



POLICY STATEMENT
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject: Policy Management System		Policy Number: 1.1.1
Date of Issue: September 30, 2008	Authority: Signature on File Jeffrey A. Beard, Ph.D.	Effective Date: October 7, 2008

I. AUTHORITY

The Authority of the Secretary of Corrections to direct the operation of the Department of Corrections is established by Sections 201, 206, 506, and 901-B of the Administrative Code of 1929, 71 P.S. §§61, 66, 186, and 310-1, Act of April 9, 1929, P.L. 177, No. 175, as amended.

II. APPLICABILITY

This policy is applicable to all facilities operated under the jurisdiction of, or conducting business with the Department of Corrections.

III. POLICY

It is the policy of the Department to ensure the following:

- A. *The mission statement that establishes the philosophy of the Department and guides the planning of goals and objectives is developed and maintained;*¹**
- B. All staff is provided with guidance in the operation of Central Office and all facilities *under the jurisdiction of the Department*, through a well organized body of policy and procedures;²**
- C. Policy and procedure is developed and properly disseminated through a systematic and uniform process.³**

¹ 2-CO-1A-04

² 2-CO-1A-05

³ 2-CO-1A-05

D. Policy and procedures manuals, unless deemed confidential, which specify the Department's goals and procedures for achieving those goals, are made available to staff and the general public and policy relating to inmate management is available to inmates;⁴

E. All policy and procedure manuals are reviewed annually by appropriate staff and updated as needed.⁵

IV. PROCEDURES

All applicable procedures are contained in the procedures manual that accompanies this policy document.

V. SUSPENSION DURING AN EMERGENCY

In an emergency or extended disruption of normal facility operation, the Secretary/designee may suspend any provision or section of this policy for a specific period.

VI. RIGHTS UNDER THIS POLICY

This policy does not create rights in any person nor should it be interpreted or applied in such a manner as to abridge the rights of any individual. This policy should be interpreted to have sufficient flexibility to be consistent with law and to permit the accomplishment of the purpose(s) of the policies of the Department of Corrections.

VII. RELEASE OF INFORMATION AND DISSEMINATION OF POLICY

A. Release of Information

1. Policy

This policy document is public information and may be released upon request.

2. Confidential Procedures (if applicable)

Confidential procedures for this document, if any, are not public information and may not be released in its entirety or in part, without the approval of the Secretary of Corrections/designee. Confidential procedures may be released to any Department of Corrections employee on an as needed basis.

B. Distribution of Policy

1. General Distribution

⁴ 2-CO-1A-16, 2-CO-1A-17, 1-CTA-1A-11, 4-4012, 4-4013

⁵ 2-CO-1A-05; 2-CO-1A-17, 1-CTA-1A-11, 4-4012, 4-4013

The Department of Corrections' policy and procedures shall be distributed to the members of the Central Office Executive Staff, all Facility Managers, and Community Corrections Regional Directors on a routine basis. Distribution of confidential procedures to other individuals and/or agencies is subject to the approval of the Secretary of Corrections/designee.

2. Distribution to Staff

It is the responsibility of those individuals receiving policies and procedures, as indicated in the "General Distribution" section above, to ensure that each employee expected or required to perform the necessary procedures/duties is issued a copy of the policy and procedures either in hard copy or via email, whichever is most appropriate.

VIII. SUPERSEDED POLICY AND CROSS REFERENCE

A. Superseded Policy

1. Department Policy

- a. 1.1.1, Policy Management System, issued August 13, 2004, by Secretary Jeffrey A. Beard, Ph.D.
- b. 1.1.8, Inmate Handbook and Inmate Notification of Rule Changes, issued May 17, 2002, by Secretary Jeffrey A. Beard, Ph.D.
- c. 6.3.1, Security Manual; Section 16, Facility Narrative Summary, issued April 13, 2006, by Secretary Jeffrey A. Beard, Ph.D.

2. Facility Policy and Procedures

This document supersedes all facility policy and procedures on this subject.

B. Cross Reference(s)

1. Administrative Manuals

2. ACA Standards

- a. Administration of Correctional Agencies: 2-CO-1A-04; 2-CO-1A-05; 2-CO-1A-06; 2-CO-1A-07; 2-CO-1A-08; 2-CO-1A-09; 2-CO-1A-14; 2-CO-1A-15; 2-CO-1A-16; 2-CO-1A-17; 2-CO-1A-18; 2-CO-1A-24; 2-CO-1A-28; 2-CO-1C-01; 2-CO-3A-01
- b. Adult Correctional Institutions: 4-4002, 4-4003, 4-4004, 4-4005, 4-4006, 4-4011, 4-4012, 4-4013, 4-4014, 4-4023, 4-4028, 4-4049, 4-4174, 4-4226, 4-4227, 4-4228, 4-4281-1, 4-4290, 4-4292, 4-4424
- c. Adult Community Residential Services: 4-ACRS-7B-09

- d. Correctional Training Academies: 1-CTA-1A-01, 1-CTA-1A-02, 1-CTA-1A-03, 1-CTA-1A-11, 1-CTA-1A-12, 1-CTA-1A-16



PROCEDURES MANUAL
Commonwealth of Pennsylvania • Department of Corrections

Policy Subject:

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Date of Issue:

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Authority:

**Signature on File
Jeffrey A. Beard, Ph.D.**

Effective Date:

October 7, 2008

Release of Information:

Policy Document: This policy document is public information and may be released upon request.

Procedures Manual: The procedures manual for this policy may be released in its entirety or in part, with the prior approval of the Secretary/designee. Unless prior approval of the Secretary/designee has been obtained, this manual or parts thereof may be released to any Department employee on an as needed basis only.

