


| | | | | |
|---|---|----------------|--------|-----------|
|  | State of Indiana Indiana Department of Correction | Effective Date | Page 1 | Number |
| | | 9/1/2021 | 21 | 00-04-101 |
| POLICY AND ADMINISTRATIVE PROCEDURE Manual of Policies and Procedures | | | | |

| |
|---|
| Title THE DEVELOPMENT OF POLICY |
|---|

| | | |
|---|--|--|
| Legal References (includes but is not limited to) IC 4-22-2 IC 11-8-2-3 IC 11-8-2-5 | Related Policies/Procedures (includes but is not limited to) 00-00-101 | Replaces: 00-04-101, effective date 5/1/2015 (ED # 15-20) |
|---|--|--|

I. PURPOSE:

The purpose of this policy and administrative procedure is to establish a comprehensive process for the development, approval, and review of policies, administrative procedures, operational procedures, division directives, and facility 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 Department employees, 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, facility directives, division directives, and post orders shall be reviewed annually by applicable employees within the Department.

| | | | |
|--|----------------------------|-----------|-------------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number 00-04-101 | Effective Date 9/1/2021 | Page 2 | Total Pages 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

III. DEFINITIONS:

For the purpose of this policy and administrative procedure, the following definitions are presented:

- 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 employees responsible for specific operations in the facilities (e.g., Health Care Services Directives, Department Emergency Manual, Parole Division Directives, 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 procedures, operational procedures, or post orders. Facility directives may also be developed to implement specific sections of administrative procedures without the need for a full operational procedure.
- E. **OPERATIONAL PROCEDURE:** A prescribed manner for the implementation and operation of a specific facility in accordance with a Department policy and supporting administrative procedure.
- 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 an employee in the Department's Central Office to be Department Policy Manager (DPM) to manage policy and procedure activity within the Department.

The DPM shall:

- A. Serve as a resource person for policy issues;

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 3 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- B. Ensure format consistency, clarity of content, and non-duplicity of information in policies and procedures;
- C. Prepare policy-related items for the Commissioner, Executive Staff, and Division Directors to ensure proper and timely forwarding to the Wardens and Parole District Supervisors;
- 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 facility policy manager for Central Office; and,
- J. Receive operational procedures and facility directives for review and retention.

V. FACILITY POLICY MANAGER:

Each Warden and Parole District Supervisor shall designate an employee to serve as the Facility Policy Manager (FPM). The FPM may be a full or part-time position based upon the needs of the facility.

- A. The designated employee 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 Warden, Parole District Supervisor or designee shall notify the DPM of the name, telephone number and extension, and e-mail address of the FPM and of any changes in this assignment within five (5) business days of any such change.
- C. The FPM shall:
 - 1. Receive policy and procedure proposals and suggestions from staff and offenders relating to policy modifications and prepare these proposals for forwarding to the Warden/ Parole District Supervisor;

| | | | |
|--|----------------------------|-----------|-------------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number 00-04-101 | Effective Date 9/1/2021 | Page 4 | Total Pages 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

2. Maintain copies of all applicable Department policies, administrative procedures, and division directives as well as all facility operational procedures and facility directives;
3. Assist the Warden/Parole District Supervisor in the notification and distribution to staff and offenders, as appropriate, policy and procedure related documents and ensure that each department and its employees have access to any policies and procedures that relate to that department;
4. Assist the Warden / Parole District Supervisor 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, division directives, operational procedures, and facility directives on a monthly basis and ensure appropriate staff has the opportunity to review designated documents; and,
9. Assist in facility audits as requested.

VI. POLICY RELATED CORRESPONDENCE:

- A. Employees generating or receiving correspondence from an external agency or individual relating to policies and/or procedures shall ensure a copy is forwarded to the FPM, 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 an executive directive, administrative procedure, operational procedure, facility directive, or division directive.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 5 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- B. Employees issuing information that impacts the implementation or interpretation of policy or procedures shall consult the DPM prior to distributing such information.
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 correspondence presenting the new information shall be filed in the DPM's office with the appropriate policy/procedure and considered during the next annual review.

