

Sixth District Department of Correctional Services POLICY	Issue Date 03/21/90	Effective Date 05/20/20	Policy Number 130-20
Subject <b>POLICY WRITING POLICY AND PROCEDURES MANUAL</b>		Review Month June	Author 0118 (LST)
Rescinds 130-17	References IAC 291-40.5(3) (905)		

**PURPOSE:**

This policy establishes the format and instructions for the development, distribution, and maintenance of the Department Manual. The Department maintains a policies and procedures manual to:

1. Document agency policy and procedure;
2. Serve as a training tool to assist in staff orientation and training;
3. Maintain consistency in the management and provision of services.

**POLICY:**

The Sixth Judicial District Department of Correctional Services maintains a policies and procedures manual that contains the policies set by the Board of Directors and procedures established by management. The District Director establishes the format, organization, and process for adoption and revision of policies and procedures.

New policies and revisions that change the intent of the current policies require approval by the Board of Directors.

Procedure changes and minor revisions on the policy statement (i.e. grammar, omission of a word, etc.) requires approval by the immediate Supervisor, Division Manager, Clinical Services Director, Assistant Director or Director.

The Department Manual is maintained electronically by the Executive Secretary or designee. It is staff's responsibility to review any new/revised policies and procedures when implemented and to ask questions about their contents if necessary. Staff are required to adhere to established policies and procedures.

**DEFINITION:**

1. Issue Date - The date the policy is approved by the Board. (Date remains the same when policy is revised, unless intent of policy changes then is presented to the Board for approval with new Issue Date established.)
2. Effective Date - Date policy is to take effect (allow time for staff training and staff sign-off). Reflects the date any revision to policy or procedure is to take effect.

**POLICY NUMBER 130-20**  
**PAGE 2 OF 9**

**DEFINITION:** (continued)

3. Policy Number - Classifies policy numerically (Example: 100-14). Classifies policy yearly by effective date (Example: 100-14). See Table of Contents (130A) which categorizes each section.

When a revision occurs in the same year, add a suffix alphabetically after the year. (Example: 100-14 is original policy number; 100-14A is the first revision; 100-14B is the second revision and so on).

When a revision occurs in a subsequent year, the year extension is changed in the policy number (Example: 100-14 is original policy number; 100-14A is the first revision; 100-15 is then the revision made in the year 2015).

4. Subject - Title of policy.
5. Review Month - Month established by Director, Assistant Director, Clinical Services Director or Division Manager. Review months are set up on a quarterly basis.
6. Rescinds - The policy number the revision is replacing.
7. Author - Person responsible for annual review, generally original author. See Author List (130B) for Author Number and Author Name.
8. References - Iowa Code Chapter, case law, ICON business rules, accreditation standards, training manuals, and other policies related to the policy.
9. PURPOSE: Explains reason the policy exists.
10. POLICY: Overall statement of principle and/or staff requirements.
11. DEFINITION: Explains or clarifies specific or frequently used terms.
12. PROCEDURE: Step by step guidance for standardized implementation of the policy.

**PROCEDURE:**

1. Instructions for writing purpose statements:
  - A. A purpose section may be used in three (3) ways:
    - 1) To identify the purpose of a system, form or activity;
    - 2) To identify the purpose of a policy;
    - 3) To identify the purpose of a procedure.
  - B. A purpose is not required for every chapter, but is written when needed to provide clarity and explanation.

