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10/19/21

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TITLE

## **POLICY**

### PRISON MANAGEMENT EXPECTATIONS

#### **REVIEW/REVISION HISTORY:**

Effective: 8/24/01
Revised: 7/3/06
Revised: 7/3/07
Revised: 7/22/08
Revised: 10/1/09
Revised: 10/1/11

Revised: 10/24/11 Revised: 11/1/12 Revised: 3/1/13 Revised: 6/8/18 Revised: 10/19/21

### **SUMMARY OF REVISION/REVIEW:**

Policy Statement II., Directive I.A., II.A.1., II.B.3.b.-e., II.B.4., II.C.10., III.A.&B., V.A.3.b., and V.A.3.d. - Added clarifying language

Added I.A.1.b. that employees will intervene if they observe/discover any adverse action taken against incarcerated individuals or employees for engaging in a legally protected activity Added II.A.2. that the Assistant Secretary for Prisons will make routine onsite visits

Added II.B.1. & 2. that Deputy Assistant Secretaries for Prisons will conduct weekly check-ins and review quarterly updates

Added II.C.1.a. that Superintendents will ensure conduct is consistent with and supportive of the Department's values

II.C.1.h. and II.C.4. - Adjusted language for clarification

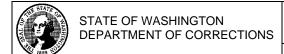
Added II.C.1.j. that Superintendents will assess annual employee engagement survey results Added II.C.7. that Superintendents will ensure monthly meetings are held between management and incarcerated representatives

Added V.A.1 that executive management members will document in the area logbook V.A.2. - Adjusted language as person-centered

Added V.A.3.d.1) that off-site crews at Level 2 facilities will be visited monthly

#### APPROVED:

Signature on file		
	9/14/21	
CHERYL STRANGE, Secretary Department of Corrections	Date Signed	



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#### **REFERENCES:**

DOC 100.100 is hereby incorporated into this policy; <u>Collective Bargaining Agreements</u>; <u>Prisons Division Fundamentals Map</u>

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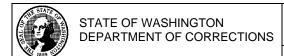
- I. The Department recognizes the importance of providing a safe, respectful, diverse, and professional environment for employees, contract staff, volunteers, visitors, and individuals under its jurisdiction.
- II. The Department has established an outcome-based management system supported by data to improve processes and outcomes for Prison operations (i.e., Results Prisons), which is documented on the Prisons Division Fundamentals Map.
- III. Superintendents will ensure operational memorandums are consistent with and supportive of the <u>Department's Mission</u>, <u>Vision</u>, <u>Values</u>, <u>and Strategic Plan</u>.

### **DIRECTIVE:**

- I. General Requirements
  - A. Facility practices will protect incarcerated individuals from personal abuse, corporal punishment, personal injury, disease, property damage, retaliation, discrimination, and harassment.
    - 1. Employees will take immediate action to:
      - a. Protect individuals when actions are observed or situations are discovered that threaten an incarcerated individual/group.
      - b. Intervene if they observe/discover any adverse action taken against incarcerated individuals or employees for engaging in a legally protected activity.
  - B. Facility practices will ensure equity, diversity, inclusion, respect, and anti-racism are employed at all levels and will provide an environment free of discrimination, harassment, and retaliation for everyone in alignment with the Department's mission and core values.

### II. Responsibilities

- A. The Assistant Secretary for Prisons will:
  - 1. Ensure measures related to each Results Prisons core process are identified to assist in prioritization of strategies and activities.



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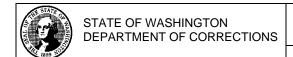
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- 2. Make routine visits and onsite contact at least annually with each facility.
- B. Deputy Assistant Secretaries for Prisons will:
  - 1. Conduct weekly check-ins with Superintendents.
    - Once a month the check-in will include reporting on trends related to violence, food service complaints, and concerns from incarcerated representatives.
  - 2. Attend virtually or in-person facility leadership meetings monthly at assigned facilities.
  - 3. Review quarterly updates posted to the Results Prisons SharePoint site for Results Prisons core processes related to their assigned facilities.
  - 4. Make routine visits and onsite contact at least quarterly, with each assigned facility to:
    - a. Ensure Headquarters familiarity with facility personnel,
    - b. Observe performance related to Results Prisons core processes,
    - c. Provide expectations to facility management teams related to personal conduct, ethics, Department values, and managing a safe, secure, and humane facility,
    - d. Meet with representatives from the incarcerated population, and
    - e. Inspect for sanitation and condition of the facility.
  - 5. Meet annually and as needed with each Superintendent to review performance and share the review with the Assistant Secretary for Prisons.
- C. Each Superintendent will:
  - 1. Establish a facility leadership team containing administrative managers, to include the Health Services Manager and facility Medical Director.
  - 2. Develop and initiate systems, operational memorandums, and programs for all aspects of operating the facility in compliance with Department policies to:
    - a. Ensure employee conduct is consistent with and supportive of Department values.
    - b. Ensure a clean, safe facility.