VII. EXECUTIVE DIRECTIVES:

An Executive Directive shall present and authorize policy/procedure-related information.

- A. Executive Directives shall specifically identify the policy/procedure to which it relates, if any.
- B. Executive Directives shall be prepared in accordance with Department procedures.
- C. An Executive Directive shall remain in effect until rescinded, superseded, or replaced by another Executive Directive.
- D. An Executive Directive that presents and authorizes a revised policy and administrative procedure shall detail the changes made to the policy and administrative procedure for easy reference.
- E. Executive Directives that present and authorize policies, administrative procedures, or division directives shall be reviewed annually along with the presented, authorized document.
- F. Executive Directives that are not specific to a policy, administrative procedure, or division directive shall be reviewed to determine its present applicability.
- G. The DPM shall maintain the original of all expired or replaced Executive Directives in accordance with applicable records retention schedules.

| | | | |
|--|----------------|------|-------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number | Effective Date | Page | Total Pages |
| 00-04-101 | 9/1/2021 | 6 | 21 |
| Title | | | |
| THE DEVELOPMENT OF POLICY | | | |

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

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

- A. Paper copies of policies and administrative procedures, if used, shall be filed and labeled in the *Manual of Policies and Procedures* as indicated in the "Table of Contents."
- B. Facilities that make policies and administrative procedures available in an electronic format, such as on a local access network or "shared" drive, shall present the policies and procedures in the manner as presented in the "Table of Content."

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 shall be noted:
 - a. In the Executive Directive presenting and authorizing the policy and administrative procedure;
 - b. Directly on the administrative or operational procedure in the upper right hand corner of each page in bold, red font (it is not necessary to use color printers for printouts; and,
 - c. In the Table of Contents for the *Manual of Policies and Procedures* in bold, red font.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 7 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- B. The public and offenders shall have access to all non-restricted documents during normal business hours.
- C. Employees shall have review access to all policies/procedures relating to their work assignments on a twenty-four (24) hour basis.
- D. There shall be a fee assessed for copies made for the public and offenders as determined by the Indiana Department of Administration.
- E. Access to policies and procedures should be granted through the Warden / Parole District Supervisor, FPM or other staff designated by the Warden, Parole District Supervisor, or DPM and shall be in accordance with public records access laws.
- F. Each Warden / Parole District Supervisor shall ensure that all employees have access to policies and procedures necessary for the completion of their assigned duties.
- G. In some cases, the policy and administrative procedure may be considered public information; however, the work product based upon those policies and procedures shall be considered restricted. Those work products determined to be restricted 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" in bold font and file them appropriately.
 - 2. Staff shall be provided sufficient opportunity to review these documents as necessary for job assignments.
- I. Copies of non-restricted policies, administrative procedures, and operational procedures shall be placed in the offender Law Library. Facilities that do not have an offender Law Library shall ensure that the offenders have access to these documents through other appropriate means.
- J. Non-restricted division directives and facility directives may be placed in the offender law libraries at the discretion of the Warden.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 8 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

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.
- K. The Department shall provide the public access to policy documents through its website.
- L. New or revised policies, procedures, operational procedures, and facility directives are disseminated to designated employees and when appropriate, to volunteers and offenders prior to implementation.
- 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, Wardens, Parole District Supervisors, and Facility Policy Managers, as well as the Supervisor responsible for the given area.
 2. Executive Directives, policies and administrative procedures, and division directives shall be distributed via e-mail to all facilities.
 - B. It shall be the responsibility of the Warden / Parole District Supervisor, Division Director, or Central Office Supervisor to ensure that all employees under their authority are made aware of any changes in policies and administrative procedures and that the staff are provided with access to these documents as necessary.
 - C. The FPM 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 shall be distributed electronically.
 2. A copy (paper or electronic) of the *Manual of Policies and Procedures* shall be maintained at a location(s) designated by the Warden and accessible by the offender population (excluding restricted policies). If this *Manual* is electronic, no offender

| | | | |
|--|----------------|------|-------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number | Effective Date | Page | Total Pages |
| 00-04-101 | 9/1/2021 | 9 | 21 |
| Title | | | |
| THE DEVELOPMENT OF POLICY | | | |

shall have access to a computer with access to the Facility LAN or an internet connection.

