



POLICY & PROCEDURES

.0701 GENERAL

Unit Management is an approach to offender and institutional management designed to improve control and relationships by dividing the large institution population into smaller more manageable groups, and to improve the delivery of correctional services.

.0702 PURPOSE

To provide the guidelines for standard operating procedures for unit management within the North Carolina Department of Public Safety, Prisons facilities authorized to operate under unit management. This policy provides procedures for standardized operation of unit management statewide. These procedures are broad enough to accommodate all institution variables such as program availability, custody, security and control considerations.

.0703 OVERVIEW

Unit management is a method for managing offenders that emphasizes decentralization and delegates decision-making authority to a unit team. An institution functioning under unit management subdivides its housing areas into two or more units. Each unit houses a subgroup of the institution's offender population. The design of the facility, not the size of the population, dictates the number of units within an institution. The unit is managed by a semi-autonomous unit team whose offices are located on (or adjacent to) the offenders' living quarters.

The concept of unit management places offenders in close physical proximity to the staff working with them so that staff and offenders are easily accessible to one another on a daily basis. This proximity enhances the quality of the professional relationships formed between staff and offenders by providing increased frequency of contact, direct observation of offender behavior and potential problems, and increased offender access to decision making staff.

- (a) Principals essential to the success of unit management are as follows:
- (1) Commitment from the division, institution, and unit levels to the concept and willingness to examine and change "traditional" procedures. A commitment to the process at each of these levels is imperative to the successful implementation of unit management.
 - (2) Each unit must have a written plan that details its mission and operational procedures. The unit plan must be specific and clearly define its purpose. This is critical for documentation and review purposes.

- (3) Unit staff should be competent, well trained experienced staff members, who have a professional commitment to the unit management concept and its principles.
- (4) Adequate resources, including: staffing levels, time, financial resources, training and material resources necessary to meet the Prisons written policy expectations for unit management must be provided.
- (5) Cooperation and assistance among an institution's various departments is imperative.
- (6) Results should be evaluated and analyzed through a systematic assessment of the degree to which unit management is meeting its established goals with an eye towards refinement of activities, programs, and efforts to maximize overall effectiveness and efficiency. Region Directors will address any recommended changes to the Director of Prisons or the Director's designee.

.0704 OBJECTIVES

It is Prisons' responsibility to care for, control, and correct offenders sentenced to confinement within its facilities. Unit management provides a balanced approach towards accomplishing these objectives and fulfilling Prisons' mandate.

- (a) Unit management achieves its objectives by enhancing the quality of the professional relationships formed between staff and offenders. It accomplishes this by:
 - (1) Minimizing inter-unit transfer of offenders.
 - (2) Stabilizing staff to a unit. Generally, this means they are assigned to a unit for a minimum of six months, although they may rotate through various shifts.
 - (3) Providing better observation of offenders.
 - (4) Optimizing the amount of communication between staff and offenders.
 - (5) Holding offenders accountable for their own actions.
 - (6) Giving specified unit supervisory staff decision-making authority.
 - (7) Individualizing offender program plans.
 - (8) Providing, where possible, a specialized inter-unit program to meet the needs of treatment strategies.

.0705 STAFF ROLES

- (a) Unit management results in much of the decision-making authority, previously centralized or the responsibility of other departments, being delegated to Unit Managers. At the same time, the

institution administration continues to be ultimately responsible for the proper administration of the institution. Therefore, ongoing dialogue between Unit Managers and the administration is essential. Under unit management, roles of central office level and institutional staff must be defined.

- (1) Warden/Administrator/Superintendent - (For the purpose of this policy, the Warden/Administrator/Superintendent will be referred to as the Administrator) The Administrator, has final authority and responsibility for all matters occurring within the institution to include the development and implementation of written policy and procedure that govern the selection criteria, supervision, and rotation of staff who work directly with offenders in restrictive housing on a regular and daily basis. However, unit management will not succeed unless the Administrator ensures appropriate delegation of authority to the Unit Manager. This will include much of the case management, security, sanitation, preventive maintenance, and other routine operational responsibilities.
- (2) Associate Warden/Assistant Superintendent for Custody and Operations - (For the purpose of this policy, the Associate Warden/Assistant Superintendent for Custody and Operations will be referred to as the Assistant Superintendent). The Assistant Superintendent should have the expertise to understand and monitor the units, to ensure consistency in addition to quality of operations and to make certain that the authority and responsibility delegated to the units is effectively managed.

