

**North Carolina Department of Public Safety**  
**Prisons**  
**Policy Summary Sheet**



**Policy & Procedure Development**

**Chapter: A**

**Section: .0600**

**Current Review Date:**

**November 03, 2020**

**Reviewed By:**

**Performance and Standards Section**

**Next Review Due:**

**November 03, 2021**

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**Current Revision Date:**

**November 03, 2020**

**Supersedes Revision Dated:**

**August 06, 2018**

**Current Revision Summary (if applicable):**

**Added:** References Related ACA Standard

5th Edition Standards for Adult Correctional Institutions 5-ACI-1A-05, 5-ACI-1A-06, 5-ACI-1A-11, 5-ACI-1A-12, 5-ACI-1A-13, 5-ACI-1A-14, 5-ACI-1A-23, 5-ACI-5B-18, 5-ACI-6D-10

All current changes are highlighted in turquoise. General changes throughout policy include changing “Facility Head” to “Warden,” “Inmate” to “Offender, and “Director” to “Commissioner” Other minor grammatical corrections made where necessary.

**Specific Changes**

**.0601 GENERAL**

Page 1 Added additional verbiage to the second paragraph “All policies will be managed by the Division of Prisons Performance and Standards section in conjunction with the NCDPS Office of Policy Development and Strategic Planning.”

**.0603 SCOPE**

Page 1 Additional verbiage added to sentence “Memorandums should not be used to communicate policy. Should it become necessary, an interim policy will be issued.”

#### **.0604 DEFINITIONS**

Page 2 (b) Added “Policy” Removed “prior to the final version and issuance of a policy. An” and added “after a policy is approved and published but requires and immediate change. Any.”

Page 2 (c) Removed “and has also been assigned reviewer authority for policy or operations manuals.” And added “This includes coordinating Health Services policy, Standard Operating Procedures for Correctional Enterprise, and all other manuals.”

Page 2 (d) Removed “Management Process” and added “and Procedure Development and Management”

Page 2 (e) Removed “Policy Owner,” “Any employee assigned to write, revise, and/or maintain a policy draft,” and added “Office of Primary Responsibility (OPS)” and “The director’s office, or subsection, assigned to write, revise, and/or maintain a policy draft and to complete the annual review. The OPR will coordinate information with the Policy Coordinator.”

Page 2 (f) Added additional verbiage “Requests for variances shall be coordinated by the agency Policy Coordinator and reviewed by those impacted by the variance. All variances shall be signed by the Commissioner of Prisons.”

#### **.0605 Policy**

Page 2 Additional verbiage added “accreditation standards”

#### **.606 POLICY AND PROCEDURE DEVELOPMENT**

Page 3 (a) Removed “policy initiated by Prisons level staff will be sent to the Director’s Office, section chiefs, Deputy Directors, and Assistant Directors as deemed appropriate,” and added “who through the Policy Coordinator will forward the suggestion to the appropriate director,” The Policy Coordinator will ensure the staff member who requested policy changes receives communication regarding the final disposition of the suggested policy.”

“Once a year, Community Volunteers will be afforded the opportunity to submit comments regarding existing policy or request additional policy which falls within their volunteer responsibility. If a community volunteer makes a policy recommendation, it is to be reviewed by the sponsoring staff member and the Warden of the facility. If the recommendation is deemed to have merit, it will be forwarded to the Policy Coordinator through the Region Director. Community

volunteers who make policy recommendations will receive communication regarding the disposition of their suggestion.”

“If a private citizen or member of a community organization makes a policy recommendation in writing to the Commissioner of Prisons, it will be considered. The Director having responsibility will record the request, and respond to the member of the public or the community organization as to the disposition of their request.”

Page 3 (b) Removed title “Recommendation” and paragraph “All recommendations for policy and procedure development will identify the staff submitting the recommendation and the particular development action recommended. Justifications for policy and procedure development including proposed content revisions must be provided.” Modified the (c) to (b) Assignment from previous policy. Removed verbiage for (1) from “Policy Owner or a committee of subject matter experts” to “The OPR may decide to establish a group of subject matter experts from all” and “developed with a goal to ensure inter-disciplinary implementation.”

Page 3 (b) (2) removed “to the policy Owner” and “the section” and added “policy.”

Page 3 (b) (3) Added new verbiage “The Policy Coordinator will in consultation with the OPR decide a target date for policy development or modifications to be completed.”

Page 3 (b) (4) Modified by removing verbiage from previous (3) which stated “Policy Owner assigned by the Director of Prisons or designee with copies distributed to the region directors, assistant director, facility head, or manager of the staff assigned to the policy and procedure development” and added “The OPR. Once a draft policy is ready for review, the OPR shall forward the draft for comment to other relevant sections. At their discretion, they may forward the draft to others for comment, including, but not limited to, Directors, Region Directors, and Wardens. The OPR shall provide a date for the review to be complete. All recommendations will be forwarded to the OPR. A final draft shall incorporate those recommendations deemed reasonable. The OPR will forward any final draft with all background material to the responsible Director” was added at the end of this paragraph.

Page 4 (c) (1) Removed “with such standards” and added additional verbiage “These solicitations are to be documented” and “Laws.”

