



*State of North Carolina
Department of Correction
Division of Prisons*

Chapter: A
Section: .0600
Title: **Policy & Procedure
Development**
Issue Date: 01/16/08
Supersedes: 09/13/07

POLICY & PROCEDURES

.0601 GENERAL

The Director of Prisons or designee is responsible for developing and maintaining the agency's operation manuals. These manuals include policies, procedures, rules, and regulations of the agency.

The Director of Prisons or designee is responsible for consulting with other criminal justice and community services agencies in the formulation of agency policies and procedures.

.0602 PURPOSE

The purpose of this policy is to provide guidelines and instructions for the development of internal policies and procedures. This policy provides definitions, responsibilities and the process related to the development of Division of Prisons all policies and procedures.

.0603 SCOPE

These procedures govern the developmental process for the Division of Prisons Policy and Procedures Manual.

.0604 DEFINITIONS

- (a) Draft. A draft is a preliminary working document that does not compel action. This document is published and distributed for the sole purpose of allowing review and receiving comments from designated staff within the Division. Draft documents will be clearly marked with "DRAFT" and the date of the draft on each page.
- (b) Interim. An interim policy is a policy issued prior to the final version. Interim policy is binding on all agency staff and will be considered official policy until the final version of the policy is issued. Interim documents will be clearly marked with "INTERIM" and the effective date of the interim policy on each page.

.0605 POLICY AND PROCEDURE DEVELOPMENT

- (a) Initiation. Staff may request policy and procedure revisions and/ or additions. All recommendations for development or revision of policies will be submitted to the Director of Prisons through the chain of command. Requests for policy development will be sent through the Region Director to the Director's office. Policy initiated by division level staff will be sent to the Director's office through section chiefs and assistant directors as appropriate.

- (b) Recommendation. Every recommendation for policy and procedure development will identify the staff submitting the recommendation and the particular development action recommended. Justification for policy and procedure development and the proposed content must be provided. A draft document is not required.
- (c) Assignment
 - (1) The Director of Prisons or designee will assign a staff member to draft a new policy and procedure or revisions to an existing policy and procedure.
 - (2) This assignment will be sent initially to the Division's policy coordinator who will, if necessary, assign the section number for the draft.
 - (3) The policy coordinator will forward the assignment for policy and procedure development to the staff assigned by the Director with copies distributed to the region directors, assistant directors, facility head, or manager of the staff assigned to the policy and procedure development.
 - (4) The draft document will be completed and submitted to the policy coordinator within specified time frames.
- (d) Review
 - (1) Upon completion of a policy and procedure draft, the policy coordinator will file with the operational and technical support desk a copy of the completed draft document for inclusion on the automated policy and procedures section of the Division of Prisons' web page. This document will be displayed with "draft" and date of the draft policy clearly visible on each page.
 - (2) The policy coordinator will send an e-mail to wardens, administrators, superintendents, assistant superintendents, administrative officers and other DOC and DOP staff designated to receive such notification advising them that a draft policy and procedure has been posted on the automated policy and procedures section of the Division of Prisons' web page.
 - (3) All draft policies with substantive changes or additions will be sent to the Correction Section of the Attorney General's Office for review. Exceptions will be approved by the Director.
 - (4) Region directors, assistant directors, superintendents, division and facility staff are encouraged to submit comments and recommendations during the policy and procedure draft review period directly to the author of the draft policy. The author will provide an overview if the comments and recommendations to the Director and/or region directors.

(e) Authorization Review

- (1) After the draft review period has expired, the author will make appropriate revisions and forward the revised draft policy to the policy coordinator with copies of all recommendations and comments received during the draft review period.
- (2) The author of the draft policy and the policy coordinator will present the final draft version to the Director and region directors. Final revisions will be made by the policy's author and submitted to the policy coordinator for final action approval by the Director.

(f) Annual Review

- (1) The Director of Prisons or designee is responsible for reviewing the Division of Prisons Policy and Procedures Manual annually and updating it as necessary.
- (2) The annual review date will be displayed on the Division of Prisons, Policy and Procedures web page and written documentation maintained by the policy coordinator.

(g) Distribution

- (1) After the Director has approved the policy and procedure addition or revisions, the policy coordinator will forward a copy of policy and procedure addition or revision to the operational and technical support desk for filing on the automated policy and procedures section of the Division of Prisons' web page.
- (2) The policy coordinator will send an e-mail to wardens, administrators, superintendents, assistant superintendents, administrative officers and other DOC and DOP staff designated to receive such notification advising them that a policy and procedure addition or revision has been posted on the automated policy and procedures section of the Division of Prisons' web page.
- (3) It will be the responsibility of designated staff at each location to print the revised policy and make and distribute copies.
- (4) Facility heads will be responsible for ensuring that policy and procedure manuals are located in areas that are generally accessible to staff. At a minimum, facility heads will ensure that at least one (1) printed copy of the policy and procedure manual is located in an area accessible to staff on a 24-hour, 7 day per week basis.
- (5) Facility heads will be responsible for notifying all staff of their ability to access the policy and procedures manual through purchase of a manual or access online through the Division's of Prisons web page.