3. The Warden / Parole District Supervisor 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.

XI. RECOMMENDATIONS FOR NEW OR REVISED POLICIES/PROCEDURE:

A. Anyone may submit policy/procedure recommendations.

1. Such recommendations are to be made in writing and presented to the FPM .
2. It is the responsibility of the FPM to propose the changes to the Warden / Parole District Supervisor as soon as possible.
3. The Warden / Parole District Supervisor shall review the recommendation in order to determine the appropriateness of the recommendation.
4. The Warden / Parole District Supervisor shall approve or deny the proposed changes and cause an approval to be forwarded to the DPM, if the Warden's or Parole District Supervisor's approval impacts a policy, administrative procedure, or division directive.
5. If the recommendation refers to an operational procedure or other facility specific document, the Warden or Parole District Supervisor shall return the recommendation with any comments to the FPM for appropriate action.
6. The public may submit policy recommendations to the DPM.

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(s) shall determine whether the recommendation is appropriate on a Department-wide basis or whether it is specific only to a certain facility.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 10 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

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 within ten (10) business days.
- C. If the Division Director(s) rejects the recommendation or needs further information, the DPM shall return the recommendation to the FPM with appropriate comments. The FPM shall advise the submitting employee 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 draft, the draft shall be placed in final format, an Executive Directive prepared and presented to the Commissioner for approval and signature.

XII. OPERATIONAL PROCEDURES:

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

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 11 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- A. The Executive Directive and the policy and administrative procedure shall specify when operational procedures are necessary for a given policy and administrative procedure.
- B. Operational procedures shall only be necessary when facility-specific detailed instructions are necessary to implement an administrative procedure.
- C. Operational procedures shall follow the format as noted in the policy and administrative procedure.
 1. Only the sections of the policy and administrative procedure that stating operational procedures are necessary or required shall be included in the operational procedures. However, the facility may decide to include Purpose, Policy Statement, and Definitions in the operational procedure for ease of use in the accreditation process.
 2. Operational procedures shall be presented with the headings and format similar to that used for policy and administrative procedure and each page shall be:
 - a. Numbered consecutively;
 - b. Dated;
 - c. Contain the name of the facility; and,
 - d. Contain the name of the policy.
- D. If operational procedures are not necessary, the Warden / Parole District Supervisor or designee shall ensure employees impacted by the policy and administrative procedure are made aware of them and that they are filed in accordance with this policy and administrative procedure and any instructions included in the Executive Directive.
- E. If operational procedures are necessary, the FPM shall contact staff responsible for the areas covered in the administrative procedure for development of operational procedures.
- F. Once the operational procedure is approved by the Warden, it shall be forwarded to the assigned Executive Director of Adult Facilities or the Executive Director of Youth Services, respectively, for review and approval.
- G. If approved, the assigned Executive Director of Adult Facilities / Executive Director of Youth Services shall forward an email to the Warden, with a copy to the DPM, indicating the approval.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 12 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- H. If not approved, the assigned the assigned Executive Director of Adult Facilities / Executive Director of Youth Services shall forward an email to the Warden, with a copy to the DPM, indicating such and recommending revisions to gain approval.
- I. The DPM shall file the approved operational procedure in a format that allows easy retrieval by Executive Staff and Division Directors.
- J. If a member of the Executive Staff or a Division Director determines, after review, that an operational procedure needs revision, the DPM shall be informed of the needed changes and shall communicate the same to the FPM for revision. The revised, signed operational procedure shall be forwarded to the assigned Executive Director of Adult Facilities / Executive Director of Youth Services for approval in accordance with steps F through H, above.
- K. Operational Procedures shall not supersede Court Orders, Settlement Agreements, Indiana Code, or Department policy and administrative procedures.