The Assistant Superintendent will be the immediate supervisor of the Unit Managers and the primary liaison between Unit Managers and the Administrator. The Assistant Superintendent will also be responsible for periodic inspections and audits of the units.

Guidelines, dissemination of policy and parameters within which the units are to work shall be set forth as part of the leadership responsibilities of the Assistant Superintendent to assure that the philosophy, policy, and the intent of unit management is adhered to, and that the total mission of the institution is accomplished through achievement of the unit plan.

- (3) Associate Warden / Assistant Superintendent for Programs (For the purpose of this policy, the Associate Warden/Assistant Superintendent for Programs will be referred to as the Assistant Superintendent for Programs). The Assistant Superintendent for Programs is a key member of the institutional management team and is responsible for the management of all institutional programs staff except programs staff assigned to a unit team. Responsibility also includes overall responsibility for administration of all programs, classification, case management, educational/vocational and chaplaincy activities. The Assistant Superintendent for Programs will have administrative but not clinical supervision of medical and mental health operations and associated staff assigned to the institution.

It is vital that the Assistant Superintendent for Programs and the Assistant Superintendent for Operations cooperate with each other in the overall delivery of program and health services within the institution. Because unit management directly ties the unit team into the delivery of services with all sections under the supervision of the Assistant

Superintendent for Programs, decision making requires extensive communication and coordination. Prior to the implementation of new programs or changes in existing programs, consultation between what is traditionally referred to as “programs and custody” must occur and a mutual endorsement of support must be agreed upon.

If conflicting issues can not be resolved between the Assistant Superintendent for Programs and the Assistant Superintendent for Operations, the Administrator will issue the final decision.

While having no direct supervision of unit managers and members of the unit team, the Assistant Superintendent for Programs has the authority to direct unit team staff in the performance of their duties consistent with institutional procedures and division policy.

- (4) Unit Manager (Unit Manager II, Unit Manager III) - The Unit Manager is the administrator, supervisor, coordinator, and monitor of a team of staff members who are assigned to work in his or her unit. As a department head, the Unit Manager will be called upon to perform other institution-related functions as well, such as serve on institution committees, hiring and promotion interview teams, serve as institution duty officer, and meet regularly with the Assistant Superintendent, Captains and other Unit Managers to coordinate and improve management functions throughout the institution.

At the unit level, a Unit Manager is responsible for the overall custody, security and operation of all phases of his or her unit in regard to both staff and **offenders**. For staff, this includes: providing orientation and direction, creating a unit plan, scheduling, training, supervising, and doing performance evaluations. Regarding **offenders**, the Unit Manager will develop in-unit programming and, in collaboration with unit staff, will have specified decision-making authority regarding: classification, program and job assignments, program reviews, and handling of disciplinary reports and administrative remedy procedures.

The Unit Manager is a generalist with broad administrative responsibilities regarding unit staff. This includes supervisory authority over the unit’s Assistant Unit Manager, unit clerical staff, and managerial authority over Sergeants, Officers on all shifts, and Case Managers (where available for unit team assignment). In exercising this authority, the Unit Manager will make use of the expertise of other department heads and their staff. Accordingly, the Unit Manager will foster good communications and working relationships with other institutional department heads.

Unit Managers have the responsibility to develop, monitor and adjust post orders and standard operating procedures to fit the mission of their unit upon the approval of the Administrator. Unit Managers are responsible for inventory of all equipment and tools assigned to the unit, and should coordinate work-order request for maintenance repairs according to institution procedures. While not provided with a separate unit budget for clothing, janitorial supplies, and other budget items, Unit Managers should monitor institution budgeted items ensuring practices within the unit are based on sound fiscal management of such resources.

The relationship between the Unit Manager and the Shift Officer-In-Charge (OIC) should be such that whenever possible, decisions regarding unit security matters should result from joint discussions between the Unit Manager and the OIC. When the Unit Manager and OIC disagree, the Assistant Superintendent will have final authority.

- (5) Assistant Unit Manager (Unit Manager I, Unit Manager II) - The Assistant Unit Manager is under the direct supervision of the Unit Manager. The Assistant Unit Manager directly supervises the Sergeants, Officers, and Case Managers assigned to the unit team. In the absence of or upon designation by the Unit Manager, the Assistant Unit Manager assumes the role of the Unit Manager and has the same decision making authority as the Unit Manager.

