



State of Indiana
Indiana Department of Correction

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POLICY AND ADMINISTRATIVE PROCEDURES
Manual of Policies and Procedures

Title
THE DEVELOPMENT, APPROVAL AND IMPLEMENTATION OF POLICY

Legal References (includes but is not limited to)	Related Policies/Procedures (includes but is not limited to)	Other References (includes but is not limited to)
IC 4-22-2 IC 11-8-2-3 IC 11-8-2-5	00-00-101	ACA: CO: 1A-05; 1A-06; 1A-15; 1A-16 ACI: 4-4004; 4-4005; 4-4012; 4-4013; 4-4014; 4-4017; 4-4049; 4-4174; 4-4178; 4-4179; JTS: 1A-07; 1A-11; 1A-17; 1A-18

I. PURPOSE:

The purpose of this policy and administrative procedures is to establish a comprehensive process for the development, approval and review of policies, administrative procedures, operational procedures and operation directives to ensure the effective management of the Department.

II. POLICY STATEMENT:

A policy is a statement of executive intent that sets limits or parameters of decision-making and encourages managerial action. Anyone may recommend that a new policy be developed or that an existing policy be revised. It is the responsibility of the Commissioner to either approve or disapprove policies.

The Commissioner or designee shall ensure that supporting administrative procedures are prepared for each policy.

All departmental staff, divisions and facilities shall comply with each applicable policy and administrative procedure unless specifically exempted in writing by the Commissioner or an appropriate Deputy Commissioner.

All policies, administrative procedures, operational procedures, operation directives, division directives and post orders shall be reviewed annually by applicable staff within the Department.

III. DEFINITIONS:

For the purpose of these procedures, the following definitions are presented:

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- A. **ADMINISTRATIVE PROCEDURE:** A standardized method for performing a specified function necessary to implement a policy.
 - B. **DIVISION DIRECTIVE:** A standardized set of instructions developed by a Central Office Division to provide specific detailed information to staff responsible for specific operations in the facilities (e.g., Health Care Services Directives, Emergency Operations Manual, etc.).
 - C. **EXECUTIVE DIRECTIVE:** A written communication approved and signed by the Commissioner which presents policy or procedure related information.
 - D. **FACILITY DIRECTIVE:** A set of instructions at a facility addressing issues specific to the facility's operation which are not addressed in policy, administrative or operational procedures or post orders.
 - E. **OPERATIONAL PROCEDURE:** A prescribed manner for the implementation and operation of a specific facility in accordance with a Department policy and supporting administrative procedures.
 - F. **POLICY:** A statement of executive intent which sets limits or parameters of decision-making and encourages managerial action.
 - G. **POST ORDERS:** Instructions issued at a facility specifying appropriate activities or actions at a specific post or job location.
- IV. **DEPARTMENT POLICY MANAGER (DPM):**

The Commissioner shall designate a staff person in the Department's Central Office to be Department Policy Manager (DPM) to coordinate policy and procedure activity within the Department.

The DPM shall:

- A. Serve as a resource person for policy issues;
- B. Ensure format consistency, clarity of content and non-duplication of information in policies and procedures;
- C. Prepare policy-related items for the Commissioner and other Executive Staff to ensure proper and timely forwarding to the Facility Heads;

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- D. Maintain a master file of policies and administrative procedures, including the status of each policy and administrative procedure;
 - E. Coordinate annual reviews of policies and administrative procedures in conjunction with appropriate staff;
 - F. Prepare and/or review, with appropriate Division staff, proposed Executive Directives;
 - G. Assist the Division of Legal Services with the promulgation of rules;
 - H. Respond to all extra-agency requests on policy and administrative procedure issues;
 - I. Serve as policy coordinator for Central Office; and,
 - J. Receive Division Directives, Facility Directives and Operational Procedures for review and approval.
- V. FACILITY POLICY COORDINATOR:

Each Facility Head shall designate a staff person to serve as the Facility Policy Coordinator (FPC). The FPC may be a full or part-time position based upon the needs of the facility.

