DEPARTMENT OF CORRECTIONS

Policy: 100.100
Title: Policies, Operating Procedures, and Post Orders
Effective Date: ~~6/16/20~~10/1/2024

PURPOSE: To ensure a uniform process for the development, ~~annual~~regular review, revision, and ~~dissemination~~distribution of Minnesota Department of Corrections (DOC) policies, business unit or facility level operating procedures, and post orders.

APPLICABILITY: Department-wide

DEFINITIONS:
Agency policy coordinator – staff person responsible for processing policy revisions ~~and~~, updating the policy manual, and who generally serves as the agency-wide contact regarding policy revisions/questions.

Executive lead – executive team member responsible for overseeing the portfolio of work impacted by a set of policies and must be kept informed of policy revision recommendations by the policy chairs of those policies.

Facility policy coordinator – a facility staff person who serves as a contact for their location.

Operating procedures – ~~a specific method~~methods of operation describing how to apply policy/procedures to specific work. Operating procedures may be documented in a number of formats, including such examples as: training manuals and handbooks, checklists, or operating guidelines.

Policy chair – staff person assigned as the lead, in consultation with the commissioner, to a specific policy and responsible for ensuring content is up~~-~~ to~~-~~ date, complies with current law, and ~~reviewing procedures in conformity with this policy~~is aligned with best correctional practices, and who completes regular equity reviews to remove unnecessary barriers and enables equitable access.

Post order – a list of duties, general instructions, and responsibilities for a single position, by shift, typically written for security posts. ~~The components~~Examples of ~~a~~ post order content include ~~such examples as:~~ beginning/ending time, count times, equipment required, uniform required, schedule of tasks to be performed, relevant policies, and the assigned supervisor.

Unit policy coordinator – a staff person assigned by a unit director who serves as a contact for a designated area of work.

PROCEDURES:
A. General Requirements
1. Categories of agency operating information
a) The department of corrections (DOC) policy manual includes all policies for operations and outlines specific programs and services offered.

b) Business units and facilities may also maintain supplemental operating procedures ~~necessary to assist in the implementation of DOC policies~~to assist in the implementation of DOC policies. All operating procedures must be shared with the related policy's chair and central office policy staff during the policy's official review

period and when the policy chair recommends policy revisions. When the related policy is approved, all operating procedures pertaining to that policy must be revised to align with it, as required in Procedure A.3, below.

c) All facilities must maintain written post orders for ~~every~~each correctional officer post.

2. Policies are assigned one of three classifications (enhanced, standard, technical) that govern the frequency of review and level of involvement by the executive leadership team in development and engagement.

a) **Enhanced** – these policies have been identified by executive leadership to have significant scope, operational importance, or policy impact, and must be reviewed for potential revision by policy chairs at least annually;

b) **Standard** – these policies are more limited in their scope than enhanced policies and must be reviewed for potential revision by policy chairs at least once every two years; and

c) **Technical** – these policies are largely required by law or the State of Minnesota Enterprise, with very little agency discretion over the content and must be reviewed for potential revision by policy chairs at least once every three years.

3. ~~2.~~ Policy chairs must review ~~all of~~ their policies ~~annually,~~ in accordance with ~~American Correctional Association (ACA) standards.~~ the assigned policy review schedule maintained by the DOC policy unit.

a) In conjunction with policy reviews, business units, and facilities must review their operating procedures to ensure consistency with agency policy and consult with the policy chair ~~as needed~~ to ensure ~~chairs~~there are no contradictions to the agency policy. Chairs must address and incorporate department-wide concerns at the policy level. Operating procedures must be shared with the DOC policy unit and posted for all staff to reference.

b) Any operating procedures related to an enhanced category policy must be reviewed by all deputy and assistant commissioners.

c) Authors of facility post orders must ~~also~~ review them annually~~, and ensure~~ for consistency with agency policies and facility operating procedures.

~~3~~4. Agency management may direct the development of new policies, operating procedures, ~~and~~ post orders~~.~~, and require changes to existing policies.