XIII. REQUEST FOR EXEMPTION FROM POLICY:

Staff, divisions, or facilities may be exempted from a policy, administrative procedure, or section thereof, 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 be approved by the Commissioner or Deputy Commissioner, or may be requested by the affected Division Director or Warden.

- A. The Warden / Parole District Supervisor shall complete and sign State Form 48584, "Request for Exemption from Policy."

The Warden / Parole District Supervisor shall:

- 1. Indicate the specific procedures that are affected by the exemption;
 - 2. Specify why an exemption is necessary;
 - 3. Forward a completed State Form 48584 to the DPM via e-mail.
- B. The DPM shall forward the request to the assigned Executive Director of Adult Facilities, Executive Director of Youth Services, Division Director(s), or Central Office Supervisor for review and approval.
 - 1. If approved by the assigned Executive Director of Adult Facilities, Executive Director of Youth Services, Division Director(s) or Central Office Supervisor, the

| | | | |
|--|----------------|------|-------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number | Effective Date | Page | Total Pages |
| 00-04-101 | 9/1/2021 | 13 | 21 |
| Title | | | |
| THE DEVELOPMENT OF POLICY | | | |

request shall be forwarded 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.
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 and approving signature to the FPM with any special instructions.

XIV. ANNUAL REVIEWS:

All policies, administrative procedures, division directives, operational procedures, and facility directives shall be reviewed on an annual basis.

- A. The facilities, through the FPM, shall review policies, administrative procedures, operational procedures and facility directives in the month prior to the month noted on the document's effective date.
- B. The review shall consider the applicability of the policy, administrative procedure, operational procedure, and facility directive as well as any revisions necessary due to changes in the Department's operation, statutes, and/or case law.
- C. The FPM shall ensure that employees affected by the documents being reviewed are involved in the annual review. This review may be accomplished by committee or other method as approved by the Warden / Parole District Supervisor.
- D. Documentation of the review, including signatures of reviewers, shall be maintained in the office of the FPM.
- E. If the document reviewed is a policy, administrative procedure, or a division directive, any comments or suggestions regarding them shall be forwarded to the DPM by the 10th of the following month (This will be the month noted in the effective date).
- F. In the effective month of the policy, administrative procedure and/or division directive, the DPM shall compile the comments and suggestions received from the facilities for review by the appropriate Executive Staff member, Division Director, or Supervisor.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 14 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- G. The Executive Staff member, Division Director, or Supervisor shall review the comments and suggestions from the field, along with the policy and administrative procedure or division directive and determine which, if any, of the comments and suggestions are to be incorporated in the policy and administrative procedure, or division directive.
- H. The DPM shall incorporate the comments/suggestions that the Executive Staff member, Division Director, or Supervisor has approved into a policy revision draft.
- I. When the revision draft is completed, an electronic version (emphasizing the changes) shall be sent to the appropriate Division Director and Deputy Commissioner.
- J. The Division Director and Deputy Commissioner shall review the revision to ensure its accuracy and completeness.
- K. If the Division Director and Deputy Commissioner approve the revision draft, the DPM shall prepare the revision draft and an Executive Directive for the Commissioner's review and approval.
1. If the Commissioner approves of the revision and Executive Directive, the DPM shall distribute the revision (now an administrative procedure) in accordance with this policy and administrative procedure.
 2. If the Commissioner does not approve the Executive Directive or policy and administrative procedure, the DPM shall notify the appropriate Division Director and Deputy Commissioner for further revisions.
- L. If it is determined upon review that a policy and administrative procedure do not need to be revised, the DPM shall forward a notice to the contributing FPMs indicating that the policy and administrative procedure has been reviewed and no changes are being made. This shall be accomplished through an annual report from the DPM by the 15th of July.
- M. If changes are made in a policy and administrative procedure, the new or revised policy and administrative procedure and authorizing Executive Directive shall serve as the notice that the policy and administrative procedure has been reviewed.
- N. If, during the review, it is determined that an operational procedure or facility directive needs revised, the FPM shall incorporate the needed revisions into a draft and seek approval in accordance with Sections XII and XVI.