**POLICY NUMBER 130-20**  
**PAGE 3 OF 9**

**PROCEDURE:** (continued)

2. Instructions for writing policy statements:
  - A. A policy statement effects an overall statement of principle. It represents a requirement. A policy describes a "what" and procedures described "how, when, who and where" except if the "how, when, who and where" are significant enough to be stated as a policy. The policy statement services as a guideline for procedures and decision-making.
  - B. Policies are written from the perspective of requirements established by the Board of Directors. Policies are a high-level overall plan embracing important general requirements, goals or standards that is used to guide procedure development, and current and future decision making.
3. Instructions for writing definitions:
  - A. Definitions are provided when a statement of the meaning of a word needs to be clear. Correctional terminology, in most cases, needs to be defined for the reader. The assumption is made that the reader is a new employee.
4. Instructions for writing procedures:
  - A. A procedure tells "how, when, who and where". It may be written in many formats but it usually is chronologically or step-by-step. Clarification is provided if:
    - 1) Not all steps are required, i.e. if alternative action is permissible;
    - 2) The procedures are merely suggestive, or
    - 3) Each step of procedure must be closely followed.
  - B. Procedures are comprehensive. All staff actions are addressed.
  - C. Procedures are written in a staff-action format. The manual directs staff actions/responsibilities, not the offender's. However, this can sometimes make for awkward language and exceptions are appropriate.
  - D. Words such as "must", "shall", "should", and "will" are to be used sparingly unless otherwise quoted directly from any Reference listed on the policy. Procedures are written in a direct, declarative style:
    - 1) If the procedure indicates something occurs, the translation is it always occurs. If there are exceptions to the rule, they are identified.
    - 2) If the procedure is discretionary, "may" is used followed by guidelines, examples, or a list (comprehensive if possible) of alternatives.

**POLICY NUMBER 130-20**

**PAGE 4 OF 9**

**PROCEDURE:** (continued)

- E. Where discretion is appropriate/necessary, the level of specificity and/or amount of judgment allowed correlates with the relative position of the decision maker. The Administration/supervisory levels are afforded more discretion than line staff and this is reflected by the procedures. (Example: The Director is working with guidelines and the Residential Officer is provided a "laundry list".)
  - F. Sentences are written in the present tense.
  - G. "Clients" are:
    - 1) Defendants (pretrial);
    - 2) Offenders (field services);
    - 3) Residents (residential).
  - H. Probation/Parole Officers and Residential Probation/Parole Officers are Supervising Agents.
  - I. Avoid long paragraphs. Procedures normally do not exceed two (2) sentences. Various elements that relate to a singular topic are sub-pointed.
  - J. Authority/discretion is delegated to the "who" indicated, unless identified differently in the procedure (usually a Supervisor, Division Manager, Clinical Services Director, Assistant Director or Director).
  - K. Cross references to other policies or forms:
    - 1) In parentheses and indicated in the first related procedure of the policy.
    - 2) Cross references are not repeated in the same policy.
    - 3) Forms are cross referenced to policies by form number. When more than one form correlates to a single policy, the numbering sequence is:
      - a. Policy 100-14:
        - (1.) Form 100A-14;
        - (2.) Form 100B-14.
5. Format and punctuation within policy; may use software's numbering function:
- There is a double space between each section and sub-pointed subsection (space and a half may be used for appropriate page breaks). Subsections having subsequent sub-pointed sections end with a colon (:). Sub-pointed subsections which are complete sentences end with a period (.) Sub-pointed subsections which are not complete sentences end with a semi-colon (;), unless it is the last sub-point which ends with a period (.).
- 1. Starts out with number "1." followed by indent and statement.

**PROCEDURE: (continued)**

- (TAB) A. Subsection "A." followed by indent and statement.
- (TAB)(TAB) 1) Subsection "1)." followed by indent and statement.
- (TAB)(TAB)(TAB) a. Subsection "a." followed by indent and statement.
- (TAB)(TAB)(TAB)(TAB) (1) Subsection "(1)" followed by indent and statement.
- (TAB)(TAB)(TAB)(TAB)(TAB) a) Subsection "a)" followed by indent and statement.

6. Capitalization:

- A. All offices are capitalized (i.e. County Attorney, Clerk of Court, Court, Department [when referring to Department of Corrections], etc.)
- B. All staff titles are capitalized (i.e. Agent, Residential Officer, Supervisor, Assistant Director, Director, etc.)
- C. All form names are capitalized (i.e. Statement of Offender, Probation Agreement, Victim Impact Information, Presentence Investigation, etc.)

7. Forms:

FORM INSTRUCTIONS

FORM TITLE	Issue Date	Effective Date	Form Number
------------	------------	----------------	-------------

- 1. Form Title - Name of the form.
- 2. Issue Date - Date the policy is approved by approving authority.
- 3. Effective Date - Date form is to take effect (allows time for staff training and staff sign-off).
- 4. Form Number - Classifies form numerically & alphabetically (use upper case, i.e. "A" and not "a") in accordance with Policy Number.