~~4. The agency policy coordinator/designee issues policies on the first and third Tuesdays of the month, with policies normally becoming effective two weeks later. The policy coordinator/designee may make exceptions to issue dates as the need arises for policies effective immediately or those with specific effective dates due to law changes or emergencies.~~

~~5~~5. The commissioner may issue interim guidance that overrides current policy provisions to update policy, practice, or procedure. Interim guidance must be shared with the DOC policy unit for staff and public posting. Policy chairs must incorporate all interim guidance in future policy revisions.

6. The agency policy coordinator/designee posts policy change notices on ~~iShare~~the staff-only policy site and posts the new or revised policies in the ~~Up-Coming Revisions section of the~~ public DOC policy manual.

B. Agency-wide Policies

1. Staff and the public may access the DOC policy manual through the public website, and staff may also access the manual through ~~links~~the staff-only policy site link on iShare. ~~Offenders~~Incarcerated people and juvenile residents access the public manual through the facilities' ~~offender~~closed network computer system and facility libraries.

2. Deputy ~~and~~or assistant commissioners ~~or their designees assist in identifying staff to serve as~~overseeing the business area assign policy chairs ~~for each agency policy.~~after consultation with the commissioner. The agency policy coordinator/designee maintains a list of policy chairs.

3. ~~Policy chairs are considered the~~ The policy chair must be a subject matter ~~experts~~expert for each policy assigned to them.

~~4~~4. The agency policy director must provide opportunities for people to bring forward policy suggestions, such as:

a) Staff may submit policy suggestions through the designated iShare site.

b) Facility residents may submit policy suggestions through the policy suggestion form (attached) available in facility libraries.

c) The public and external stakeholders may submit policy suggestions via the policy unit email or the survey posted on the public policy manual website.

d) The agency policy coordinator/designee inputs the suggestions received from b) and c) into the policy suggestions iShare site and sends the suggestions to policy chairs.

5. Policy chairs must maintain a policy chair master file in accordance with the Policy Chair Master File and Retention Guide (attached) and transfer the file to the appropriate supervisor when vacating a policy chair position. Supervisors are responsible for transferring the file to policy chair successors.

6. Policy chairs must review assigned policies ~~each year within the timelines outlined on the Policy Annual Review Schedule~~before the end of their assigned review periods (accessible on iShare). As part of the policy review, policy chairs must:

a) Review current authoritative materials (~~e.g.~~for example, statutes, federal regulations, ~~American Correctional Association (ACA)~~state rules, state correctional facility security audit standards, federal department of justice orders, ombuds for corrections or office of legislative auditor reports, etc.);

b) Seek and consider input from staff, people incarcerated or on ~~necessary changes (e.g.~~supervision, and other impacted groups during their reviews (for example, use a multi-disciplinary drafting committee and distribute a draft to facility and impacted unit policy coordinators, the agency policy coordinator, and ~~the agency compliance and risk management director~~ other policy chairs, or subject-matter experts whose

work relates for two-week review; hold listening sessions with impacted people; and share draft language with unions, ombuds for corrections, wardens, etc., for feedback);

~~e~~c) Comply with Policy 101.140 "Consultation with American Indian Tribal Nations" regarding impacts to tribes and American Indians;

d) Use the DOC Policy Template, Policy Style Guide, ~~and~~ Policy Drafting Checklist (attached; these templates and forms are also accessible to staff on iShare); and

~~d~~e) Submit appropriate review information and documentation required and maintained by the DOC policy unit, detailing revision ~~notes, as outlined in the Policy Review Form (accessible to staff on iShare).~~needs.

~~5~~7. Facility and unit policy coordinators:

a) Work with policy chairs to process revisions;

b) ~~Ensure any facility~~Circulate policy drafts to impacted personnel and ensure their input ~~regarding~~about the proposed policy changes is conveyed to the policy chair;

c) Maintain/track facility- or unit-specific operating procedures and~~/or~~ post orders;

d) Refer any ~~offender~~ policy questions/suggestions from impacted groups to the appropriate policy chairs; and

e) Seek answers to other questions regarding policy and procedures.