XV. DIVISION DIRECTIVES:

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 15 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

A Division Director may determine that specific guidelines or instructions not appropriate for including in a policy/administrative procedure are necessary. In 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 a policy and administrative procedure.
- 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 an Executive Directive that authorizes and presents the division directive.
- G. The originals of the division directive and authorizing Executive Directive shall be maintained by the DPM for easy retrieval and inclusion into the *Manual of Policies and Procedures*.
- H. Division directives shall be filed by the facilities in a manner convenient for easy retrieval in the *Manual of Policies and Procedures*
- I. Access to these documents shall be in accordance with Procedure IX.

XVI. FACILITY DIRECTIVES:

Facilities may develop specific instructions that are not addressed in administrative/operational procedures and are beyond the scope of post orders. These documents shall be facility directives and shall be approved by the Warden prior to implementation.

- A. When the Warden determines that a facility directive is necessary, the FPC shall be notified.
- B. The procedure for the development and approval of facility directives shall be the same as that used in the development of operational procedures.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 16 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

- C. Facility directives shall have the facility name and "Facility Directive" placed at the top of the first page and on all subsequent pages.
- D. 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).
- E. Once the facility directive is approved by the Warden, it shall be forwarded to the assigned Executive Director of Adult Facilities or the Executive Director of Youth Services, respectively, for review and approval.
- F. If approved, the assigned Executive Director of Adult Facilities/Executive Director of Youth Services shall forward an email to the Warden, with a copy to the DPM, indicating the approval.
- G. If not approved, the assigned Executive Director of Adult Facilities/Executive Director of Youth Services shall forward an email to the Warden, with a copy to the DPM, indicating such and recommending revisions to gain approval.
- H. The DPM shall file the facility directive in a format that allows for easy retrieval by Executive Staff and Division Directors.
- I. If a member of the Executive Staff or a Division Director determines, after review, that a facility directive needs revision, the DPM shall be informed of the needed changes and shall communicate the same to the FPM for revision. The revised, signed facility directive shall be forwarded to the assigned Executive Director of Adult Facilities/Executive Director of Youth Services for approval in accordance with steps E through G, above.
- J. Facility directives shall be reviewed annually by the facility and may be incorporated into operational procedures, if applicable.
- K. Facility directives shall not supersede Court Orders, Settlement Agreements, Indiana Code, or Department policy and administrative procedure.

XVII. 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.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 17 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

1. Introduction (letter from Warden) addressing:
 - The control/handling of Post Orders
 - The index for the Post Order folders
 - Addendums to the Post Orders
 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
 - a. Guidelines
 - b. Chronological listing of duties
 4. Instructions on accessing any pertinent administrative / operational procedures / facility directives impacting the Post Orders.
 5. Other pertinent information regarding the daily operation of the post and which may include information from the Warden or Custody Supervisor which rescinds a previously issued order.
 6. Reference material (e.g., radio, telephone numbers, etc.)
 7. There shall be no handwritten changes included in the Post Orders
- B. The Custody Supervisor, working closely with the FPM, shall have the responsibility of developing, maintaining, and reviewing all post orders to ensure current practices are reflected.
- C. The Custody Supervisor shall enlist the assistance of any employee necessary in the development, revision, and review of post orders.
- D. The Deputy Warden of Operations (or equivalent) shall review post orders prior to submission to the Warden.
- E. The Warden shall review, approve, and sign all post orders before implementation.
- F. Post orders shall be written so that routine procedures and special duties at a Custody post are described fully.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 18 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