1.1.1, Policy Management System Procedures Manual
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Section 1 – Mission and Planning of Goals

A. Mission Statement

1. ***“Our mission is to protect the public by confining persons committed to our custody in safe, secure facilities, and to provide opportunities for inmates to acquire the skills and values necessary to become productive law-abiding citizens, while respecting the rights of crime victims.”***
2. ***As part of the annual policy review process, the Secretary’s Office will review the Department’s mission statement and update as needed.***¹
3. ***Each facility shall develop a Facility Narrative Summary that delineates the facility’s mission within the context of the total correctional system in the format outline in Subsection C. below.***²

B. Goals and Objectives

1. Planning

To provide the necessary administrative and functional direction to all personnel in the Department, clearly defined short and long-range goals and established policies, procedures, and priorities relating to them must be developed. Planning for personnel needs, programs, and budget purposes requires the identification of action-oriented measurable goals and objectives to be accomplished within specified defined time frames. All established goals and objectives are to be supportive of the overall mission of the Department.³

- a. The Secretary/designee is responsible for the execution of the overall planning function and for monitoring and reviewing the Department’s ***priorities*** to ensure they are ***consistent*** with the Department’s mission and goals.⁴
- b. Each Facility Manager/designee and Bureau Director shall establish action-oriented measurable short and long range goals and objectives compatible with the overall mission and goals of the Department on an annual basis. Short range goals should be accomplished within a time frame of six months or less. Long range goals should be accomplished within one year but may be extended for a longer period as needed.⁵
- c. Specific goals shall be categorized under the ***guiding*** goals of the Department. Each goal shall include a realistic target date for completion. Goals shall include the following:

- (1) ***operate*** safe and secure ***facilities***;

¹ 2-CO-1A-04

² 4-4002, 1-CTA-1A-01

³ 2-CO-1A-09

⁴ 2-CO-1A-08

⁵ 2-CO-1A-06, 1-CTA-1A-02, 4-4003

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- (2) **provide quality** medical and psychiatric care;
- (3) **provide inmate** employment and vocational training opportunities **to learn responsibility, good work habits, and skills;**
- (4) **provide a broad spectrum of faith-based** religious services and recreational programs;
- (5) **prepare inmates for community reintegration through proper assessment, treatment, and re-entry services;**
- (6) **operate a** productive and viable Correctional Industries program;
- (7) **recruit, train, develop, and retain** qualified staff;
- (8) operate in a fiscally sound manner;
- (9) **collaborate with and provide** assistance to local correctional and other governmental agencies;
- (10) **provide timely and accurate** research **data to ensure effective** planning capabilities;
- (11) **foster good community relations through** community **outreach and** involvement; and
- (12) **maintain notification and outreach services to crime victims while remaining sensitive to their needs.**

2. Formulation and Review

- a. Each Facility Manager/designee shall formulate action oriented measurable goals and objectives that are attainable and can be accomplished within specified time frames for his/her facility in the format as outlined in **Appendix F of the Facility Narrative Summary Template (Attachment 1-A)**.⁶ The **Regional Deputy** shall review the submitted goals and priorities to ensure they are consistent with the Department's mission and goals.
- b. Central Office Bureau Directors shall submit goals specific to their areas of responsibility under the same guidelines as a Facility Manager.⁷
- c. **The Office of the Secretary shall maintain an on-going status report of all active and completed operational goals and priorities. All completed projects are retained until the end of the calendar year at which time they will be summarized as accomplishments.**

⁶ 2-CO-1A-07

⁷ 2-CO-1A-07

- d. Approved goals and objectives shall be used by Facility Managers and Central Office Bureau Directors to plan, monitor, and evaluate their administrative and functional operations. The results will be used for assessing various operations of the Department on both a short and long-range basis for planning purposes.
- e. Each Facility Manager/designee shall link goals and objectives to all phases of the budget process. This interrelationship will be indicated in budget narratives prepared for the Department and is to be considered whenever budget reviews are scheduled.
- f. At least quarterly during the fiscal year, assessments will be made by the Office of the Secretary to determine progress toward achieving previously identified goals and objectives. It is the responsibility of the Facility Manager/designee and Central Office Bureau Director to revise his/her goals and objectives to meet current priorities, or restructure programs, compatible with the direction from the Secretary/designee.

C. Facility Narrative Summary

1. The Facility Narrative Summary provides a detailed overview of the physical plant, operation of the facility, and the annual goals and objectives of the facility. This document is completed in a narrative format. ***The completed Facility Narrative Summary will serve as the “Welcome Book” to be provided to the auditors upon the commencement of an American Correctional Association (ACA) audit. The descriptive language in italics included on the Facility Narrative Summary Template (Attachment 1-A) is only considered directional for proper report completion. The facility shall omit this text from the completed Facility Narrative Summary.***
2. ***Each Facility Manager/designee shall ensure that the Facility Narrative Summary is updated and submitted to the Bureau of Standards and Security (BSS) in the proper format by December 1st of each year.⁸***

⁸ 4-4002

Section 2 – Policy Management

A. Policy Management/Coordination

1. The Bureau of Standards, Accreditation and Internal Audits is responsible for policy management and coordination at Central Office.
2. Each Facility Manager/designee shall designate a Facility Policy Coordinator for policy management/coordination at the facility level.