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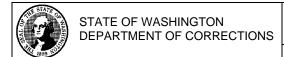
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- c. Strengthen public confidence in the integrity of facility employees by demonstrating and setting the tone for the highest standards of personal and professional integrity, fairness, honesty, and compliance with both the spirit and the letter of the law.
- d. Be independent and impartial in exercising duties, avoiding actions that create even the appearance of using position or authority for personal gain or benefit.
- e. Promote an environment of public trust that is free of fraud, abuse of authority, and misuse of public property.
- f. Respect and protect privileged information to which access is available in the course of official duties.
- g. Model appropriate, ethical, responsible, and respectful behavior to the public, peers, employees, contract staff, volunteers, and incarcerated individuals.
- h. Ensure awareness of and compliance with the Department's code of ethics.
- i. Assess annual employee engagement survey results and take necessary action to positively improve outcomes.
- 3. Provide and encourage training and self-improvement and wellness opportunities to employees.
- 4. Ensure procedures comply with the Collective Bargaining Agreements.
- 5. Ensure information from the Executive Strategy Team and extended leadership is communicated to all employees.
- 6. Facilitate personal contact and interaction between employees and incarcerated individuals.
- 7. Provide 2-way communication between all levels of employees/contract staff and incarcerated individuals.
- 8. Ensure monthly meetings occur between management employees and designated incarcerated representatives.
- 9. Encourage community agencies with which the facility has contact to participate in operational memorandum development, coordinated planning, and interagency consultation.



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- 10. Ensure that no incarcerated individual or group of incarcerated individuals is given control or authority over other incarcerated individuals.
- 11. Meet at least monthly with Unit/Department Heads, including Health Services, Human Resources, Correctional Industries, Records, the Business Office, and other onsite Appointing Authorities.
- D. Unit/Department Heads will meet monthly with their key employees to coordinate efforts and facilitate communication regarding responsibilities.

## III. Outcome-Based Management System

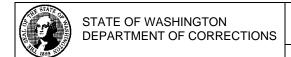
- A. Superintendents will use an outcome-based management system to align day-today operations with the Department's Strategic Plan, Department values, and priorities.
- B. The Superintendent will designate at least one employee for each Results Prisons core process to develop and oversee implementation of improvement strategies. The designated employee(s) will:
  - 1. Collect data, develop analysis, and update core process operational plans quarterly in the Results Prisons SharePoint site.
  - 2. Report quarterly to the facility executive management team and make recommendations for next steps and employee engagement in problem-solving and improvement efforts.
- C. The facility executive management team will review quarterly operational plans and prioritize improvement efforts according to facility need.

## IV. Reporting Requirements

- A. Quarterly updates to core process operational plans will be saved on the Results Prisons SharePoint site.
- B. Superintendents will participate in Command check-ins with their assigned Deputy Assistant Secretary for Prisons.

### V. Management by Walking Around

- A. Superintendents will ensure that each member of the facility management team make unannounced tours of selected areas of the facility at least weekly.
  - Facility management team members will document visits in the logbook for each area toured.



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- a. Each housing unit will be toured weekly during 2<sup>nd</sup> and 3<sup>rd</sup> shifts.
- b. Unannounced rounds of each housing unit will occur on 1<sup>st</sup> shift at least monthly.
- 2. Employees may only alert others that these tours are occurring when necessary for the legitimate operational functions of the facility.
- 3. At a minimum, the following must be toured each week:
  - a. Restrictive housing units,
  - b. Close Observation Areas.
  - c. Food Services, including assessing food quality, menu compliance, and mainline operations,
  - d. Visiting Rooms,
  - e. Health Services,
  - f. Inpatient units, if applicable, and
  - g. Off-site work crews for Level 3 or higher facilities.
    - 1) At Level 2 facilities, each crew will be visited monthly.
- 4. Facility executive management team members will routinely modify their work schedules to conduct tours and interact with employees on all shifts.
- 5. Tours will include observation of performance related to Results Prisons core processes to ensure operational practice is aligned with reported performance.

#### **DEFINITIONS:**

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Retaliation. Other words/terms appearing in this policy may also be defined in the glossary.

ATTACHMENTS:		

None

### **DOC FORMS:**

None