- A. The designated staff person shall have an understanding of the operation of the Department and the facility, good communication skills and access to staff and all areas of the facility.
- B. The Facility Head shall notify the DPM of the name, telephone number and extension and e-mail address of the FPC and of any changes in this assignment within five (5) calendar days of any such change.
- C. The FPC shall:
 - 1. Receive policy and procedure proposals and suggestions from staff relating to policy modifications and prepare these proposals for forwarding to the Facility Head;
 - 2. Maintain copies of all applicable Department policies, administrative procedures and Division Directives, as well as, all facility operational procedures and facility directives;

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3. Assist the Facility Head in the notification and distribution to staff, as appropriate, policy and procedure related documents and ensure that each department has access to any policies and procedures that relate to that department;
4. Assist the Facility Head in the development, review and approval of operational procedures and facility directives;
5. Assist, as requested, in the development and maintenance of post orders and facility directives;
6. Ensure coordination of efforts to make staff aware of each policy and procedure;
7. Ensure correspondence relating to policies/procedures is considered when reviewing and revising operational procedures, facility directives and post orders;
8. Coordinate annual reviews of policies/administrative procedures on a monthly basis and ensure appropriate staff has the opportunity to review designated policies and procedures; and,
9. Assist in facility audits as requested.

VI. POLICY RELATED CORRESPONDENCE:

- A. Staff generating or receiving correspondence from an external agency or individual relating to policies and/or procedures shall ensure a copy is forwarded to the FPC, if applicable, and the DPM. This type of correspondence may include:
 1. Documents such as policies and/or procedures from another government agency impacting the operation of the facility or the Department; or,
 2. Memoranda from staff that discuss the implementation or interpretation of a policy and/or administrative procedure.
- B. Staff persons issuing information that impacts the implementation or interpretation of policy or procedures shall consult the DPM prior to distributing such information.

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1. Information impacting multiple divisions or facilities shall be forwarded to the DPM for review prior to distribution.
2. The DPM shall review for content and format to ensure that the information is consistent with existing policies/procedures.
3. This review shall be completed within five (5) working days of receipt.
4. A copy of the approved correspondence presenting the new information shall be filed with the appropriate policy/procedure and considered during the next annual review.

VII. EXECUTIVE DIRECTIVES:

An Executive Directive shall announce policy/procedure-related information.

- A. An Executive Directive shall specifically identify the policy/procedure to which it relates.
- B. Executive Directives shall be prepared in accordance with Department procedures.
- C. An Executive Directive shall remain in effect for three (3) years from the date of issuance, unless superseded or replaced by another Executive Directive or a policy/administrative procedure.
- D. If necessary, a new Executive Directive may be issued prior to the expiration of the original Executive Directive to ensure that the information continues in effect.
- E. The DPM shall maintain the original of all expired or replaced Executive Directives in accordance with applicable records retention schedules.

VIII. ORGANIZATION OF THE *MANUAL OF POLICIES AND PROCEDURES*:

The organization of the *Manual of Policies and Procedures* shall be as presented in ATTACHMENT I, "Table of Contents."

- A. Paper copies of policies and administrative procedures shall be filed in the *Manual of Policies and Procedures* as indicated in the "Table of Contents."

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- B. Facilities that make policies and administrative procedures available in an electronic format, such as on a LAN or “shared” drive, shall present the policies and procedures in a similar manner as presented in the “Table of Content” or, if not easily done in this manner, in a manner that makes the policies and procedures easily accessible to all staff.
- C. The paper format of the *Manual of Policies and Procedures* shall be labeled as to the volume and the policies contained in the binder.

IX. ACCESS TO POLICIES AND PROCEDURES:

- A. Department policies, administrative procedures, operational procedures, division directives and facility directives shall be considered public documents, unless determined by the Commissioner to be restricted information.
 - 1. The Commissioner and Executive Staff shall review all policies/administrative procedures to determine whether they should be restricted information.
 - 2. Administrative procedures and their operational procedures may be determined to be restricted if:
 - a. They contain information that if released would likely jeopardize the safety and security of the facility, staff, public or offenders; or,
 - b. They contain information which is confidential by statute.
 - 3. The need to treat an administrative or operational procedure as restricted information shall be noted:
 - a. In the Executive Directive presenting the policy/administrative procedures
 - b. Directly on the administrative or operational procedures in the upper right hand corner of each page; and,
 - c. In the “Table of Contents” for the *Manual of Policies and Procedures*.

