



**STATE OF MONTANA  
DEPARTMENT OF CORRECTIONS  
POLICY DIRECTIVE**

Policy No. DOC 1.1.2	Subject: <b>POLICY MANAGEMENT SYSTEM</b>
Chapter 1: ADMINISTRATION AND MANAGEMENT	Page 1 of 4
Section 1: General Administration	Effective Date: May 1, 1996
Signature: /s/ Mike Batista, Director	Revised: 07/27/2015

**I. POLICY**

The Department of Corrections develops and manages policy to meet statutory obligations, promote professionalism, and ensure consistency and operational compliance in fulfilling the purpose and mission of the Department.

**II. APPLICABILITY**

All divisions, facilities, and programs Department-owned and contracted, as specified in contract.

**III. DEFINITIONS**

Administrator – The official, regardless of local title (division or facility administrator, bureau chief, warden, superintendent), ultimately responsible for the division, facility or program operation and management.

Glossary of Terms – A compilation of standard definitions used in Department policy.

Policy Archives – The paper and electronic storage locations of all revised or obsolete Department, division, facility or program policies and procedures.

Policy Directive – A Department of Corrections internal management document that provides the standards by which Department divisions, facilities, and programs will operate.

Policy Unit – The office of the staff position located in the Quality Assurance Office that administers all policy-related matters for the Department to ensure policy and procedures are developed and managed in accordance with the provisions of this policy.

Policy Unit Standard Operations Procedure Guide – A manual containing procedural information including, but not limited to, development, implementation, and review of Department policies and procedures.

Procedure – An internal management document developed at the Department, division, facility, or program level that provides staff with direction on how to implement a Department policy, required action, or program.

Subject Matter Expert (SME) – The administrator or designated staff member, representing a division, facility, or program to coordinate with the Policy Unit to ensure accurate and timely policy review and revision.

**IV. DEPARTMENT DIRECTIVES**

**A. Policy Management System**

1. Department policy guides all Department divisions, facilities, and programs.
2. The policy management system will govern the development, review, revision, and publication of all Department policy and corresponding procedures.
3. The Policy Unit establishes processes and requirements to manage the Department policy management system and oversees the functions of the Policy Unit; the responsibilities of the Policy Unit include, but are not limited to, the following:
  - a. develop policy to meet the Department director's goals and objectives and fulfill statutory requirements;
  - b. coordinate, track, and record the annual policy review;
  - c. serve as the primary resource for questions, concerns, and issues regarding policy;
  - d. provide training and assistance to staff assigned to review policy and develop procedures;
  - e. act as the central repository for all Department policy;
  - f. maintain a Policy Unit Standard Operations Procedure Guide; and
  - g. respond to employee and public requests related to Department policy.

**B. Policy and Procedure Access**

1. All Department policies and procedures are accessible to Department employees.
2. Department policies and procedures will be accessible to offenders and the public unless restricted based on a legitimate penological interest in accordance with the statutory authority of *2-6-102, MCA*. The Policy Unit may grant non-Department employees access to restricted policies and division administrators may request access for non-Department employees by submitting a request to the Policy Unit.

**C. Policy and Procedure Requirements**

1. Department policy will be written in accordance with the standards outlined in *DOC 1.1.2A Policy Unit Standard Operations Procedure Guide*.
2. All procedures will be written according to standard formats and use language and definitions consistent with Department policy in compliance with the Policy Unit Standard Operations Procedure Guide unless the Policy Unit approves an exception.

**D. Review and Revision Process**

1. Administrators and subject matter experts (SMEs) are responsible for conducting an annual review of current Department policies in accordance with the annual review schedule.
2. SMEs will coordinate with the Policy Unit to ensure:
  - a. accurate and timely policy development, review, revision, and distribution; and
  - b. compliance of procedures with Department policy directives.
3. Department employees may comment or suggest revisions on Department policy at any time to the Policy Unit.

Policy No. DOC 1.1.2	Chapter 1: Administration and Management	Page 3 of 4
Subject: <b>POLICY MANAGEMENT SYSTEM</b>		

4. The Policy Unit will review submitted comments, discuss potential revisions with affected division or facility administrators, when applicable, and consider the inclusion of recommendations into a revised policy.
5. In accordance with *DOC 1.1.2A Policy Unit Standard Operations Procedure Guide*, the Policy Unit will facilitate the consistent review of policies through the following primary revision processes:
  - a. annual review;
  - b. management team review;
  - c. changes elicited from a work group;
  - d. clinical review; and
  - e. union review.

#### **E. Policy Publication**

1. The Policy Unit will update and maintain a Policy News Page on the Internet and Intranet informing staff and public of new or revised policies.
2. Designated division and facility staff will ensure that all unrestricted procedures are published on the Department's Intranet website.
3. Administrators and supervisors will inform employees of policy and procedure changes and may require signatures to indicate employee awareness of new information; it is the responsibility of affected staff to read and understand the provided information.

#### **F. Records and Archives**

1. The Policy Unit, and designated division and facility staff are responsible for the permanent retention of their respective policies and procedures, and will maintain:
  - a. the original signed copies of all policies and procedures;
  - b. current policies and procedures in electronic format;
  - c. archived policies and procedures in electronic format and available to the Department's Legal Services Bureau staff;
  - d. a record of policy development, review, revision, and approval;
  - e. current and archived Department glossary of terms and medical glossary; and
  - f. archived notices of rescinded Department policy.

#### **G. Procedures**

1. The Department's Quality Assurance Office will monitor procedures and manuals to ensure compliance with Department policy.
2. Administrators and designated staff responsible for procedure management will:
  - a. ensure that procedures do not duplicate nor conflict with Department policy directives;
  - b. ensure that procedures provide details of how to implement Department policy;
  - c. provide staff attorneys with the opportunity to review procedures for potential risk or liability to the Department prior to final approval;
  - d. inform the Department's Policy Unit of all intended substantial modifications or

Subject: **POLICY MANAGEMENT SYSTEM**

additions to procedure;

- e. ensure procedures are reviewed, approved and signed by the authorizing administrator;
- f. conduct an annual review of restricted and unrestricted procedures;
- g. review policy revisions announced on the Policy News Intranet page;
- h. complete necessary revisions to corresponding procedures within 30 days of policy revision;
- i. ensure all approved new or updated procedures are posted on the Department's Internet website; and
- j. ensure relevant Department policy, procedures, and related information are maintained in operations manuals available to staff at designated facility locations.

## V. CLOSING

Questions concerning this policy should be directed to the Department's Policy Unit.

## VI. REFERENCES

- A. 2-6-102, MCA; 2-15-112, MCA; 53-1-203, MCA
- B. 4-4004, 4-4005, 4-4012, 4-4013, 4-4014; *ACA Standards for Adult Correctional Institutions, 4<sup>th</sup> Edition*
- C. 3-JTS-1A-17, 3-JTS-1A-18, 3-JTS-1A-19; *ACA Standards for Juvenile Correctional Facilities, 2003*
- D. *DOC Policy 1.1.1 Purpose, Mission and Management Philosophy*
- E. *DOC 1.1.2A Policy Unit Standard Operations Procedure Guide*

## VII. ATTACHMENTS

None