- (6) Employees may purchase a policy and procedures manual by sending a money order or certified check payable to N.C. Department of Correction. Personal checks will not be accepted. The money order or certified check and the employee's name, position number, and facility assigned to should be sent to the following address:

Management Services Section
831 W. Morgan Street
4270 MSC
Raleigh, NC 27699-4270

The cost for the manual will be determined by the Director of Prisons. The section can be contacted in writing at the address above or by telephone at (919) 838-4000 for the current cost of the policy and procedures manual.

.0606 PUBLIC AND INMATE ACCESS

- (a) Members of the general public and inmates may purchase copies of the policy and procedures manual by contacting the Management Services section of the Division of Prisons. Inmates and members of the general public may purchase the contents of the manual only by sending a certified check or money order payable to the N.C. Department of Correction to the following address:

Management Services Section
831 W. Morgan Street
4270 MSC
Raleigh, NC 27699-4270

- (b) Inmates must include their name and OPUS number with the money order or certified check. The section can be contacted in writing at the address above or by telephone at (919) 838-4000 for the current cost of the policy and procedure manual.

.0607 EXCEPTIONS

- (a) The Director, in his discretion, may make exceptions to these procedures and issue policies, interim policies or administrative directives as necessary and appropriate to accomplish agency goals. These exceptions may or may not follow the normal review process as outlined in this policy.
- (b) The Director may initiate policy and procedure development, in lieu of other recommendations for action, or simultaneously with issuance of an administrative directive.

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- (c) Unless the Director of Prisons or designee otherwise directs, the provisions and process outlined in this policy shall govern the development, issuance, and maintenance of policies and procedures in the Division's Policies and Procedures manual.

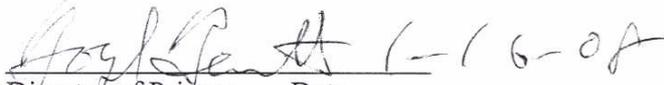
.0608 DIVISION OF PRISONS ADMINISTRATIVE MANUALS

- (a) Division of Prisons, Administrative Manuals, must include an introduction or section in the manual that outlines the Central Manager responsible for the manual, its' purpose, and the procedures for development and review. These manuals include:
- (1) Case Managers Resource Manual
 - (2) Diagnostic Center Procedural Manual
 - (3) Food Services Manual
 - (4) Health Care Manual
 - (5) Program Services Manual
 - (6) Religious Practices
 - (7) Security Manual
- (b) The procedures should include a similar process of development, review, and distribution as outlined for the Division of Prisons Policy and Procedures Manual.
- (c) Central Management staff responsible for a Division of Prisons Administrative manual shall notify the Director of Prisons annually that their manual has been reviewed and updated accordingly. This review must be submitted in writing and a copy maintained in the front of the master manual.
- (d) Facility heads will be responsible for ensuring that all Administrative manuals are located in areas that are generally accessible to staff. At a minimum, facility heads will ensure that at least one (1) printed copy of the each manual is located in an area accessible to staff on a 24-hour, 7 day per week basis.
- (e) Facility heads will be responsible for notifying all staff of their ability to access all Administrative manuals online through the Division's of Prison web page.

.0609 FACILITY STANDARD OPERATING PROCEDURES MANUAL

- (a) Each facility is responsible for developing facility policies and procedures for operating and maintaining the facility. The manual must be made accessible to all employees, volunteers, and the public. (4-4012/4-4013)
- (b) Any new or revised policies must be made accessible to all necessary employees, volunteers, and when appropriate inmates prior to implementation of any operational or procedural changes. (4-4014)

- (c) The facility standard operation procedures manual must be reviewed annually by the facility head and updated as needed. Written documentation of this review must be sent to the Region Director and a copy filed in the facility's SOP manual. (4-4012/4-4013)
- (d) Employees, volunteers and outside criminal justice professionals shall participate in the formulation of facility policies, procedures, and programs. Participation may be accomplished through staff meetings, suggestion programs, community resource councils, employee committees or similar formats. (4-4004)
- (e) Community agencies with which the facility may have contact should also be encouraged to participate in policy developments, coordinated planning, and interagency consultation. Interaction can take place in a variety of venues and forums including but not limited to staff meetings, training sessions, committees, conferences, and special events. (4-4005)



Director of Prisons Date

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