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- B. The public and offenders shall have access to all non-restricted access documents during normal business hours.
- C. Staff shall have review access to all policies/procedures relating to their work assignments on a 24 hours basis.
- D. There shall be a fee assessed for copies made for the public and offenders as determined by the Department of Administration.
- E. Access to policies and procedures should be granted through the Facility Head, FPC or other staff designated by the Facility Head or DPM and shall be in accordance with public records access laws.
- F. Each Facility Head shall ensure that all staff has access to policies and procedures necessary for the completion of their assigned duties.
- G. In some cases, the policy and administrative procedures may be considered public information; however, the work product based upon those policies and procedures shall be considered confidential. Those work products determined to be confidential shall not be released to the public unless authorized by statute, court order or the Commissioner.
- H. Division directives, facility directives and post orders which concern security operations or if made public would have a significant negative impact on safety and security of the facility or others are to be considered restricted information.
 - 1. Staff shall clearly mark these documents on each page as "Restricted" and file them appropriately.
 - 2. Staff shall be provided sufficient opportunity to review these documents as necessary for job assignments.
- I. Copies of non-confidential policies/administrative procedures and operational procedures shall be placed in the offender law library. Facilities not having an offender law library shall ensure that the offenders have access to these documents through other appropriate means.
- J. Division directives and facility directives may be placed in the offender law libraries at the discretion of the Facility Head.

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1. Offenders may obtain copies of these documents in accordance with the facility's procedures for obtaining public information.
2. The general public may obtain this information in the same manner as policies and administrative procedures.

X. NOTIFICATION OF NEW OR REVISED POLICIES AND ADMINISTRATIVE PROCEDURES:

- A. The DPM shall notify each facility and affected division when a policy and administrative procedure has been created or revised.
 1. The DPM shall ensure each policy and administrative procedure is distributed to the Department's Executive Staff, Division Directors, Facility Heads and Facility Policy Coordinators, as well as the Supervisor responsible for the given area.
 2. If at all possible, Executive Directives and policies/administrative procedures shall be distributed via e-mail to all facilities.
 3. If it is not possible to distribute an Executive Directive and policy and/or administrative procedure via e-mail, the DPM shall determine another mechanism to distribute these documents in the most cost effective and efficient manner possible.
- B. It shall be the responsibility of the Facility Head, Division Director or Central Office Supervisor to ensure that all staff under his/her authority is made aware of any changes in policies and administrative procedures and that the staff is provided with access to these documents as necessary.
- C. The FPC shall ensure that all policies and administrative procedures are distributed to each facility policy manual holder.
 1. A copy of the policies and administrative procedures may be distributed electronically.
 2. A paper copy of the *Manual of Policies and Procedures* shall be kept at a location(s) designated by the Facility Head and FPC and at a location accessible by the offender population (excluding confidential policies).

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3. The Facility Head shall ensure that at least one (1) location is provided a *Manual of Policies and Procedures* that can be accessed by staff for review on a 24 hour per day basis. This manual may be in a paper or electronic format.
- D. Staff assigned a *Manual of Policies and Procedures* shall be responsible for maintaining this manual, including keeping all policies and administrative/operational procedures filed appropriately and up-to-date.