Example: Policy Number 100-14, the first Form Number is 100A-14; the second form for said policy is 100B-14 and so forth).

When a revision occurs in the same year, add a suffix alphabetically after the year. (Example: 100A-14 is original Form Number; 100A-14A is the first revision; 100A-14B is the second revision and so forth).

**POLICY NUMBER 130-20**  
**PAGE 6 OF 9**

**PROCEDURE:** (continued)

When a revision occurs in a subsequent year, the year extension is changed in the Form Number (Example: 100A-14 is original Form Number; 100A-14A is the first revision; 100A-15 is then the revision made in the year 2015).

5. Each form is to have a Form Instructions sheet which gives in-depth directions as to how the form is to be filled out. A numerical system is used starting with "(1)" in the first slot to be filled in.
  - A. The Form Instructions sheets are located on the left-side page and the form on the right-side page of the Department Manual. For two-sided or multiple page forms, each side or page of the form has a separate Form Instructions sheet, unless the designee determines it is not feasible.

Instructions	Form
--------------	------

8. Maintenance and Distribution:

- A. The Department Manual designee maintains the original of all policies and forms effective 5/10/91.
  - 1) The designee maintains a current Department Manual which contains all approved revisions to date of policies and forms.
  - 2) The designee maintains a Department Manual which contains all outdated policies and forms.
- B. Computer back-up is maintained by the District's Systems Administrator.
- C. The Department Manual designee maintains a list of all policies and their review months.
- D. The Department Manual designee provides each author with a list of policies which are up for review:
  - 1) If revision of a policy is not needed, a note indicating this is sent to your immediate Supervisor (i.e. Director, Assistant Director, Clinical Services Director, Division Manager) and the designee. NOTE: All policies and forms remain in effect until revised or rescinded.

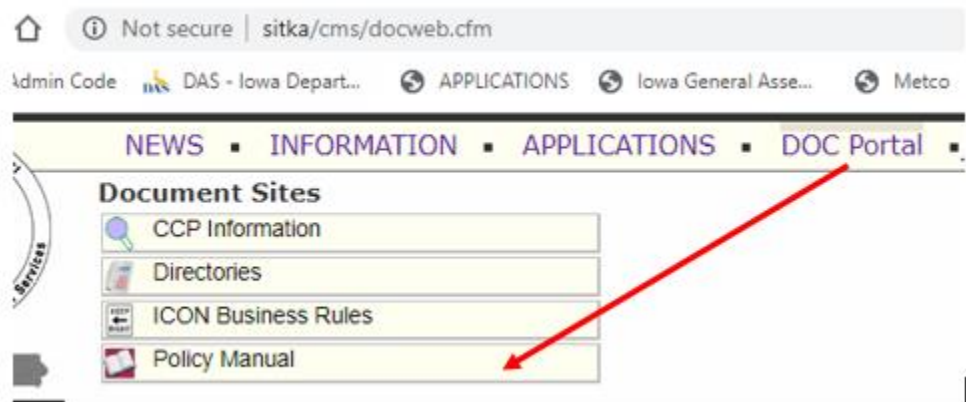
**POLICY NUMBER 130-20**  
**PAGE 7 OF 9**

**PROCEDURE:** (continued)

- 2) The author reviews and makes revisions as needed and submits to their immediate Supervisor (i.e. Director, Assistant Director, Clinical Services Director, Division Manager).
- 3) The author submits the revisions to the Department Manual designee once finalized.