B. Administrative Manuals

1. Organization

The policy manuals are organized in a manner consistent with the organization of the American Correctional Association (ACA) standards, with each volume containing topically related chapters. The volumes include the following:

- a. Inmate Handbook policies (**DC-ADM 001** through **DC-ADM 822**);
- b. Volume 1 – Administration, Policy, Annual Inspections;
- c. Volume 2 – Planning, Research, Statistics; Policy, Grants and Legislative Affairs; and Information Technology;
- d. Volume 3 – Fiscal Administration;
- e. Volume 4 – Human Resources and Labor Relations;
- f. Volume 5 – Staff Development and Training;
- g. Volume 6 – Security;
- h. Volume 7 – Inmate Treatment & Re-Entry Services;
- i. Volume 8 – Community Corrections;
- j. Volume 9 – Correctional Industries;
- k. Volume 10 – Facility Maintenance;
- l. Volume 11 – Inmate Classification, Population Management and Inmate Records Management;
- m. Volume 13 – Health Care and Mental Health Care; and
- n. Volume 15 – Safety and Environmental Protection.

2. Distribution¹

- a. The Bureau of Standards, Policies and Internal Audits shall:
 - (1) notify all Executive Staff members, Facility Managers/designees, and Facility Policy Coordinators via e-mail of new policy, policy updates and/or revisions;
 - (2) post all new policy, policy updates and/or revisions on DOCNet for access by all staff;
 - (3) updated the Master Index to reflect new policy, policy updates and/or revisions; and
 - (4) ***maintain the Policy Revisions List in the What's New Folder on DOCNet; and***
 - (5) ***forward public PDF version policies to the Press Office for posting to the public policy site.***
- b. ***Revised policy distributions will occur on the first and fourth Mondays of each month. The Executive Deputy Secretary (EDS) may make exceptions, based on Department need.***
- c. The Facility Policy Coordinator is responsible for the distribution of new policy/procedures, updates and/or revisions to all staff of direct use.²

3. Filing of Documents

- a. All policies and procedures manuals are organized by number, for easy access and cross-referencing, in chronological order by policy followed by the procedures manual (if applicable).
- b. The Bureau of Standards, Policies and Internal Audits is responsible for maintaining an archive file of all rescinded and/or superseded Department policies, manuals and bulletins.

C. Numbering/Format

1. Department Policies/Procedures Manuals/Bulletins

- a. The Bureau of Standards, Policies and Internal Audits is responsible for assigning policy/procedures identification numbers.

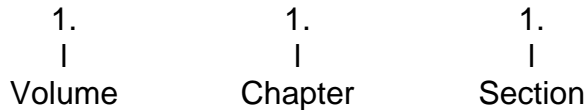
¹ 4-ACRS-2C-01, 4-4012

² 4-4013, 4-4014, 4-ACRS-7B-08, 2-CTA-1A-12

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b. All Department policies are numbered as follows:

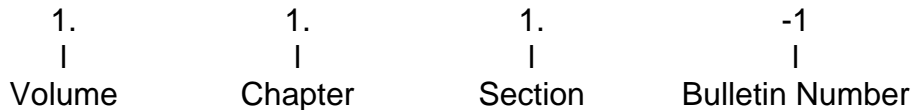
- (1) the volume number is first followed by a period, the chapter number followed by a period, and then the section number; and
- (2) all sections are sequentially numbered within each chapter. Example: the Policy Management System Policy is the first section (or policy) in Chapter One of Volume One, Administration. Therefore, the policy number is 1.1.1.



c. Procedures manuals, when applicable, are numbered the same as the governing policy document.

d. Bulletins

- (1) Bulletin numbering uses the basic policy numbering system so that all bulletins can be cross-referenced and filed for easy access. The same numbering arrangement is used, Volume/Chapter/Section, however, a bulletin number is added. Example: the first bulletin issued to the Policy Management System Policy would be 1.1.1-1.

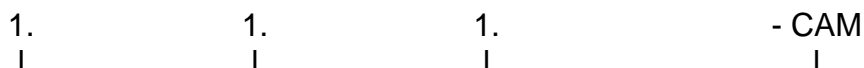


- (2) Any subsequent bulletins would be numbered sequentially changing the last digit (-2, -3, etc.)
- (3) ***Bulletins shall only be used when specific information needs to be distributed immediately and the standard policy review process would hold up the distribution of the information.***

e. All policies and procedures manuals, unless otherwise directed by the Secretary/designee, shall be written using the approved standardized format.

2. Facility Specific Policies/Procedures Manuals

- a. Facility policy and procedures manuals, if necessary, are numbered the same as the governing Department policy/procedures manual, except that the facility “alpha designator” shall be included as a suffix, etc. Example: the facility procedures manual for the Policy Management System Policy 1.1.1 for Camp Hill would be 1.1.1 – CAM.



Volume	Chapter	Section	Facility mainframe alpha designator for Camp Hill
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- b. Each facility procedures manual, if necessary, will be written using the approved **Standardized Facility Masthead Format (Attachment 2-A)**.

D. Needs Assessment

1. General

Each staff member should assess the appropriateness and effectiveness of policies/procedures and assist in identifying the need for new policy development and/or revision of existing policy. This assessment is not restricted to the annual review process; it is an ongoing process as each employee performs his/her duties and can be accomplished through staff meetings, suggestion programs, and committees.³

2. Department Policy/Procedures

- a. When a need to develop/revise Department policy/procedure is identified at the Central Office level, the Bureau Director/Business Owner of primary responsibility shall draft the appropriate revisions. The drafted revisions may be presented at an Operations Meeting by the Bureau Director/Business Owner for discussion and approval, if necessary. The draft shall then be submitted to the Bureau of Standards, Policies and Internal Audits to process and send to the field for comment, when indicated. Outside agencies within the criminal and juvenile justice systems and community service agencies may be consulted in the formulation and development of Department policy/procedures.⁴
- b. When a need to develop/revise Department policy/procedure is identified at the facility level, a request shall be forwarded, via the Facility Policy Coordinator, to the Facility Manager/designee. The Facility Manager/designee shall review the matter and forward it to the appropriate Bureau Director/Business Owner as outlined on the **Business Owner Listing** (available on DOCNet) along with a recommendation supporting or opposing the need for the policy development/revision.