XI. RECOMMENDATIONS FOR NEW OR REVISED POLICIES/PROCEDURE:

- A. Anyone (staff, public or offender) is to be encouraged to submit policy/procedure recommendations.
 1. Such recommendations are to be made in writing and presented to the FPC.
 2. It is the responsibility of the FPC to recommend appropriate action on the proposal to the Facility Head as soon as possible.
 3. The Facility Head shall review the recommendation and the comments from the FPC in order to determine the appropriateness of the recommendation.
 4. The Facility Head shall attach comments to the recommendation and forward it to the DPM, if the recommendation impacts a policy or administrative procedure or division directive.
 5. If the recommendation refers to an operational procedure or other facility specific document, the Facility Head shall return the recommendation with any comments to the FPC for appropriate action.
- B. The recommendation shall be forwarded by the DPM to the Division Director(s) whose area(s) of authority may be impacted by the recommendation.
 1. The Division Director(s) shall review the recommendation, all comments and the pertinent policies/procedures.
 2. The Division Director shall determine whether the recommendation is appropriate on a Department-wide basis or whether it is specific only to a certain facility

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3. The Division Director(s) shall share the recommendation with any other staff that may be impacted.
 4. The Division Director(s) shall complete this review and report back to the DPM as soon as possible.
- C. If the Division Director(s) rejects the recommendation or needs further information, the DPM shall return the recommendation to the FPC with appropriate comments. The FPC shall advise the submitting staff person as to the decision and/or need for further information.
- D. If approved, the DPM shall develop a draft based upon the recommendation, the Director's comments and any other pertinent information.
1. The draft shall be prepared with the approved headings in a modified outline format beginning with the headings:
 - "I. Purpose"
 - "II. Policy Statement"
 - "III. Definitions"
 - Remaining numbers and titles of sections needed
 2. The DPM shall share the draft with:
 - a. The appropriate Division Director(s);
 - b. The Legal Services Division; and,
 - c. Any other appropriate staff and ask for comments.
 3. The DPM shall review the comments received, make any necessary revisions and prepare the draft for review by the Executive Staff.
 4. If the Executive Staff approves the policy/procedure, the policy/administrative procedure shall be placed in final format, an Executive Directive prepared and presented to the Commissioner for approval and signature

XII. OPERATIONAL PROCEDURES:

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Upon receipt of a policy/administrative procedure, the Facility Head or designee shall review the documents and the accompanying Executive Directive to determine whether operational procedures are necessary.

- A. The Executive Directive and the administrative procedures shall specify when operational procedures are necessary for a given policy and/or administrative procedure.
- B. Operational procedures shall only be necessary when an administrative procedure does not provide specific detailed instructions that can be followed by all facilities and the facilities must determine how best to implement an administrative procedure.
- C. Operational procedures shall follow the same basic format as the administrative procedures.
 1. Each section of the administrative procedures shall be addressed in the operational procedures; however, the sections "Purpose," "Policy Statement" and "Definitions" need not be included in the operational procedures.
 2. If a particular section is not applicable, minimally the title of the section shall be presented in the operational procedures and shall be labeled in the title of the section as not applicable.
 3. In certain cases, it may be necessary to copy the entire section from the administrative procedures; this need shall be determined by whether the section is applicable to the facility.
 4. Operational procedures shall be presented with headings and format similar to that used for policies/administrative procedures and each page shall be:
 - a. Numbered consecutively;
 - b. Dated; and,
 - c. Contain the name of the facility.
- D. If operational procedures are not necessary, the Facility Head or designee shall ensure staff impacted by the policy/administrative procedures is made aware of them and that they are filed in accordance with these procedures and any instructions included in the Executive Directive.

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- E. If operational procedures are necessary, the FPC shall contact staff responsible for the areas covered in the administrative procedures for input into the development of operational procedures.
1. When the operational procedures have been approved and signed by the Facility Head, State Form 48204, REQUEST FOR APPROVAL OF OPERATIONAL PROCEDURES, (ATTACHMENT II) and the proposed operational procedures shall be sent to the DPM in an electronic format (Microsoft Word) via e-mail or another approved format (e.g., on a CD if too large to be submitted as an e-mail attachment). If operational procedures are sent via e-mail, only one (1) operational procedure should be sent at a time in an e-mail.
 2. The process for ensuring staff awareness and understanding of operational procedures may begin upon approval and signature by the Facility Head; however, in this case, it may be necessary to rescind the operational procedures if they are not approved upon review in Central Office.
- F. The DPM shall review the operational procedures for format and forward them to the appropriate Division Director or Central Office Supervisor for review.
1. The Division Director or Supervisor shall review the operational procedures and return any comments to the DPM as soon as possible (preferably within ten (10) working days from the date of receipt).
 2. If the Division Director does not approve the operational procedures, a notice will be returned to the facility by the DPM advising as to the reason for the denial and a request to make any necessary revisions.
 3. If the operational procedures are approved, the Division Director or Central Office Supervisor shall sign State Form 48204 and return it and the operational procedures to the DPM
- D. When the DPM receives the operational procedures from the Division Director or Supervisor, the DPM shall determine whether the operational procedures have been approved.

