

POLICY

EXAMPLE 1

TITLE INMATE RULES AND REGULATIONS

STATEMENT 1

TO ENSURE THE SECURITY, SAFETY, AND ORDERLINESS OF INMATES AND STAFF OF THE ANY COUNTY CORRECTIONAL CENTER.

STATEMENT 2

INMATE RULES AND REGULATIONS SHALL BE STRICTLY ENFORCED, IN ACCORDANCE WITH ACA STANDARDS 5284-5305, IN ORDER TO INSURE THE SECURITY, SAFETY, AND ORDERLINESS OF THE ANY COUNTY CORRECTIONS CENTER.

* STATEMENT #1 IS NOT ACCEPTABLE.

- NOT COMPLETE SENTENCE
- DOES NOT INFORM READER OF THE ACTION TO BE TAKEN
- NO IDEA WHAT POLICY IS ABOUT

* STATEMENT #2 IS ACCEPTABLE

- COMPLETE SENTENCE
- THREE PHRASES INDICATE ACTION TO BE TAKEN AND THE POLICY RATIONALE

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POLICY

EXAMPLE 3

TITLE REPORTING OF MAINTENANCE PROBLEMS

POLICY STATEMENT #1

THE ANY COUNTY CORRECTIONS CENTER FINDS IT NECESSARY TO ESTABLISH AN ACCURATE AND UNIFORM METHOD OF REPORTING MAINTENANCE PROBLEMS TO THE MAINTENANCE DEPARTMENT.

TO IMPLEMENT THESE POLICIES IT IS NECESSARY FOR MAINTENANCE TO WORK CLOSELY WITH THE ADMINISTRATIVE AND SECURITY PERSONNEL. ACCORDINGLY, THE ADMINISTRATIVE AND SECURITY PERSONNEL SHALL RECOGNIZE MAINTENANCE PROBLEMS IN A MANNER WHICH WILL PROMOTE GREATER SAFETY AND WELFARE OF BOTH PARTIES.

POLICY STATEMENT #2

IN ORDER TO ENSURE THE PHYSICAL SAFETY OF THE ANY COUNTY CORRECTIONS CENTER FACILITY, ALL ACTUAL OR SUSPECTED BREAKDOWNS IN THE FACILITY, SYSTEMS, EQUIPMENT, OR FURNISHINGS SHALL BE REPORTED TO THE MAINTENANCE DEPARTMENT FOR INVESTIGATION AND, IF NECESSARY, CORRECTIVE ACTION.

* STATEMENT #1 IS UNACCEPTABLE

- SOUNDS GREAT VERY LITERATE
- TOO WORDY
- MEANING UNCLEAR

* STATEMENT #2 IS ACCEPTABLE

- CLEAR
- CONCISE
- THE BETTER OF THE TWO!

PROCEDURE

PROCEDURE EXAMPLE #4A

PROCEDURE I NIGHT LOCK-UP OF RESIDENTS

THE MODULE OFFICER SHALL:

1. NOTIFY RESIDENTS TO BEGIN NIGHT LOCK-UP.
2. ONCE RESIDENTS ARE LOCKED-UP:
 - A. ENTER MODULE AND CHECK EACH DOOR TO ENSURE IT HAS BEEN DEADLOCKED;
 - B. NOTIFY FLOOR SUPERVISOR WHEN MODULE IS SECURE.

THE FLOOR SUPERVISOR SHALL:

1. NOTIFY MODULE OFFICERS TO COMMENCE LOCK-UP PROCEDURE.
2. PLACE CONTROL BOOTH PANEL ON "DEADLOCK".
3. NOTIFY SHIFT COMMANDER WHEN FLOOR IS SECURE.
4. LOG TIME COMPLETED, ANY PROBLEMS INCURRED.

PROCEDURE

PROCEDURE EXAMPLE #4B

POLICY NIGHT LOCK-UP OF RESIDENTS

In order to ensure the safety and security of residents and staff of the Any County Corrections Center, all residents shall be locked in their cells between the hours of 11:30 pm and 5:30 am.

PROCEDURE 1 NIGHT LOCK-UP OF RESIDENTS

1. At 11:20 pm, the Floor Supervisor shall notify each Module Officer, via intercom, to initiate the lock-up of his module.
2. The Module Officer shall verbally request the residents of his module to enter their individual cells. All residents must be in their cells by 11:30 pm. Should a resident refuse to enter his cell, the Module Officer shall initiate Procedure 2, Lock-up Refusal, Steps 1-5.
3. Immediately after all module residents have entered their cells, the Module Officer shall so notify the Floor Supervisor via intercom.

