managers; Probation agents; Researchers
Offender YLS/CMI Risk Assessments	The Youth Level of Service/Case Management Inventory (YLS/CMI) and Risk/Needs Assessment Report	Confidential	MS 13.84, Subd. 4 13.85, Subd. 3	Case Managers; Probation agents; Researchers
Offender MnSTARR Assessments	MnSTARR recidivism assessment and report	Confidential	MS 13.84, Subd. 4 13.85, Subd. 3	Case Managers; Probation agents; Researchers
Assessment Agent QA Results	Agents and Case Managers risk assessment scoring	Private	MS 13.43, Subd. 4	EBP Coordinator Staff assessed Staff's supervisor Researchers
Motivational Interviewing (MI) Agent Scoring Results	Taped Agent/ Case Managers interviews with offenders and used to train staff on MI Skills.	Private	MS 13.43, Subd. 4; 13.85, subd. 2	EBP Coordinator; Staff assessor; Staff's supervisor; Researchers