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1. If approved, the DPM shall scan the approved State Form 48204 with signature and e-mail a copy to the FPC.
2. The original State Form 48204 shall be filed by the DPM.
3. When the FPC receives the signed State Form 48204, it shall be forwarded to the Facility Head for signature.
 - a. The FPC shall file the signed copy of this form; and,
 - b. Notify staff that the operational procedures have been formally approved.

XIII. REQUEST FOR EXEMPTION FROM POLICY:

Staff, divisions or facilities may be exempted from a policy if the Commissioner or Deputy Commissioner determines compliance is not practical, is detrimental to the management of the division or facility, or an emergency exists. An exemption may originate from the Commissioner or Deputy Commissioner or may be requested by the affected Division or Facility Head.

- A. The Facility Head shall complete and sign State Form 48584, REQUEST FOR EXEMPTION FROM POLICY (ATTACHMENT III).

The Facility Head shall:

1. Indicate the specific procedures that are affected by the exemption;
 2. Specify why an exemption is necessary;
 3. Send State Form 48584 to the DPM via e-mail.
- B. The DPM shall send the request to the appropriate Division Director(s) or Central Office Supervisor for review and approval.
 1. If approved by the Division Director(s) or Central Office Supervisor, the request shall be given to the appropriate Deputy Commissioner(s) for review and approval.
 2. The Deputy Commissioner shall be asked to sign the State Form 48584 and indicate whether the request has been approved.

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3. If rejected or if there are conditions to the approval, the Deputy Commissioner shall so indicate in the comments section of State Form 48584 and shall return the request to the DPM.

C. The DPM shall file the State Form 48584 and e-mail a copy of the request form indicating the decision to the FPC with any special instructions.

XIV. POLICY AND ADMINISTRATIVE PROCEDURE REVIEW:

All policies/administrative procedures shall be reviewed on an annual basis.

- A. These reviews shall be conducted in accordance with an annual schedule established and distributed by the DPM. (ATTACHMENT IV)
- B. The review shall consider the applicability of the policy and administrative procedures as well as any revisions necessary due to changes in the Department's operation, statutes and case law.
- C. The DPM may enlist the assistance of other staff in completing these reviews as needed.
- D. During the review, the DPM shall review the master policy file and other appropriate files to determine whether any correspondence has been received previously which should be considered during the annual review process.
- E. The DPM or designated staff shall present any comments to the Deputy Commissioner or Division Director(s) responsible for the area and request response to the comments.
- F. The DPM shall incorporate the comments from the Deputy Commissioner or Division Director into the existing administrative procedures and prepare a revision of the policy/administrative procedures.
- G. When the revision is completed, an electronic version (highlighting the changes in bold and strikeouts) shall be sent to the appropriate Division Director and Deputy Commissioner.
- H. The Division Director and Deputy Commissioner shall review the revision to ensure its accuracy and completeness.

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- I. The DPM shall forward the approved revision to the Commissioner for review and approval.
 - J. The Commissioner shall review the revision and return any comments to the DPM.
 - K. Policy/Administrative Procedures shall display an effective date no older than five (5) years.
 - L. If it is determined upon review that a policy and/or administrative procedure do not need to be revised, the DPM shall forward a notice to the FPCs indicating that the policy/administrative procedure has been reviewed and no changes are being made.
 - M. If changes are made in a policy/administrative procedure, the new policy and/or administrative procedure shall serve as the notice that the policy and administrative procedure has been reviewed.
- XV. REVIEW OF OPERATIONAL PROCEDURES:

The FPC shall be responsible for ensuring that all operational procedures at the facility are reviewed annually in conjunction with the annual review of the governing administrative procedures.