The Floor Supervisor shall activate the "Deadlock" system for the module and confirm the completion of this activity with the Module Officer via intercom.
4. The Module Officer shall physically check each cell door to ensure that they have been deadlocked. If a cell door is found unlocked, the Module Officer shall manually lock it and note the number of the door.
5. Immediately after all cell doors have been checked (and if necessary locked), the Module Officer shall inform the Floor Supervisor, via intercom, that his module is secure. The Module Officer shall also inform the Floor Supervisor of the number of any cell requiring manual locking.
6. When all Module Officers have reported the security of their modules, the Floor Supervisor shall inform the Shift Commander, via telephone that the floor is secure.
7. The Floor Supervisor shall record in the floor's lock-up log the current date, and the time of completion of the lock-up. If necessary, he shall also record the name and number of any resident refusing lock-up, in accordance with procedure 2, Lock-up Refusal, steps 6-8, and the numbers of any cells requiring manual locking.
8. A copy of the Lock-up Log shall be forwarded to the Shift Commander via internal mail at the end of the shift. If a lock-up refusal has occurred, a copy of the log shall also be forwarded to the Correctional Administrator via internal mail for initiation of Procedure 2, Lock-up Refusal, steps 9-13. If a cell door has required manual locking, a copy of the log shall be forwarded to the Maintenance Department via internal mail for corrective action.

PROCEDURE #4A IS UNACCEPTABLE

* VIOLATES EVERY GUIDELINE

- NO POLICY STATEMENT
- PROCEDURAL STEPS ORDERED BY RESPONSIBLE INDIVIDUAL AND OUT OF ORDER
- WHAT TIME FOR PROCEDURAL STEPS?
- WHAT FORM OR LOG?
- WHAT MODE OF COMMUNICATION?
- NO PROVISIONS FOR INMATE REFUSAL OR EQUIPMENT FAILURE

PROCEDURE #4B IS ACCEPTABLE

- * SEEMS LONG, BUT DETAIL NECESSARY
- * EVEN NEW STAFF COULD FOLLOW
- * PROMOTES CONSISTENCY
- * MUCH MORE USEFUL COMMUNICATION TOOL THAN #4A

MISSION STATEMENT

DEFINITION

A BROAD, GENERAL STATEMENT WHICH:

- DEFINES THE PURPOSE OF THE ORGANIZATION
- DEFINES THE ORGANIZATION'S RESPONSIBILITIES TO ITS INMATE POPULATION, AND OTHER MAJOR CONSTITUENCIES
- REFLECTS THE DIRECTION IN WHICH THE ORGANIZATION IS/SHOULD BE HEADED
- REFLECTS MAJOR ORGANIZATIONAL GOALS AND THEIR RATIONALE

MISSION STATEMENT

RATIONALE

- PROVIDES OVERALL DIRECTION TO STAFF
- BASIS FOR PUBLIC EDUCATION REGARDING THE ORGANIZATION
- STARTING POINT FOR LONG-RANGE PLANNING WITHIN THE ORGANIZATION
- PRIMARY REFERENCE POINT FOR POLICY CONTENT

MISSION STATEMENT

DEVELOPMENT CRITERIA

- MUST ADDRESS THE ORGANIZATION'S MAJOR RESPONSIBILITIES OF SECURITY, SAFETY, AND SERVICE
- MUST REFLECT THE PROFESSIONAL, ETHICAL, AND CONSTITUTIONAL STANDARDS OF THE ORGANIZATION
- MUST BE BROAD IN FOCUS, BUT PROVIDE DIRECTION
- SHOULD BE CONCISE
- MUST HAVE CLEAR AND UNMISTAKABLE MEANING
- MUST BE REALISTIC AND ATTAINABLE
- MUST BE A POSITIVE STATEMENT

POLICY AND PROCEDURES

DEFINITIONS

POLICY

A DEFINITIVE STATEMENT OF AN ORGANIZATION'S
POSITION ON AN ISSUE OF CONCERN TO THE
EFFECTIVE OPERATION OF THE ORGANIZATION

POLICY = WHAT AND WHY

PROCEDURE

A DETAILED, STEP-BY-STEP DESCRIPTION OF
THE SEQUENCE OF ACTIVITIES NECESSARY FOR
THE ACHIEVEMENT OF THE POLICY WHICH IT
ATTENDS