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.
- G. 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.
- H. Post Orders shall be prepared on State Form 2598, "Post Orders," and copies of all post orders shall be maintained in the following locations:
- Warden's Office
 - FPM's Office
 - Custody Supervisor's Office (Master Copy)
 - Shift Supervisor's Office
 - The impacted post
 - Staff Development and 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 FPM's offices, in an electronic format (such as on a facility network), the facility may reduce the number of "paper" copies required.
- I. At least one (1) copy of the post orders shall be maintained in such a manner that employees 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.
 - 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.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| Number | Effective Date | Page | Total Pages |
|---|----------------|------|-------------|
| 00-04-101 | 9/1/2021 | 19 | 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

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 employees shall have access to any post order that may impact their area(s) of responsibility.
 4. There shall be no discussion of post orders with offenders, or with staff in the presence of offenders.
- M. The Warden shall be responsible for ensuring that all necessary employees have access to and understand post orders.
1. Employees shall be advised as to the manner in which they shall have access and may review post orders.
 2. Whenever an employee is assigned to a new post or when post orders for an assigned post are revised, they are to read the applicable post orders as soon as practicable, but no later than by the end of the shift. The employee shall sign and date in the appropriate section that they have read the appropriate post order.
 3. The employee shall be required to sign and date that they have read and understand the post order(s) necessary for the assigned posts. State Form 39293, shall be used for this purpose and filed with the post orders.
 4. State Form 39293 shall be replaced quarterly with a new dated form and the completed form forwarded 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 Warden. 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.

POLICY AND ADMINISTRATIVE PROCEDURE

Indiana Department of Correction

Manual of Policies and Procedures

| | | | |
|---|----------------------------|------------|-------------------|
| Number 00-04-101 | Effective Date 9/1/2021 | Page 20 | Total Pages 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

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 FPM to ensure there is no conflict with any administrative procedures, operational procedures, division directives, or facility directives.
4. If both the Custody Supervisor and the FPM believe that the recommended changes are appropriate, they shall submit the revised post order to the Deputy Warden of Operations, or equivalent, for review.
5. If the Deputy Warden of Operations or equivalent approves, the revised post order shall be submitted to the Warden.
6. If approved by the Warden, the FPM and the Custody Supervisor shall ensure that the revised post orders are distributed to all staff who have copies of the post orders and the old version is removed and destroyed.

XVIII. STAFF KNOWLEDGE AND UNDERSTANDING OF POLICIES AND PROCEDURES:

It is the ultimate responsibility of the Warden and Division Director to ensure that all employees under their supervision are given the opportunity to read and become familiar with all policies/procedures that are applicable to the employee's assigned duties.

- A. The Division Director, Warden or designee, and the facility department heads shall review each policy/procedure to determine which employees simply need to be made aware of the policy/procedure and which employees will require a more in-depth review and understanding.
- B. The amount of review and understanding necessary shall be governed by the employee's assigned duties and responsibilities.
- C. The Division Director and Warden / Parole District Supervisor shall ensure that all employees 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.
- D. 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 employees under their supervision of the documents and instruct the employees as to how

| | | | |
|--|----------------------------|------------|-------------------|
| POLICY AND ADMINISTRATIVE PROCEDURE | | | |
| Indiana Department of Correction | | | |
| Manual of Policies and Procedures | | | |
| Number 00-04-101 | Effective Date 9/1/2021 | Page 21 | Total Pages 21 |
| Title THE DEVELOPMENT OF POLICY | | | |

they may be viewed.

- E. Staff shall be made aware of the new document and shall be given the opportunity to review it and ask questions.
- F. Each employee shall be accountable for reviewing and understanding all policies, procedures, facility and division directives, and post orders necessary to complete their assigned duties.
- G. Employees are 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.
- H. Periodically, the DPM, in conjunction with the Division of Staff Development and Training, may conduct a training session for employees who are required to write administrative/operational procedures.

XIX. APPLICABILITY:

This policy and administrative procedure are applicable to all Department facilities and staff.

signature on file
Robert E. Carter, Jr.
Commissioner

Date