- A. The FPC shall ensure that staff affected by the operational procedures is involved in the annual review. This review may be accomplished by committee or by any other method that may be appropriate for the particular facility.
- B. The FPC shall maintain documentation approved by the Facility Head or designee indicating that the operational procedures have been reviewed and who was involved in the review. This notice should indicate whether it was necessary to revise the operational procedures and shall be filed in the facility's master policy file.
- C. If revisions were necessary, the process established in Procedure XII for the submission of operational procedures for review and approval shall be followed.
- D. The FPC shall attach a document indicating the changes made in the operational procedures if only certain sections have been revised.

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1. If no revisions or only minor revisions are being made in the operational procedures that do not significantly impact facility operations, approval by the Facility Head is all that is necessary.
2. If significant changes are made in the operational procedures or the operational procedures must be revised due to new administrative procedures, the FPC shall forward the new operational procedures to the DPM as indicated in Procedure XII.

XVI. MANUAL OF POLICIES AND PROCEDURES AUDITS:

The FPC shall inspect all copies of the *Manual of Policies and Procedures*, including any electronic versions, at the facility annually starting in January of each year and shall complete the review by March 1.

- A. This inspection shall determine whether all current policies and procedures, both administrative and operational, are filed in the manuals and that the manuals are organized in accordance with the "Table of Contents."
- B. The FPC shall advise the holder of the manual of any deficiencies discovered and what corrective actions must be taken.
- C. The FPC shall submit a memorandum to the DPM indicating that this audit has taken place and the results of the audit, including any remedial actions necessary. A copy of this memorandum shall be given to the Facility Head and a copy retained by the FPC.
- D. The DPM shall conduct an audit of the policies and administrative procedures in the master policy files annually.
- E. The DPM shall advise the FPCs of this audit and the FPCs shall maintain a copy of this notice for any needed documentation of an annual review of the policies and procedures.
- F. This audit shall be in addition to the annual reviews of all policies and administrative and operational procedures.

XVII. DIVISION DIRECTIVES:

Division Director may determine that specific guidelines or instructions not appropriate for including in a policy/administrative procedure are necessary. In

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these cases, the Division Director may develop one (1) or more division directives.

- A. This information may be specific to a particular area within a division or may contain information necessary to allow staff to comply with an administrative procedure.
- B. The Division Director may determine the most appropriate manner in which to present this information. This information may be in the form of a bulletin or a manual.
- C. Prior to developing the division directive, the responsible Division Director shall consult with the DPM to determine the most appropriate format.
- D. A copy of the proposed division directive shall be provided to the DPM to ensure that it does not conflict with any administrative procedure or other directive.
- E. If it appears likely that more than one (1) division directive may be necessary, the Division Director and the DPM shall develop a numbering system appropriate for the directives from that division.
- F. The DPM shall assist the Deputy Commissioner responsible for the division in the development and distribution of a memorandum that presents the directive.
- G. The original of the division directive shall be maintained by the Division Director and a copy of the approval memorandum and directive shall be maintained by the DPM.
- H. Whenever possible, division directives shall be distributed by the DPM via e-mail.
- I. Division directives shall be filed by the facilities in a manner convenient for easy retrieval. It shall not be necessary to file these documents in the "*Manual of Policies and Procedures*."
- J. Access to these documents shall be in accordance with Procedure IX.

XVIII. FACILITY DIRECTIVES:

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Facilities may develop specific instructions that are not adequately addressed in administrative/operational procedures and are beyond the scope of post orders. These documents shall be Facility Directives and will be approved by the Facility Head.