3. Facility Procedures

- a. Local procedures may be developed when there is no standing Department procedure on a given subject matter, to enhance Department policy/procedure and/or to meet a specific facility concern.
- b. The standards set forth in the governing Department policy/procedures are the minimum standards that must be achieved. These standards may be exceeded, but in all cases the minimum standards must be met.

³ 4-4004, 4-ACRS-7B-09, 2-CTA-1A-03

⁴ 4-4005

- c. When a need to develop/revise facility procedure is identified, a recommendation shall be forwarded, via the Facility Policy Coordinator, to the Facility Manager/designee. The Facility Manager/designee shall review the matter and approve/disapprove the recommended revisions.
- d. If the disapproved development/revision to the facility procedure was to rectify a situation of non-compliance with Department policy, and the individual who recommended the revision feels the rationale for disapproval is inappropriate, he/she may forward the issue in writing to the Bureau of Standards, Policies and Internal Audits.

E. Policy and Procedures Development/Revision

- 1. When a Department policy and/or procedures manual is updated, the updated page(s) or section(s) shall be annotated with a revision date in the footer and distributed via e-mail, placed in the appropriate folder on DOCNet and posted to the public website if it is deemed public information.
- 2. The Bureau Director/Business Owner of primary responsibility tasked with the development or revision of a policy or procedures manual shall:
 - a. assign appropriate staff to prepare a draft of the newly developed or revised policy or procedures manual;
 - b. when indicated, establish a due date and distribute the initial draft to the Executive Staff, Facility Managers/designees and Facility Policy Coordinators with direction to distribute to staff of direct use;
 - c. compile, review and evaluate the comments received for incorporation into the draft document;
 - d. revise the initial draft based upon the comments received;
 - e. determine if the new or revised policy or procedures manual shall have an impact on the Department's current or future budgets. If an impact is anticipated, the Bureau Director/Business Owner shall ensure that the draft document is also submitted to the Deputy Secretary of Administration accompanied by a memorandum noting the anticipated area of fiscal impact;
 - f. ensure that the entire policy/procedure is reviewed when submitting the revisions to determine whether other sections need to be revised, and assess the impact on the entire volume; and
 - g. ensure that the draft document is submitted to the Bureau of Standards, Policies and Internal Audits via email.

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3. The Bureau of Standards, Policies and Internal Audits shall process drafted revisions after being received from the Bureau Director/Business Owner to include the following:
 - a. conduct a review of the initial draft for proper format and to determine if the intent of the development/revision has been achieved;
 - b. ensure that all applicable American Correctional Association (ACA) standards are identified, footnoted in the policy/procedures manual and listed in the cross-reference section;
 - c. submit the draft back to the Bureau Director/Business Owner with a **Policy Sign-Off Sheet (Attachment 2-B)** attached **and update the Policy Status Report with appropriation information to start the revision tracking process;**
 - d. after receiving the draft back from the Bureau Director/Business Owner with an approving signature on the **Policy Sign-Off Sheet**, submit the draft to the Office of Chief Counsel for review and comment to ensure content is consistent with relevant laws, regulations and/or court decisions;
 - e. prepare a final draft for the EDS's approval, then submit the final draft to the Secretary/designee; and
 - f. upon approval by the Secretary/designee, prepare a cover memo or distribution e-mail outlining all changes and distribute the document to Central Office Executive Staff, Facility Managers/designees and Facility Policy Coordinators.

F. Policy/Procedure Waiver Requests

1. Initiating Policy/Procedure Waiver Requests
 - a. In the event that a facility requires a deviation or variance from Department procedure(s), the Facility Manager/designee shall complete and submit a **Policy/Procedure Waiver Request (Attachment 2-C)** to the **Policy Waiver Request Resource Account at CR, Policy Waiver Requests.**

NOTE: After receiving the Waiver Request, each reviewing party, as listed below, shall have five business days to return the Waiver Request to the Bureau of Standards, Policies and Internal Audits, indicating his/her approval/disapproval.

- b. **The Bureau of Standards, Policies and Internal Audits shall retrieve the Waiver Requests from the Policy Waiver Request Resource Account and:**
 - (1) **review the Waiver Request to determine any potential conflict(s) with ACA standards and note the findings. If the Waiver Request is related to a safety concern, it will be sent to the Bureau of Operations first;**

- (2) **forward the Waiver Request to the appropriate Central Office staff as outlined on the Waiver Request for review and approval/disapproval, in this order:**
 - (a) **Bureau Director/Business Owner;**
 - (b) **Regional Deputy Secretary (RDS); and**
 - (c) **EDS.**

NOTE: Regardless of approval/disapproval by the Bureau Director/Business Owner, the Waiver Request will continue to be routed to the remaining parties for review.

- (3) **distribute finalized Waiver Requests to the Facility Manager, Bureau Director/Business Owner and place a copy in the facility's folder in the Policy/Procedure Waiver Request Repository on DOCNet.**

NOTE: Approved Waiver Requests will be maintained on DOCNet indefinitely or until the Waiver Request is revoked. Disapproved Waiver Requests shall be maintained on DOCNet for a minimum of three years before being removed.

c. The Bureau Director/Business Owner shall:

- (1) **review the policy/procedure for which the Waiver Request is being submitted to determine if there is a means for the requesting facility to come into compliance and whether the Waiver Request is approved/disapproved;**
- (2) **review the policy/procedure to determine whether revisions would be appropriate;**
- (3) **attach a copy of the current policy/procedure and proposed revised language if recommending a policy/procedure revision; and**
- (4) **return the Waiver Request and any relevant supporting documentation back to the Bureau of Standards, Policies and Internal Audits for tracking and further routing.**

d. After reviewing the recommendations from the Bureau of Standards, Policies and Internal Audits and the Bureau Director/Business Owner, the RDS shall indicate his/her approval/disapproval and return the Waiver Request to the Bureau of Standards, Policies and Internal Audits for tracking and further routing.

