



POLICY DIRECTIVE

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| Policy: | DOC 1.1.2 POLICY AND PROCEDURE MANAGEMENT |
| Effective Date: | 05/01/1996 Page 1 of 3 |
| Revision Date(s): | 04/06/2001; 06/14/2001; 09/04/2001; 12/20/2001; 01/06/2006; 04/18/2006; 08/01/2007; 11/28/2011; 10/20/2014; 07/27/2015; 05/21/2024 |
| Signature/Title: | /s/ Brian Gootkin, Director |

I. POLICY

The Department of Corrections develops and manages policy and procedure 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 (see Glossary)

IV. DEPARTMENT DIRECTIVES

A. Policy and Procedure Management System

1. The policy and procedure management system governs the development, review, revision, and publication of all Department policies and procedures. The Policy Unit establishes the processes and requirements for the system, including:
 - a. developing policy and procedure to meet the Department director's goals and objectives and fulfill statutory and rule requirements;
 - b. coordinating, tracking, and recording the annual review of designated policies and procedures;
 - c. serving as the primary contact for questions, concerns, and issues regarding policies and procedures;
 - d. assisting employees designated to implement or comply with policies and procedures; and
 - e. responding to requests related to policies and procedures.
2. Policies provide direction and guidance for operations of the Department. Procedures specify how divisions, facilities, and programs implement Department policy.
3. Policies and procedures are organized within sections based on subject:
 - a. Administration
 - b. Secure Facilities
 - c. Probation and Parole
 - d. Rehabilitation and Programs
 - e. Health Services
 - f. Community Programs

B. Policy and Procedure Access and Restrictions

1. For Department employees:
 - a. Policies and procedures, including restricted policies and procedures, are accessible online.
 - b. Employees may not disseminate or share restricted policies or procedures outside of the Department without consent.

2. For individuals outside the Department, policies and procedures are accessible online unless restricted in accordance with 2-6-1003, MCA; a requestor may email opir@mt.gov to request restricted policies and procedures.

C. Policy and Procedure Format

1. Formatting of policies and procedures is consistent with the *DOC Policy/Procedure Format Template* as applicable.

D. Annual Reviews

1. The Policy Unit is responsible for conducting annual reviews of designated policies and procedures.
2. Following annual review, designated policies and procedures may be revised or rescinded.

E. Policy and Procedure Development and Revision Process

1. To request a new policy or procedure or to revise an existing policy or procedure, a supervisor emails a request to corpolicy@mt.gov with:
 - a. identified topics or subjects needing development or revisions;
 - b. justification;
 - c. a minimum of 2 designated Subject Matter Experts (SMEs) to assist the Policy Unit;
 - d. a statement indicating whether rescission is needed; and
 - e. timelines or deadlines for implementation and/or completion.
2. If a request is minor (does not change the substance of a policy or procedure), the Policy Unit implements the revisions and publishes them online with approval from the Operations Bureau Chief or higher.
3. Substantive requests are reviewed 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 identified SMEs, who provide content for the policy or procedure.
5. The Policy Unit sends the draft to the policy review group and the Legal Services Bureau for a 15-business-day review period. Group members can delegate review to their divisions or units and to employees of their choosing. Reviewers should add comments directly to the draft or email them to corpolicy@mt.gov.
 - a. If there is a policy, procedure, or contract in place that specifies a different period for review, that specified period applies.
6. After the policy group review and legal review, the Policy Unit updates and sends the draft to the Executive Team for approval prior to sending the draft for final approval by the appropriate Executive Team Member or designee.
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 new or revised 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 new and revised policies and procedures.
9. For policy or procedure rescission recommendations, the Policy Unit consults with the Executive Team and Legal Services to determine if rescission is feasible. Policy rescissions

are approved by the Director and procedure rescissions are approved by an Executive Team member.

F. 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 development, review, revision, and approval;
 - d. current and archived glossaries and lists of acronyms; and
 - e. archived notices of rescinded Department policies and procedures.

G. Forms

1. For Department forms created specifically for policies and procedures:
 - a. The Policy Unit is responsible for their maintenance and organization.
 - b. Such forms are not revised by anyone other than staff of the Policy Unit.
 - c. The Policy Unit is responsible for new forms and revisions to forms. For a new form or form revision request, staff must email corpolicy@mt.gov. Approval of a new or revised form follows the same process as policies or procedures unless determined otherwise by a member of the Executive Team.

V. CLOSING

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

VI. REFERENCES

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