- A. When the Facility Head determines that facility directives are necessary, the FPC shall be notified.
- B. The procedure for the development of facility directives shall be similar to that used in the development of operational procedures.
- C. Facility directives shall have the facility name and "FACILITY DIRECTIVE" placed at the top of the first page and on all subsequent pages.
- E. Facility directives shall be numbered by each facility to allow for ready retrieval. The numbering system shall include the approved three-letter designation of the facility (e.g., ISP, RDC, etc).
- F. Facility directives shall be signed by the Facility Head and forwarded via e-mail to the DPM for review and approval. Only one (1) facility directive shall be sent at a time via an e-mail message.
- G. State Form 48567, REQUEST FOR APPROVAL OF FACILITY DIRECTIVE (ATTACHMENT V), shall be signed by the Facility Head.
- H. The DPM shall review the facility directive to ensure compliance with the Department policies/administrative procedures and format.
- I. The DPM shall forward the facility directive to the appropriate Division Director for approval.
- J. The Division Director shall review the facility directive and return it with comments to the DPM as soon as possible.
- K. If approved, the Division Director shall indicate the approval on State Form 48567 and sign this form as the reviewer. If the Division Director does not approve the Facility Directive, he/she shall that the Facility Directive is not approved and indicate the areas of concern.
- L. The DPM shall sign State Form 48567 indicating that the facility directive has been received and reviewed.

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- M. The State Form 48567 shall be scanned and returned to the FPC via e-mail.
- N. A copy of the directive and State Form 48567 shall be retained by the DPM, for a period of one (1) year. The FPC shall maintain the facility directive and approval in accordance with approved records retention periods.
- O. Facility directives shall be reviewed annually by the FPC and may be incorporated into operational procedures, if applicable.

XIX. POST ORDERS:

Post orders shall be written for custody posts in a facility and include specific instructions for each shift on which the post is occupied.

- A. Post orders for a specific post shall be kept in a six (6) part classification style folder as indicated in ATTACHMENT VI.
 - 1. Introduction (letter from Superintendent) addressing:
 - The control/handling of Post Orders
 - The index for the Post Order folders
 - Items such as addendums to the Post Orders, no handwritten changes, no discussion with offenders or staff in presence of offenders, etc.
 - A copy of the job descriptions, e.g., Officer, Sergeant.
 - 2. General Post Orders with a State Form #39293, Understanding of Post Orders. (Indicate on the form General Post Orders - Armory, Control Center, etc).
 - 3. Specific Post Orders with a copy of State Form 39293, Understanding of Post Orders
 - a. Guidelines
 - b. Chronological listing of duties
 - 4. Any pertinent Administrative/Operational Procedures/ Facility Directives impacting the Post Orders.

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5. Other pertinent information regarding the daily operation of the post and which may include information from the Facility Head or Custody Supervisor which contradicts a previously issued order.
 6. Reference material (radio, telephone numbers, etc.)
- B. The Custody Supervisor shall have the responsibility of writing, maintaining and reviewing all post orders.
- C. The Custody Supervisor shall enlist the assistance of any staff necessary, such as the Unit Manager, in the development, revision and review of post orders.
- D. The Facility Head shall review, approve and sign all post orders before they are implemented.
- E. Post orders shall be written so that routine procedures and special duties at a custody post are described fully.
1. Each post order shall contain a description of responsibilities in the order in which they are to be performed.
 2. The responsibility for specific activities shall be defined clearly and the custody and security activities shall be listed in a manner indicating the priority of activities.
 3. The safety and welfare of the public shall be the highest priority.
- F. It may be necessary for a facility to develop general post orders which are applicable to all posts throughout the facility.
1. Copies of general post orders shall be filed with the post orders for each specific post that the general post order impacts; and,
 2. The general post orders shall be filed in a separate section of the post order folder.
- G. Post Orders shall be prepared on State Form 2598, POST ORDERS (ATTACHMENT VII) or a similar computer generated form and copies of all post orders shall be maintained in the following locations:
- Facility Head's Office
 - FPC's Office

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- Custody Supervisor's Office (Master Copy)
- Shift Supervisor's Office
- The impacted post
- Training Office

NOTE: If it is determined by the facility that the post orders can be maintained in all locations, except the impacted post and the Custody Supervisor's and FPC's offices, in an electronic format (such as on a facility LAN), the facility may reduce the number of "paper" copies required.