- e. ***After reviewing all previously made recommendations from the parties listed above, the EDS shall indicate his/her approval/disapproval and return the Waiver Request to the Bureau of Standards, Policies and Internal Audits for final distribution(s) and placement in the Policy/Procedure Waiver Request Repository on DOCNet.***

2. Revoking Policy/Procedure Waiver Requests

When a Waiver Request needs to be revoked, the “Request for Revocation of Waiver” section on the initial Policy/Procedure Waiver Request shall be completed by the Bureau Director/Business Owner and submitted to the Policy Waiver Resource Account maintained by the Bureau of Standards, Policies and Internal Audits. The Waiver Request indicating the revocation shall replace the initial Waiver Request in the Policy/Procedure Waiver Request Repository on DOCNet and a copy distributed to the Facility Manager, RDS and EDS. Revoked Waiver Requests shall be maintained on DOCNet for a minimum of three years.

G. Distribution of Policy and Procedures Manuals

1. General Distribution

- a. All policy and procedures manuals (if applicable) shall be distributed to every Executive staff member, Facility Manager/designee, and Facility Policy Coordinator via e-mail.
- b. All policy and procedures manuals shall be distributed in advance of their effective date to ensure that sufficient time is allowed for the development of implementation procedures and to familiarize staff and/or inmates with any changes in procedures or routines. Unless otherwise directed by the Secretary/designee, the minimum time frame of seven calendar days shall be allowed between the date of issue and the effective date of the document.

2. Distribution to Facility Staff

- a. It is the responsibility of the Facility Policy Coordinator to ensure that the Facility Manager/designee and Administrative Staff are issued all updates/revisions to policy or procedure.
- b. It is the responsibility of the Facility Manager’s Administrative Staff to ensure that all disseminated new or updated policy and procedures are provided and reviewed with all staff members in their chain of command.
- c. It is the responsibility of each Department Head and Line Supervisor to ensure that all disseminated new or updated policy and procedures are provided and reviewed with

every staff member, contract employee and volunteer of direct use in his/her chain-of-command who is expected or required to perform the necessary procedures/duties.⁵

- d. Appropriate review and communication for purposes of delegating authority, and/or assigning responsibility to ensure staff understands the scope of their job duties as related to the new or updated policy and procedures should be accomplished through staff meetings. These reviews will be documented in staff meeting minutes for each new or revised policy and/or procedures manual and forward to the appropriate supervisor for filing.

H. Access to Documents

1. All policy statements are public documents and are made available on the Department's public website and upon request, except for those listed on the **Department's Confidential Policies/Procedures Listing** (available on DOCNet).⁶
2. The Department's public website also contains a wealth of information ranging from the availability of inmate services and programs to statistics and Frequently Asked Questions (FAQ's).
3. In order to ensure optimal public and employee access, all procedures manuals are available to all employees on DOCNet and, except for those listed on the **Department's Confidential Policies/Procedures Listing**, are accessible to the public on the Department's public website.⁷
4. All procedures manuals that have been deemed public will be posted in the "Public Policy PDF Version – Librarians" folder on DOCNet along with the **Department's Confidential Policies/Procedures Listing** outlining the procedures that cannot be disseminated to inmates. Librarians will be able to use this folder to make public policies/procedures available for inmates to review and/or copy in accordance with Department policy **DC-ADM 003, "Release of Information."**
5. All facility procedures manuals, if necessary, are maintained and made available to appropriate staff.⁸

I. Annual Policy Review

1. Each Department policy shall be reviewed at least once each **calendar** year or as directed by the EDS.⁹

⁵ 4-4014, 2-CTA-1A-12

⁶ 4-4012

⁷ 4-4012, 4-ACRS-7B-07, 2-CTA-1A-10

⁸ 4-4013, 2-CTA-1A-10, 4-ACRS-7B-07

⁹ 4-4012, 4-4424

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2. The Bureau of Standards, Policies and Internal Audits shall coordinate and document an annual review of all Department policies, to include the following:
 - a. the Bureau of Standards, Policies and Internal Audits shall notify Bureau Directors/Business Owners each year of the need to review each policy/procedures manual(s) in his/her area of primary responsibility **and all memos which were issued for his/her area(s) during the preceding calendar year in accordance with Subsection J. below**;
 - b. each Bureau Director/Business Owner, including the Health Care Authority,¹⁰ shall review the policies/procedures to determine if the philosophy and goals of the Department have changed since the issuing or last review of the document;
 - c. each Bureau Director/Business Owner will complete a **Policy Review Verification Form (Attachment 2-D)** to document his/her annual review and forward it to the Bureau of Standards, Accreditation and Internal Audits **within 30 days of the initial review notification**; and
 - d. completed **Policy Review Verification Forms** will be maintained by the Bureau of Standards, Policies and Internal Audits **for a period of three years**.
3. Facility Review
 - a. The Facility Manager/designee will ensure that if local procedures are deemed necessary, they are in compliance with the governing Department policy/procedure. These procedures are reviewed annually and updated, if necessary.¹¹
 - b. The Facility Manager/designee will review the facility's personnel policies/procedures annually and submit any recommended changes to the Bureau of Human Resources (BHR).¹²
 - c. The Facility Manager/designee will ensure local security procedures are in compliance with the governing Department policy/procedure. These procedures are made available to appropriate staff, reviewed annually and updated as necessary.¹³