**E. New Chapter/New Policies:**

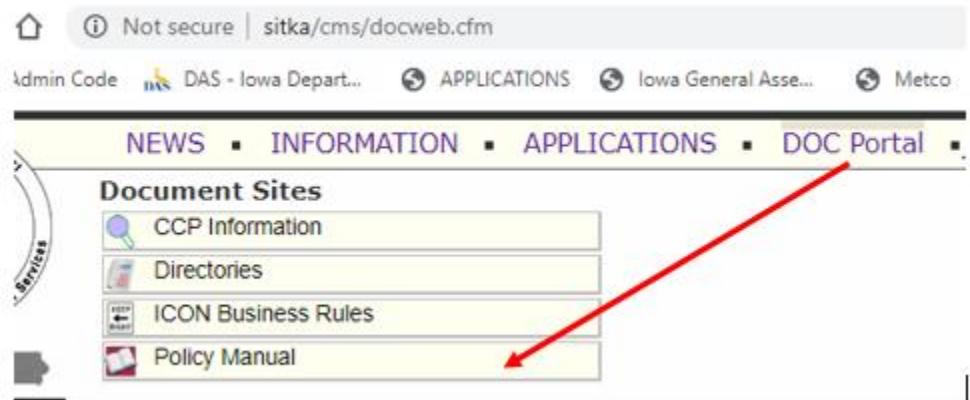
- 1) All new chapters and new policies are prepared by the policy's author. The Department Manual designee is provided a computerized file via e-mail of the final draft. The designee inserts the proper dates, policy numbers and form numbers. A Review Month is assigned (which is on a quarterly basis [March, June, September, December] the closest month to the Effective Date). The policy is electronically sent to Management Team for review. Once the policy is finalized, it is presented to the Board of Directors for approval. The designee submits the approved policy to the Director for signature.
- 2) The Department Manual designee electronically downloads the policies/forms in YUKON under DOC Portal, Policy Manual. The designee sends the policies/forms electronically to all "DOC 6<sup>th</sup> All Users" with instructions on how to access them online.



**POLICY NUMBER 130-20**  
**PAGE 8 OF 9**

**PROCEDURE:** (continued)

- 3) As of February 1, 2015, policy sign-offs are complete electronically. All manual sign-off sheets prior to this date are kept by the Department Manual designee indefinitely.
9. Revisions to Policies & Forms:
- A. The Department Manual designee makes all revisions to current policies and forms:
    - 1) The designee makes the necessary revisions, proofreads and makes adjustments to format, Policy Numbers, Form Numbers, Issue Date and Effective Date.
    - 2) The policy is electronically sent to Management Team for review. Once the policy is finalized, the designee prints and submits to the Director for signature. The Union reviews policies prior to distribution.
    - 3) The Department Manual designee electronically downloads the policies/forms in YUKON under DOC Portal, Policy Manual. The designee sends the policies/forms electronically to all "DOC 6<sup>th</sup> All Users" with instructions on how to access them online.



- B. As of February 1, 2015, policy sign-offs are complete electronically. All manual sign-off sheets prior to this date are kept by the Department Manual designee indefinitely.



**POLICY NUMBER 130-20**  
**PAGE 9 OF 9**

**PROCEDURE:** (continued)

10. Manual Chapter Distribution:

- A. All staff are notified when additions, deletions or revisions are made electronically to the following sections: Personnel, All Department, Safety, PREA.
- B. The following staff are notified when additions, deletions or revisions are made electronically to the following sections:
  - 1) Management Team - All sections
  - 2) Administrative Officer, Personnel Specialist, Accounting Technician, Accounting Clerk, Systems Administrator - Fiscal section
  - 3) Field Service's Clerical - All sections excluding Residential, Fiscal and Management; however, does receive ANCHOR License Substance Abuse section.
  - 4) Residential Clerical – All sections excluding Fiscal and Management, however, does receive ANCHOR License Substance Abuse section and residential facility section for which they support.
  - 5) Field Service's Probation/Parole Officer, Community Treatment Coordinator, Community Program Monitor – All sections excluding Residential, Fiscal and Management; however, does receive ANCHOR License Substance Abuse section.
  - 6) Residential PPO, Community Treatment Coordinator, Psychologist – All sections excluding Fiscal and Management; however, only receives residential facility section(s) they support.
  - 7) Residential Officer, Food Service staff – Residential sections they support.
  - 8) Pretrial Interviewer – Pretrial section
  - 9) Substance Abuse Liaison - TASC and ANCHOR License Substance Abuse sections.
  - 10) Offender Employment Specialist – Workforce Development and Residential facility sections they support.

BY ORDER OF:

---

Bruce Vander Sanden, District Director