



POLICY DIRECTIVE

Policy:	DOC 1.1.2 POLICY AND PROCEDURE MANAGEMENT	
Effective Date:	05/01/1996	Page 1 of 3
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Signature/Title:	/s/ Eric Strauss, Director	

I. POLICY

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

II. APPLICABILITY

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

III. DEFINITIONS (see Glossary)

Definitions of terms that are not defined in the context of the policy or procedure may be found in the Glossary, unless they must be listed in the Definitions area of the policy or procedure:

1. as determined by a Bureau Chief, Associate Warden, or higher; or
2. as directed by Legal Services staff, a court determination, a legal settlement, or other binding requirement.

IV. REQUIREMENTS

A. Policy and Procedure Management

1. This policy governs the development, review, revision, approval, publication, and rescission of Department policies and procedures.
2. The Policy Unit:
 - a. develops policies and procedures to meet the Department Director's goals and objectives and fulfill statutory, rule, and other legal requirements;
 - b. formats, revises, and publishes policies and procedures;
 - c. processes rescissions of policies and procedures;
 - d. serves as a contact for issues, requests, questions, and concerns about policies and procedures; and
 - e. assists employees designated to implement or comply with policies and procedures.
3. Policies provide direction and guidance for the Department and may be written to include procedural requirements.
 - a. Procedures will be created or maintained when there is a specific need that cannot reasonably be met in a policy or through training.
4. The applicable Bureau Chief, Associate Warden, or higher will notify the Policy Unit when intending to:
 - a. create a policy or procedure;
 - b. substantively revise a policy or procedure; or
 - c. rescind a policy or procedure.

B. Policy and Procedure Access and Restrictions

1. For Department employees:
 - a. policies and procedures, including restricted policies and procedures, are accessible online; and
 - b. they may not disseminate or share restricted policies or procedures outside the Department without consent from a Bureau Chief, Associate Warden, or higher.
2. For individuals outside the Department:
 - a. policies and procedures are accessible online unless restricted in accordance with 2-6-1003, MCA; and
 - b. a requestor may email [opir\(at\)mt.gov](mailto:opir(at)mt.gov) to request restricted policies and procedures.

C. Policy and Procedure Development and Revision Process

1. To request a new policy or procedure or to substantively revise an existing policy or procedure, a Bureau Chief, Associate Warden, or higher emails a request to [corpolicy\(at\)mt.gov](mailto:corpolicy(at)mt.gov) with:
 - a. identified topics or subjects needing development or revisions;
 - b. scope;
 - c. justification;
 - d. two or more designated Subject Matter Experts (SMEs) to assist the Policy Unit;
 - e. a statement indicating whether rescission is needed; and
 - f. timelines or deadlines for implementation and/or completion.
2. If a request is for a **minor** revision that does not change the substance of a policy or procedure and a Bureau Chief, Associate Warden, or higher approves the request, the Policy Unit implements the revisions and publishes the revised policy or procedure online.
3. Substantive requests are reviewed and must be approved by an Executive Team member prior to the Policy Unit initiating the policy and procedure drafting process.
4. The Policy Unit facilitates the drafting process with the designated SMEs, who provide content and context for the policy or procedure.
5. The Policy Unit sends the draft to the policy review group and Legal Services for a 15-business-day review period.
 - a. Group members can delegate review to their divisions, bureaus, or units and to employees and affected stakeholders of their choosing.
 - b. Reviewers should add comments directly to the draft or email them to [corpolicy\(at\)mt.gov](mailto:corpolicy(at)mt.gov).
 - c. If there is a policy, procedure, contract, or binding agreement in place that specifies a different period for review, that specified period applies.
 - d. An Executive Team member may waive the 15-business-day review requirement due to exigent circumstances.
6. After the policy group review and legal review, the Policy Unit:
 - a. updates the draft as necessary;
 - b. sends it to the Executive Team for approval; and
 - c. sends it for final signed approval by the applicable Executive Team Member.
7. After the policy or procedure is approved, the Policy Unit publishes it online consistent with the effective date and distributes it to applicable individuals.
 - a. When a policy or procedure requires training and/or a later implementation date, the Policy Unit sends it to the appropriate staff to handle the training, implementation, and/or distribution process.
8. Supervisors are responsible for ensuring employees review, understand, and comply with applicable policies and procedures.

9. For policy or procedure **rescission** recommendations, the Policy Unit will complete rescission paperwork with the requestor as applicable and forward the paperwork to Legal Services, which will determine whether rescission is appropriate.
 - a. Policy rescissions are approved by the Department Director or applicable Executive Team member.
 - b. Procedure rescissions are approved by an Executive Team member.

D. Records and Archives

1. The Policy Unit is responsible for maintaining the following in electronic format:
 - a. current policies and procedures;
 - b. archived policies and procedures;
 - c. records of policy and procedure approval and publication;
 - d. current and archived glossaries and lists of acronyms; and
 - e. notices of rescinded policies and procedures.

E. Forms

1. For forms created specifically for policies and procedures:
 - a. Such forms are not revised by anyone other than staff of the Policy Unit.
 - b. The Policy Unit is responsible for new forms and revisions to forms.
 - c. For a new form or form revision request, staff will email [corpolicy\(at\)mt.gov](mailto:corpolicy(at)mt.gov).
 - d. Processes and requirements for forms are the same as for policies or procedures, except:
 - 1) signed approval is not required; and
 - 2) as determined otherwise by a member of the Executive Team.

F. Designees

1. To ensure continuity of operations, when a policy, procedure, or form specifies that an employee has a duty, that specified employee's designee (if any) is allowed to perform the duty:
 - a. when delegated in writing;
 - b. when the designee is authorized and qualified to perform the duty; and
 - c. unless the context or language of the policy, procedure, or form expressly limits performance to that specified employee or delegation of the duty is otherwise prohibited by law.

V. CLOSING

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

VI. REFERENCES

- A. §§ 2-6-1003, 2-15-112, and 53-1-203, MCA