J. Memos

Memos are distributed to provide direction to staff in a variety of areas that are not covered by Department policy. When a Bureau Director/Business Owner issues a memo to the field, he/she must:

¹⁰ 4-4424

¹¹ 4-4424

¹² 4-4049

¹³ 4-4174

1. **electronically submit a copy to the Bureau of Standards, Policies and Internal Audits for placement in the Memo Folder on DOCNet;**
2. **notify the Bureau of Standards, Policies and Internal Audits when the information from a memo is being placed into Department policy and which memo(s) can be removed from DOCNet due to policy incorporation; and**
3. **during the Annual Policy Review Process in accordance with Subsection I. above, notify the Bureau of Standards, Policies and Internal Audits annually of any memos which have not been incorporated into Department policy but are no longer applicable and can be removed from DOCNet.**

K. DC Forms

1. All forms used to record information, actions, and/or events are numbered and include the “DC” (Department of Corrections) prefix.
2. **Every Bureau Director/Business Owner is responsible for updating DC forms for his/her area(s) of responsibility as outlined on the Business Owner Listing (available on DOCNet).**
3. The Bureau of Standards, Policies and Internal Audits shall coordinate the printing of new/revised DC forms with Correctional Industries (CI).

L. Regulatory Review Process

The Bureau of Standards, Policies and Internal Audits, in conjunction with the Office of Chief Counsel, is responsible for the following:

1. review newly developed and revised policies to determine if the policy meets the criteria for regulatory review. The criteria for regulatory review is policy that:
 - a. directly impacts the public;
 - b. requires a specific action(s) by an inmate; and/or
 - c. is routinely distributed to inmates (i.e., inmate handbook policies)
2. prepare new or amended draft regulations, as needed, for each new or revised policy;
3. submit the new or amended draft regulations to the EDS for review and comment; and
4. prepare the regulation(s), based upon the comments received from the EDS and the Office of Chief Counsel for submittal to the Secretary/designee for review and final approval; and revise the regulation(s), as needed, based upon direction provided by the Secretary/designee and promulgate them consistent with applicable law.

Section 3 – Inmate Handbook Policies

A. General

1. As part of the orientation process, all inmates new to the facility will be provided, in writing, the following:
 - a. Department Inmate Handbook containing Department-wide rules, regulations and programs in English or Spanish. These will include, but not be limited to, the following: inmate rules of conduct and sanctions; sexual abuse/assault prevention and intervention; control of personal property and funds; access to mail, phone, visits, and grievance procedures.¹ This is normally provided during initial reception at Diagnostic and Classification; and
 - b. Inmate Handbook Supplement containing facility specific information on general rules, access to programs and services, schedules related to programs and the daily routine in English and Spanish.
2. Inmates will be issued the Department's Inmate Handbook or the Facility's Inmate Handbook Supplement upon reception at no cost to the inmate when they are obsolete, or wear out under normal usage.
3. The Inmate Handbook will be re-issued to each inmate every three years, or earlier at the direction of the Executive Deputy Secretary. An inmate will be charged for lost or destroyed copies of the handbooks at a value established by the Department.

B. Inmate Handbooks

1. Central Office
 - a. The Secretary/designee is the approving authority for all revisions to, or reissue of, the Department's Inmate Handbook.
 - b. The Standards and Accreditation Division shall:
 - (1) ensure that the Inmate Handbook is reviewed annually by appropriate facility staff and Central Office staff;²
 - (2) prepare necessary changes for review and approval by the Secretary/designee;
 - (3) coordinate the translation into Spanish, the printing, and the distribution of revisions to, or reissue of, the Inmate Handbook to appropriate Central Office staff and all facilities; and

¹ 4-4226, 4-4227, 4-4228, 4-4281-1, 4-4290, 4-4292, 4-ACRS-2C-01

² 4-4226, 4-4227

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Section 3 – Inmate Handbook Policies

- (4) ensure that the Department's Inmate Handbook and inmate administrative directives contained therein are made available on DOCNet and the Department's public website.

2. Facilities Other than Community Corrections Centers (CCCs)

Each Facility Manager/designee shall ensure the following:

- a. proposed changes to the Department's Inmate Handbook are submitted, in writing, to the **Standards and Accreditation Division**;
- b. each inmate is issued a copy of the Department's Inmate Handbook within 24 hours of reception and that he/she signs a **Receipt of Department of Corrections Inmate Handbook (Attachment 3-A)**. If he/she refuses to sign, the handbook will be issued and the issuing staff member shall note the inmate's refusal on the **Receipt of Department of Corrections Inmate Handbook**.³
- c. adequate inventories of the Department's Inmate Handbook are maintained;
- d. each inmate returns the Department's Inmate Handbook when he/she is released, or the inmate will be charged for a replacement.