PROCEDURE = HOW, WHO, WHEN, AND WHERE

POLICY AND PROCEDURES

RATIONALE

- PROVIDE DIRECTION TO STAFF BY COMMUNICATING THE ORGANIZATION'S PHILOSOPHY AND WORK PLAN
- AID IN PROMOTING CONSISTENCY, EFFICIENCY, AND PROFESSIONALISM THROUGH METHODS STANDARDIZATION
- FORMAL MECHANISM FOR THE TRANSFER OF AUTHORITY AND RESPONSIBILITY TO LINE STAFF
- BASIS FOR STAFF TRAINING AND DEVELOPMENT PROGRAM
- DOCUMENTATION FOR FACILITY DEFENSE IN COURT ACTIONS
- DOCUMENTATION FOR EMPLOYEE DISCIPLINARY ACTION
- MANDATED BY STATE AND NATIONAL CORRECTIONS STANDARDS

POLICY AND PROCEDURE CONTENT ELEMENTS

ORGANIZATIONAL PHILOSOPHY

- PURPOSE
- RESPONSIBILITIES
- DIRECTION

CONSTITUTIONAL AND PROFESSIONAL REQUIREMENTS

- COURT ORDERS AND DECISIONS
- STATE AND NATIONAL CORRECTIONS STANDARDS
- LOCAL FIRE SAFETY, SANITATION, HEALTH, AND BUILDING CODES

OPERATIONAL REALITIES

- PEOPLE
- FACILITY
- TECHNOLOGY
- FUNDING

POLICY

POLICY CONSTRUCTION CRITERIA

STATEMENTS MUST BE COMPLETE SENTENCES

STATEMENTS MUST REFLECT ACTION

STATEMENTS SHOULD INCLUDE RATIONALE FOR THE POLICY

STATEMENTS MUST BE GENERAL, BUT DIRECTIVE

STATEMENTS SHOULD BE AS CONCISE AS POSSIBLE

STATEMENTS MUST BE CLEAR AND UNMISTAKABLE IN MEANING

PROCEDURES

PROCEDURE CONSTRUCTION CRITERIA

A: PROCEDURE CANNOT EXIST WITHOUT A POLICY

ORDER PROCEDURAL STEPS IN SEQUENCE

IDENTIFY RESPONSIBLE INDIVIDUAL(S) AND FUNCTIONAL UNIT(S)

INDICATE TIME(S) AND LOCATION(S)

IDENTIFY FORM(S) USED

IDENTIFY MODE(S) OF COMMUNICATION

INCLUDE PROVISIONS FOR HANDLING MAJOR PROBLEMS

IDENTIFY SITUATIONS WHERE DISCRETION IS ALLOWED

POLICY AND PROCEDURE FORMAT

WRITING STYLE

- POLICY STATEMENTS SHOULD BE WRITTEN IN PARAGRAPH STYLE
- PROCEDURES MAY BE WRITTEN IN EITHER PARAGRAPH OR NARRATIVE OUTLINE STYLE

TYPES

- MEMORANDUM
- MANUSCRIPT
- STANDARDIZED FORM

INFORMATION ITEMS

- TITLE
- NUMBER
- EFFECTIVE DATE
- APPROVING AUTHORITY

SOURCES OF POLICY AND PROCEDURE TOPIC ITEMS

NIC SUBJECT LIST

- FACILITY FUNCTIONS AND ACTIVITIES
- ADMINISTRATIVE AND OPERATIONAL PROBLEMS

COURT ORDERS

CORRECTIONAL STANDARDS

CRIMINAL JUSTICE SYSTEM ISSUES

MANUALS FROM OTHER CORRECTIONS FACILITIES

POLICY AND PROCEDURE MANUAL CONTENTS

TABLE OF CONTENTS

- MASTER FOR ENTIRE MANUAL
- SECTION
- FUNCTIONAL UNIT

PHILOSOPHY STATEMENT

ORGANIZATIONAL CHARTS

- FACILITY-WIDE
- SECTION
- FUNCTIONAL UNIT

PERSONNEL RULES AND REGULATIONS

IMPLEMENTATION OF THE POLICY AND PROCEDURE MANUAL

REVIEW AND APPROVAL

- CORRECTIONS ADMINISTRATOR
- SHERIFF
- LOCAL FUNDING AUTHORITY

DISTRIBUTION

- INTERNAL FUNCTIONAL UNITS
INDIVIDUAL STAFF
MEMBERS
- EXTERNAL FUNDING AUTHORITY
CRIMINAL JUSTICE SYSTEM
RELATED SOCIAL AGENCIES

TRAINING AND TESTING OF STAFF, RE: POLICIES AND PROCEDURES

PERIODIC REVIEW AND REVISION OF THE POLICY AND PROCEDURE

ENFORCEMENT