6. The agency policy coordinator/designee ~~reviews and finalizes submissions for approval by the deputy and assistant commissioners.~~:

~~7~~a) Reviews, copyedits, and finalizes submissions, including requesting any necessary clarification from the policy chair;

b) Submits the final policy revision for approval; and

c) Updates and maintains the online policy site/manual with revised policies and attachments and any related interim guidance.

7. Deputy and assistant commissioners and chief general counsel review all enhanced policy changes prior to presentation to the commissioner. Deputy commissioners, or assistant commissioner designee, review all standard and technical policy changes prior to presentation to the commissioner. Commissioner is the approval authority of agency policy changes.

8. The agency policy coordinator retains policy revision information, including interim guidance, according to the approved retention schedule.

C. Business Unit or Facility Operating Procedures and Post Orders

1. Staff at specific locations or units author and maintain two types of information:

a) Operating procedures providing location-specific information for implementation of DOC policies which must not contradict policy and must be reviewed and updated every time governing policies are added or revised; and

b) Post orders providing duties, general instructions, and responsibilities for a single position, by shift, typically for security posts.

2. The facility warden or designee ensures staff identify all correctional officer posts, that each post has the current written post order, and that:
   a) Assigned staff develop a revised post order when a new duty or a change in duties/procedures occurs;

   b) Assigned staff review post orders and document the review; and

   c) Area supervisors or designees ensure corrections officers~~:~~ read appropriate post orders each time they assume a new post or the post orders are revised, sign and date the post order or sign-off sheet~~,~~ and forward the sign-off sheet or signed post order to the facility policy coordinator/designee for retention.

3. Business units and facilities retain operating procedures and post orders according to approved retention schedules.

D. Approved Policy Revisions
   1. If a policy revision involves significant changes and is approved, policy chairs must draft a memo announcing and explaining the policy changes for signature and issuance by the commissioner or a deputy commissioner to staff, incarcerated persons, or both.

   2. After any policy is approved that is summarized in the policy handbook provided to incarcerated people at intake, policy chairs must follow process in policy 202.051 "Offender handbook" to review and update any related policy summary language.

INTERNAL CONTROLS:

A. Policy revision information is retained in the policy unit according to the approved retention schedule.

B. Business units and facilities maintain operating procedures and post orders~~,~~ and retain revision information according to approved retention schedules.

~~**ACA STANDARDS:** 2-CO-1A-05; 2-CO-1A-16; 2-1014; 2-7012; 4-4004; 4-4012; 4-4013; 4-4014; 4-4174; 4-4424; 4-4178; 4-4179; 1-ABC-1A-04; 1-ABC-1A-11; 1-ABC-1A-12; 1-ABC-3A-01; 1-ABC-3A-04; 1-ABC-3A-05~~

REFERENCES: Minn. Stat. § 241.01, subd. 3a and 3b

REPLACES: Policy 100.100, "Policies, Operating Procedures, and Post Orders~~Policy Manual Maintenance~~," ~~2~~6/16/20~~/18~~.
All facility policies, memos, or other communications whether verbal, written, or transmitted by electronic means regarding this topic.

~~**ATTACHMENTS:** Policy Annual Review Schedule~~
ATTACHMENTS:
Policy Template (100.100I) (public pdf for 100.100I)
Policy Style Guide (100.100H) (public pdf for 100.100H)
Policy Drafting Checklist (100.100L) (public pdf for 100.100L)
~~Policy Review Form~~

Policy Suggestions Form (Incarcerated/Supervised People) (100.100M)
Policy Chair Master File and Retention Guide (100.100N)

APPROVED BY:
~~Deputy Commissioner, Community Services~~
Deputy Commissioner, ~~Facility~~Client Services and Support
Assistant Commissioner, ~~Operations Support~~Agency Services and Supports
Assistant Commissioner, ~~Criminal Justice Policy, Research, and Performance~~Facilities
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