

**201—5.14(17A,22) Personally identifiable information.**

**5.14(1)** This rule describes the nature and extent of personally identifiable information which is collected, maintained, and retrieved by the agency by personal identifier in record systems as defined in this rule. For each record system, this rule describes the legal authority for the collection of that information, the means of storage of that information and indicates whether a data processing system matches, collates, or permits the comparison of personally identifiable information in one record system with personally identifiable information in another record system.

**5.14(2)** The type of record. Disclosures are in accordance with the following code:

CODE	MEANING
O	The records are open for public inspection.
C	The records are confidential and are not open to public inspection.
D	The department has discretion whether to allow public inspection of the record when the record contains information that is partially open or partially confidential.

**5.14(3)** The records systems maintained by the department are:

*a. Director's office*

Description of Record	Type of Record	Legal Authority	Storage	Comparison
1. Bd. Mtg. Minutes	O, D	22, 904	Hard Copy Automated	Full
2. Incarcerated Individual Corres.	O, C, D	904	Hard Copy	N/A
3. Business Corres.	O, C	22, 904	Hard Copy Automated	Partial
4. General Corres.	O	904	Hard Copy Automated	Partial
5. Investigations	C	904	Hard Copy	N/A
6. Incident Reports	C	904	Hard Copy	N/A
7. Press Releases	O	904	Hard Copy Automated	N/A

*b. Institutions*

Description of Record	Type of Record	Legal Authority	Storage	Comparison
1. Incarcerated Individual Records				
a. Demographic Data/Action Section	O, C, D	904	Hard Copy Automated	Full
b. Admission Documents	C, D	904	Hard Copy Automated	N/A
c. Classification and Release Documents	O, C, D	904	Hard Copy Automated	Full
d. Time Computation	O, C, D	904	Hard Copy Automated	Full
e. Clinical and Medical	O, C, D	904	Hard Copy Automated	Full
f. Correspondence and Visiting	O, C	904	Hard Copy Automated	Full
g. Legal Documents	O, C	904	Hard Copy Automated	Full
2. Incarcerated Individual Accounts	O, C, D	904	Hard Copy Automated	Full
3. Security Records				
a. Disciplinary Records	O, C	904	Hard Copy Automated	Full
b. Segregation Logs	C	904	Hard Copy	N/A
c. Housing Unit Logs	C	904	Hard Copy	N/A
d. Incident Reports	C	904	Hard Copy	N/A

Description of Record	Type of Record	Legal Authority	Storage	Comparison
4. Contracts and Agreements	O	904	Automated Hard Copy	N/A
5. Volunteers	D	904	Hard Copy	N/A
6. Staff Training	O, C	904	Hard Copy Automated	Full
7. Incarcerated Individual Movement	O	904	Hard Copy Automated	N/A
8. Meeting Minutes	D	22, 904	Hard Copy Automated	Full
9. Lawsuits and Attorney Corres.	C	22, 904	Hard Copy	N/A
10. Library Records	D	904	Hard Copy	N/A
11. Education and Vocation Records	C	904	Hard Copy Automated	Full
12. Press Releases	O	904	Hard Copy Automated	N/A
13. Incarcerated Individual Grievances	C	904	Hard Copy Automated	Full
14. Miscellaneous	O	904	Hard Copy Automated	Full

c. *Community-Based Corrections - Interstate Compact*

Description of Record	Type	Legal Authority	Storage	Comparison
Interstate Compact			Hard Auto- mated	
I. Parole/Probation Supervision		904.602		
A. Investigation Requests	O, C, D	904.602	Hard Auto- mated	Full
B. Acceptance	C, D	904.602	Hard Auto- mated	Full
C. Rejection	C, D	904.602	Hard Auto- mated	Full
D. Progress	C, D	904.602	Hard	N/A
E. Violations	C, D	904.602	Hard Auto- mated	Full
F. Discharge Request	C, D	904.602	Hard	N/A
G. Other Closures	C, D	904.602	Hard Auto- mated	Full
Presentence Investigation Request				
H. Presentence Investigation	C	904.602	Hard	N/A
Absconder Tracking				
I. Parole Violators	O, C, D	904.602	Hard Auto- mated	Full
J. Miscellaneous Reports and Correspondence	O, C, D	904.602	Hard	N/A
II. Parole/Probation/Pretrial/ Presentence/Residential				
A. Classification	O, C, D	904.602	Hard Auto- mated	Full
B. Status Reports	O, C, D	904.602	Hard Auto- mated	Full
C. Charge/Disposition	O, C, D	904.602	Hard Auto- mated	Full
III. Work Release				

Description of Record	Type	Legal Authority	Storage	Comparison
A. Progress Reports	C, D	904.602	Hard Automated	Full
B. Violation Reports	C, D	904.602	Hard Automated	Full
C. Discharge Reports	C, D	904.602	Hard Automated	Full
D. Disciplinary Records	O, C	904.602	Hard Automated	Full
E. Time Computation	O, C, D	904.602	Hard Automated	Full
F. Legal Documents	O, C	904.602	Hard Automated	Full
G. Incident Reports	C	904.602	Hard Automated	Full
H. Demographic Data/Action Section	O, C, D	904.602	Hard Automated	Full
I. Admission Documents	C, D	904.602	Hard Automated	N/A
J. Classification and Release Documents	O, C, D	904.602	Hard	Full
K. Clinical and Medical	O, C, D	904.602	Hard	N/A
L. Correspondence and Visiting	O, C	904.602	Hard	Full
IV. Client Complaints	C	904.602	Hard	N/A
V. Jail Inspections	O, C, D	904.602	Hard Automated	Full

d. *Iowa state industries*

Description of Record	Type of Record	Legal Authority	Storage	Comparison
1. Customer Lists	C	22, 904	Hard Copy Automated	Full
2. Formulas, Mixture and Special Designs	C	22, 904	Hard Copy	N/A
3. Unaudited Monthly Balance Sheets and Income Statements	C	22, 904	Hard Copy Automated	Full
4. Cost Calculations for Sealed Bids	C	22, 904	Hard Copy	Full
5. Yearly Audits	O	22, 904	Hard Copy	Full

**5.14(4) *Litigation files.*** These files or records contain information regarding litigation or anticipated litigation, which includes judicial and administrative proceedings. The records include briefs, depositions, docket sheets, documents, correspondence, attorneys' notes, memoranda, research materials, witness information, investigation materials, information compiled under the direction of the attorney, and case management records. The files contain materials which are confidential as attorney work product and attorney-client communications. Some materials are confidential under other applicable provisions of law or because of a court order. Persons wishing copies of pleadings and other documents filed in litigation should obtain these from the clerk of the appropriate court which maintains the official copy.

**5.14(5) *Personnel files.*** The agency maintains files containing information about employees, families and dependents, and applicants for positions with the agency. The files include payroll records, biographical information, medical information relating to disability, performance reviews and evaluations, disciplinary information, information required for tax withholding, information concerning employee benefits, affirmative action reports, and other information concerning the employer-employee relationship. Some of this information is confidential under Iowa Code section 22.7(11).

[ARC 3929C, IAB 8/1/18, effective 9/5/18; see Delay note at end of chapter]