- H. At least one (1) copy of the post orders shall be maintained in such a manner that staff may access them in order to review the post orders for the posts to which they will be assigned prior to going to that post.
- I. Post orders shall be reviewed at least annually and revised as necessary.
- J. When copies of post orders become illegible, they shall be replaced in their entirety.
- K. The Custody Supervisor or designee shall ensure that all copies of post orders are kept up-to-date and legible.
- L. All post orders shall be considered restricted information.
1. Facilities shall ensure that adequate security is maintained to keep post orders from being available to offenders or the public.
 2. The restricted access to post orders shall be incorporated into the general post orders of the facility.
 3. Non-custody staff shall have access to any post order that may impact their area(s) of responsibility.
- M. The Facility Head shall be responsible for ensuring that all necessary staff have access to and understand post orders.
1. Staff shall be advised as to the manner in which they shall have access and may review post orders.
 2. Whenever a staff person is assigned to a new post or when post orders for an assigned post are revised, the staff person is to read

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the applicable post orders as soon as practicable, but no later than by the end of the shift.

3. The staff person shall be required to sign that he/she has read and understands the post order(s) necessary for their assigned posts. State Form 39293, UNDERSTANDING OF POST ORDERS (ATTACHMENT VIII), shall be used for this purpose and filed with the post orders.
 4. State Form #39293, Understanding of Post Orders shall be replaced at least bi-monthly with a new dated form and the completed form sent to the Custody Supervisor's Office for review and retention.
- N. Post orders may be written for non-custody posts at the discretion of the Facility Head. The determination as to whether a post order is needed for a non-custody post shall be based upon the need to provide specific, detailed information to staff assigned to a particular post or task.
- O. All post orders shall be reviewed annually.
1. Staff shall be encouraged to offer recommendations for the revision of post orders.
 2. The Custody Supervisor or designee shall review all recommendations for revisions to post orders.
 3. The Custody Supervisor shall submit these recommendations to the FPC to ensure that they do not conflict with any administrative procedures, operational procedures, division directives, facility directives or other post orders.
 4. If both the Custody Supervisor and the FPC believe that the recommended changes are appropriate, they shall submit the revised post order to the Facility Head for review and approval.
 5. If approved by the Facility Head, the FPC and the Custody Supervisor shall ensure that the revised post orders are distributed to all staff who have copies of the post orders and that the old version is removed and destroyed.

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XX. STAFF KNOWLEDGE AND UNDERSTANDING OF POLICIES AND PROCEDURES:

It is the ultimate responsibility of the Facility Head and Division Director to ensure that all staff under his/her supervision is given the opportunity to read and become familiar with all policies/procedures that are applicable to the staff person's assigned duties.

- A. The Division Director, Facility Head or designee and the facility department heads shall review each policy/procedure to determine which staff simply need to be made aware of the policy/procedure and which staff will require a more in depth review and understanding.
- B. The amount of review and understanding necessary shall be governed by the staff person's assigned duties and responsibilities.
- C. The Division Director and Facility Head shall ensure that all staff persons are provided with adequate opportunities to access and review all policies, procedures, facility and division directives and post orders that are applicable to their assigned duties or that are necessary to ensure the safe and efficient operation of the Department.
- E. When new or revised policies, procedures, facility or division directives or post orders are distributed, Division Directors and department heads in the facility shall advise the staff under their supervision of the documents and instruct the staff as to how they may review them.
- F. Staff shall be required to sign that they have been made aware of the new document and that they were given the opportunity to review it and ask questions.
- G. Each staff person shall be accountable for reviewing and understanding all policies, procedures, facility and division-directives and post orders necessary to complete his/her assigned duties.
- H. Staff is responsible for addressing any questions that might arise relating to a policy, procedure, facility or division directive or post order with the staff person's immediate supervisor.
- I. Periodically, the DPM, in conjunction with the Division of Staff Development and Training, may conduct a training session for staff persons who are required to write administrative/operational procedures.

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XXI. APPLICABILITY:

These procedures are applicable to all Department facilities and staff.

Signature on File

J. David Donahue
Commissioner

5/16/07

Date