C. Inmate Handbook Supplements

Each Facility Manager/designee shall ensure the following:

1. a Facility Inmate Handbook Supplement, containing facility-specific information as indicated in the **Facility Inmate Handbook Supplement Format (Attachment 3-B)**, and other facility-specific information is prepared **and submitted one year prior to the facility's scheduled accreditation audit or once every three years for facilities not on the accreditation cycle**;
2. coordinate the translation of revisions to the Facility Inmate Handbook Supplement into Spanish through the **Standards and Accreditation Division** prior to arranging for normal printing services;
3. adequate inventories of the Facility's Inmate Handbook Supplement are maintained;
4. each inmate is issued a copy of a Facility Inmate Handbook Supplement within 24 hours of reception and that he/she signs a **Receipt of Department of Corrections Inmate Handbook Supplement (Attachment 3-C)**. If the inmate refuses to sign, he/she will be issued the handbook and the issuing staff member shall note the inmate's refusal on the **Receipt of Department of Corrections Inmate Handbook Supplement**;

³ 4-4228, 4-4281-1, 4-4290

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Section 3 – Inmate Handbook Policies

5. each inmate returns the Facility Inmate Handbook Supplement when he/she is released, or the inmate will be charged for a replacement;
6. copies of the Department's Inmate Handbook, the Facility Inmate Handbook Supplement, the policies referenced therein, and notices of rule changes for the policies referenced therein, are made available on housing units and in the facility's library for use by inmates in general population status. An inmate is permitted to review these documents in the library or check a document out. An inmate may purchase a personal copy of a document in accordance with local procedures for copy services and charges; and⁴
7. copies of the Department's Inmate Handbook, the Facility Inmate Handbook Supplement, the policies referenced therein, and notices of rule changes for the policies referenced therein, are made available in the Mini Law Library for use by inmates housed in a Security Level 5 Housing Unit.

D. Inmate Notification of Rule Changes

1. Department Policy
 - a. Notification to each inmate is required for all policies contained in the Inmate Handbook. The Standards and Accreditation Division shall provide direction when the inmates are to be given a copy of the revised policy/procedure and/or a memorandum that explains the revisions prior to implementation.⁵
 - b. The Standards and Accreditation Division will ensure that the Spanish version of the revised policy/procedure and/or a memorandum that explains the revisions is distributed.
2. Facility Rules
 - a. All revisions to existing facility rules, or the creation of new rules that directly affect the inmate population will be reviewed by the Facility Manager/designee to determine if notification to each inmate is required;
 - b. If inmate notification is required, the appropriate Deputy Superintendent/designee, shall prepare a "Notice of Rule Change" for review, approval, and signature by the Facility Manager/designee;
 - c. The Facility's Policy Coordinator shall coordinate translation of the notice into Spanish and the printing of the notice.

⁴ 4-4014

⁵ 4-4014

3. Notification Process

- a. The Facility Manager/designee shall select the date and shift that the distribution of the inmate notices will take place;
- b. The Deputy Superintendent for Facilities Manager (DSFM)/designee shall ensure that a sufficient number of copies of the notice are supplied to the Shift Commander prior to the date of distribution;
- c. The Shift Commander shall ensure that corrections officers distribute the notice to all inmates in the facility on the date and shift selected by the Facility Manager/designee;
- d. The Officer-in-Charge of each Housing Unit shall complete an **Inmate Notification of Rule Change Form (Attachment 3-D)** immediately after the notice is distributed. Each completed form is to be submitted to the Shift Commander;
- e. The Shift Commander shall review the returned **Inmate Notification of Rule Change Form** to verify that the notice was distributed in all areas of the facility that house inmates;
- f. When verified, the Shift Commander shall forward the completed **Inmate Notification of Rule Change Form** to the DSFM/designee.

E. CCCs/Community Contract Facilities (CCFs)

The development and distribution of the Community Corrections Resident Handbook and the notification of rule changes shall be in accordance with Department policy **8.1.1, “Community Corrections.”**

Receipt of Department of Corrections
Inmate Handbook

I received a copy of the Department of Corrections Inmate Handbook and I understand that I am to keep this copy until I am released. I also understand that it is my responsibility to keep the handbook in good condition. If a replacement copy is needed, for any reason other than it becoming unusable because of normal use, I will be charged for the replacement copy. I also understand that I must return the handbook at the time of my release or be charged for it.

Department of Corrections Number: _____

Name: _____

Inmate Signature: _____ Date: _____

Name of Staff Member Issuing the Handbook: _____

file: Inmate DC15-Institution Section _____

Receipt of Department of Corrections
Inmate Handbook

I received a copy of the Department of Corrections Inmate Handbook and I understand that I am to keep this copy until I am released. I also understand that it is my responsibility to keep the handbook in good condition. If a replacement copy is needed, for any reason other than it becoming unusable because of normal use, I will be charged for the replacement copy. I also understand that I must return the handbook at the time of my release or be charged for it.

Department of Corrections Number: _____

Name: _____

Inmate Signature: _____ Date: _____

Name of Staff Member Issuing the Handbook: _____

file: Inmate DC15-Institution Section

**Recepción del Manual para el preso
del Departamento Correccional**

Recibí una copia del Manual para el preso del Departamento Correccional y entiendo que debo guardar esta copia hasta que sea liberado. También entiendo que es mi responsabilidad mantener este manual en buenas condiciones. Si se necesita una copia de reposición por algún motivo que no sea el desgaste por uso normal, el costo de la misma correrá por mi cuenta. También entiendo que debo devolver el manual en el momento de mi liberación o de lo contrario deberé pagar por él.

Número del Departamento Correccional: _____

Nombre: _____

Firma del preso: _____ Fecha: _____

Nombre del miembro del personal que expide el Manual: _____

Archivo: Sección de la Institución DC15 del preso _____

**Recepción del Manual para el Preso
del Departamento Correccional**

Recibí una copia del Manual para el preso del Departamento Correccional y entiendo que debo guardar esta copia hasta que sea liberado. También entiendo que es mi responsabilidad mantener este manual en buenas condiciones. Si se necesita una copia de reposición por algún motivo que no sea el desgaste por uso normal, el costo de la misma correrá por mi cuenta. También entiendo que debo devolver el manual en el momento de mi liberación o de lo contrario deberé pagar por él.