Page 4 (c) (2) Removed “The draft document will be completed and submitted to the Prison Policy Coordinator within time frames as specified by the Director of Prisons.” Replaced with “A Policy Impact Analysis will be completed for all new or revised policies and/or operations manuals. It is the responsibility of the OPR to complete the required Policy Impact Analysis before submitting the new or

revised policies and procedures to the Policy Coordinator. The Policy Impact Analysis will provide a summary of major revisions made to the policy, the factors supporting the revisions, and the anticipated impact on Prison and/or NCDPS operations to include changes to required staffing or resources. A Policy Impact Analysis is attached”

Page 4 (d) Deleted the “Review” section: “(1) Upon the completion of a policy and procedure draft, the Prisons Policy Coordinator will send, via e-mail, an attachment of the draft policy to Region Directors, Facility Heads, and Prison staff as identified by the Policy Coordinator to receive such notifications.” “(2) Deputy Directors, Region Directors, Assistant Directors, Facility Heads and facility staff are encouraged to submit comments and recommendations during the policy and procedure draft review period directly to the Policy Owner of the draft policy. The Policy Owner will provide an overview of the comments and recommendations to the Director and/or Region Directors.” “(3) A Policy Impact Analysis will be completed for all new or revised policies and/or operations manuals. It is the Policy Owner’s responsibility to obtain the required Policy Impact Analysis approvals before submitting the new or revised policies and procedures to the Prisons Policy Coordinator. The Policy Impact Analysis will provide a summary of major revisions made to the policy, the factors supporting the revisions, and the anticipated impact on Prison and/or NCDPS operations.” “(4) All draft policies with substantive changes or additions that affect the offender population will be sent to the NC Department of Public Safety (NCDPS) General Counsel for review.”

Replaced (d) with the following section: “Authorization Review.” Removed “the policy Owner” from (d) (1) and added the following to the paragraph “the OPR,” “and a Policy review form” and “A final draft shall incorporate those recommendations deemed reasonable. The OPR will forward any final draft with all background material to the responsible Director. Once satisfied, this information will be forwarded to the Policy Coordinator, who will prepare the packet for legal review by the NCDPS General Counsel Office and executive review by the NCDPS Office of Policy Development and Strategic Planning. The policy will be forwarded to the Director of Performance and Standards and the Assistant Commissioner for final review before forwarding to the Commissioner for signature.”

Page 4 (e) (1) Removed “reviewing the” and adding “ensuring” and “are reviewed.”

Page 4 (e) (2) Removed “The annual review date will be displayed on the Prisons Policy and Procedures web page and written documentation maintained by the Prisons Policy Coordinator” and replaced with “The Prisons Policy Coordinator will maintain a list of review dates. A review date shall be established one-year subsequent to the date of policy signature. The OPR will be responsible for forwarding review information to the Prisons Policy.”

Page 5 (e) (3) Added new bullet point “Coordinator using the Policy Review Form. If no changes are recommended the Policy Review Form will be archived along with the approved policy.”

Page 5 (f) (2) Replace “Prison Policy Coordinator” with Director of Performance and Standards” and added “Central Office Staff.”

Page 5 (f) (4) Added additional verbiage at the end of the paragraph “If the Warden chooses to ensure these requirements are met using a computer, the staff will have an ability to print the information.”

Page 5 (f) (6) Added new bullet point “On a monthly basis, the Warden will require the posting of a list of any new, revised or rescinded non-confidential policy or procedure on an offender bulletin board in the library or other suitable location in the institution.”

#### **.0607 POLICY RESCISSION**

Page 5 (a) Replace “Policy Owner” with “OPS.”

#### **0608 POLICY AND OFFENDER ACCESS**

Page 6 (a) removed “and operations.”

#### **.0609 EXCEPTION**

Page 6 removed “an abbreviated version of” and added “interim.” Deleted “and only after the policy owner receives authorization from the Director of Prisons to proceed with the revision” and additional verbiage at the end of the paragraph “Any interim policy must be incorporated as part of existing policy no later than the annual review process. Interim policy will not be subject to the review process. All interim policies will be archived with approved policy.”

#### **.0611 PRISON ADMINISTRATIVE MANUAL**

Page 7 (a) Replace Central Manager with “Director.” Deleted Case Manager” and added ‘Standard Operating Procedure’ at the end of Correctional Enterprises.

Page 7 (b) Removed “and operation manuals.”

Page 7 (c) Replace “Central Management staff” with “The Director.”

**.0612 PRISON TECHNICAL REFERENCE MANUAL**

Page 7 new section “Disciplines such as Dental, Religious Services, Food Service and others may have Technical Reference Manuals (TRMs) which outline procedure but do not communicate policy. These manuals require a review each year by the Director of the discipline, with a copy of the review being forwarded to the Prisons Policy Coordinator. Information in these TRMs provide specifics for how to accomplish procedures. Information in the TRMs may be used to determine program compliance. All TRMs shall be listed on the agency’s web page and be maintained by the director in a manner similar to policy and operational manuals.

**.0613 FACILITY STANDARD OPERATING PROCEDURES**

Page 8 (a) Removed “MANUAL” from the title. Replace “developing facility operating procedures for operating and maintaining the facility’ and replaced with “implementing DOP policy. Each facility will develop (SOP).” Removed “manual” and replaced with “facility SOP shall be filed along with the Division policy and.”

Page 8 (c) Replaced “Standard Operation procedures manual” with “SOP” and added “of any changes.”

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Correctional Planner II

November 03, 2020

Date