Número del Departamento Correccional: _____

Nombre: _____

Firma del preso: _____ Fecha: _____

Nombre del miembro del personal que expide el Manual: _____

Archivo: Sección de la Institución DC15 del preso _____

**Receipt of Facility
Inmate Handbook Supplement**

I received a copy of the Facility Inmate Handbook Supplement and I understand that I am to keep this copy until I am transferred or released. I also understand that it is my responsibility to keep this handbook in good condition. If a replacement copy is needed, for any reason other than it becoming unusable because of normal use, I will be charged for the replacement copy. I also understand that I must return the handbook at the time of my transfer or release or I will be charged for it.

Department of Corrections Number: _____

Name: _____

Inmate Signature: _____ Date: _____

Name of Staff Member Issuing the Supplement: _____

file: Inmate DC15-Institution Section

**Receipt of Facility
Inmate Handbook Supplement**

I received a copy of the Facility Inmate Handbook Supplement and I understand that I am to keep this copy until I am transferred or released. I also understand that it is my responsibility to keep this handbook in good condition. If a replacement copy is needed, for any reason other than it becoming unusable because of normal use, I will be charged for the replacement copy. I also understand that I must return the handbook at the time of my transfer or release or I will be charged for it.

Department of Corrections Number: _____

Name: _____

Inmate Signature: _____ Date: _____

Name of Staff Member Issuing the Supplement: _____

file: Inmate DC15-Institution Section

Recepción del Suplemento
del Manual para el Preso por parte del Establecimiento

Recibí una copia del Suplemento del Manual para el preso por parte del Establecimiento y entiendo que debo guardar esta copia hasta que sea liberado. También entiendo que es mi responsabilidad mantener este manual en buenas condiciones. Si se necesita una copia de reposición por algún motivo que no sea el desgaste por uso normal, el costo de la misma correrá por mi cuenta. También entiendo que debo devolver el manual en el momento de mi derivación o liberación, ya que de lo contrario deberé pagar por él.

Número del Departamento Correccional: _____

Nombre: _____

Firma del preso: _____ Fecha: _____

Nombre del miembro del personal que expide el Suplemento: _____

Archivo: Sección de la Institución DC15 del preso _____

Recepción del Suplemento
del Manual para el Preso por parte del Establecimiento

Recibí una copia del Suplemento del Manual para el preso por parte del Establecimiento y entiendo que debo guardar esta copia hasta que sea liberado. También entiendo que es mi responsabilidad mantener este manual en buenas condiciones. Si se necesita una copia de reposición por algún motivo que no sea el desgaste por uso normal, el costo de la misma correrá por mi cuenta. También entiendo que debo devolver el manual en el momento de mi derivación o liberación, ya que de lo contrario deberé pagar por él.

Número del Departamento Correccional: _____

Nombre: _____

Firma del preso: _____ Fecha: _____

Nombre del miembro del personal que expide el Suplemento:

Archivo: Sección de la Institución DC15 del preso _____

1.1.1, Policy Management System Procedures Manual
Glossary of Terms

American Correctional Association (ACA) – The term used collectively to refer to the Association, staff, and consultants of the Association.

Accreditation Standards Manual – An organized compilation of the standards established to provide clear goals and objectives critical to the provision of constitutional and humane correctional programs and services. The standard manuals used by the Department are the Administration of Correctional Agencies, Adult Community Residential Services, Adult Correctional Boot Camp Programs, Adult Correctional Institutions, Correctional Training Academies, and the Standards Supplements (as issued).

Applicability Statement – A statement that indicates who is required to abide by the policy and procedures of the document.

Authority Statement – A statement indicating the sections of the Administrative Code of 1929 authorizing the Secretary/designee to direct the operation of the Department.

Central Office – The headquarters of the Department.

Chapter – A topically related group of policies within an Administrative Volume.

Commission on Accreditation for Corrections (CAC) – The policy making body that has sole responsibility for rendering all accreditation decisions.

DC Form – An approved standardized form used to record information, actions and/or events.

Department Policy – A governing document which sets forth the agency's philosophies and goals.

Facility – A State Correctional Facility, State Regional Correctional Facility, Motivational Boot Camp, Training Academy, Community Corrections Center, and the Central Office Complex as a group and/or individually.

Facility Manager – The Superintendent of a State Correctional Facility, State Regional Correctional Facility, Motivational Boot Camp, Director of a Community Corrections Center or Director of the Training Academy.

Facility Policy Coordinator – The individual designated by the Facility Manager/designee to be responsible for policy coordination at the facility level.

Facility

Mainframe Alpha Designator – the designation used in the Department's mainframe computer system to identify each facility within the Department.

Master Index – A numeric listing of all approved Department policies and bulletins.

1.1.1, Policy Management System Procedures Manual
Glossary of Terms

Policy Annual Review – The yearly process that documents the review of Department policies and procedures to determine if the philosophy and goals of the Department have changed since the issuing or last review of the document.

Policy Statement – A stated course of action that guides and determines present and future decisions and activities in the attainment of a goal/objective, or what is to be achieved by the agency and/or facility.

Practice – A specific and detailed statement that sets forth the action(s) on how the standard is to be achieved.

Procedures – A detailed set of actions, which must be executed to ensure that a policy is fully implemented and complied with. It is the method of performing an operation or a manner of proceeding on a course of action. It differs from policy in that it directs action in a particular situation to perform a specific task within the guidelines of the policy. A procedure sets forth the action(s) or how the policy is to be achieved.

Secretary – The Secretary of the Department.

Section – A policy document within a chapter of an Administrative Volume.

Sharepoint System – Microsoft electronic document management system.

Standard – A governing statement, usually general in nature, which sets forth Department goals and what level of performance is to be achieved by the agency and/or facility.

Volume – The largest unit of the Administrative Manuals.