The Assistant Unit Manager will normally work a staggered shift from the Unit Manager routinely overlapping at least four hours per day and providing weekend coverage at least once per month. The Assistant Unit Manager may be assigned a caseload for case management purposes and will generally oversee the day to day case management operations on the unit. This includes completion of classification and case management reviews, monitoring offender progress through periodic program reviews, participating on various unit and institution committees. Other duties assigned by the Unit Manager will include participating in the unit's orientation program, town hall meetings, offender disciplinary process and offender administrative remedy procedures.

- (6) Case Managers - A Case Manager works under the direct supervision of the Assistant Unit Manager. The Case Manager will not normally be assigned correctional officer duties unless an emergency situation has been declared or as designated by the Unit Manager in unusual circumstances.

Case Managers are responsible for all case management functions as directed by DOP policy and for assisting offenders on their caseload in resolving day-to-day issues that may arise, using a variety of methods, such as individual or group counseling, crisis intervention, motivational interviewing, and referral services which require contact with staff and offenders both on and off the unit. Consequently, Case Managers should regularly monitor the work and program sites of the offenders on their caseload; and when necessary, provide assistance to both offenders and work/program supervisors.

Additionally, Case Managers should develop a general knowledge about offenders in their unit and detailed information concerning offenders on their specific caseload, interview and provide orientation to newly admitted offenders, serve as a staff sponsor of on-unit offender program groups, and attempt informal resolution of offender complaints.

- (7) Unit Sergeant - A Unit Sergeant is a member of the security staff who is primarily responsible for day-to-day custody and security within the unit. In addition to providing direct supervision, completing performance appraisals, and employee time reports of Correctional Officers on the unit team, the Sergeant assists offenders in resolving day-to-day issues that may arise, providing crisis intervention, investigating disciplinary and administrative remedy issues.

The Sergeant will also be responsible for providing daily safety, security, and sanitation inspections of the unit, coordinate the offender telephone program, and monitoring movement of offenders as they leave the unit. The Sergeant will be responsible for conducting both formal and informal counts and ensure all posts are properly staffed.

- (8) Unit Correctional Officer - Unit Correctional Officers primary responsibilities are offender security and accountability. The Unit Correctional Officers are the first-line consultant to the unit staff regarding unit/institution related security matters which affect the unit and institution. It is these staff members' primary responsibility for unit sanitation and cell/dorm inspections. The Unit Correctional Officer is responsible for maintaining required logs detailing events occurring during the shift.

The Unit Correctional Officers are valuable members of the unit team. They should be regularly assigned to a unit, to better know the offenders and staff with whom they work and, therefore, can better contribute to the mission of the unit. Correctional Officers and unit staff are expected to communicate freely with one another. Unit Managers shall ensure that maximum input is received from Correctional Officers assigned to the unit. This may be in writing or the Correctional Officer may attend unit classification and program review meetings. Unit Correctional Officers should have completed the probationary period prior to being assigned unit management responsibilities that require the supervision of segregated offenders. Due to the intensity of supervising segregated offenders, unit staff may be rotated prior to six months, however, Correctional Officers whose effectiveness may have been compromised by misconduct or ethical issues should be rotated before this period of time elapses pending disciplinary action. Unit Managers shall require supervision of on the job performance to include written input for each correctional officer's performance evaluation.

- (b) The relationship between unit management staff and institution staff is critical if unit management is to be successful. To best serve the needs of the offenders and to promote the orderly operation of the institution, significant interaction must occur between unit staff and other support staff to include custody and operations, programs, administrative and maintenance staff. These support staff serve in a role to support the unit staff in the delivery of services and programs. Of particular importance is the role of the institution officer-in-charge who must interact with the unit staff as listed below:

- (1) Officer-In-Charge - The Officer-In-Charge (OIC) will normally be a Captain or Lieutenant who has responsibility for the overall custody and security operations of the institution. In the event of an emergency, the OIC is designated as the incident commander until properly relieved by a higher-ranking employee. The OIC will be responsible for the perimeter, the yard, internal hallway security, controlling movements, entry and exit from the institution and all buildings, excluding individual units.

The OIC, has decision-making authority throughout the institution however, he or she should normally defer decision making on the units to the Unit Manager and must maintain

a cooperative relationship with Unit Managers. If conflicts of interest or differences of opinion occur between the OIC and Unit Manager regarding issues, such differences should be referred to the Assistant Superintendent for resolution. If the OIC deems institutional security will be compromised before the Assistant Superintendent can be consulted, the OIC has final decision-making authority in such circumstances.

The OIC serves as an advisor, consultant, and monitor for other department heads in matters pertaining to security issues. The OIC will be responsible for formal offender counts, maintaining logs of events, and monitoring security systems to include fire/smoke alarms, intrusion detection systems, surveillance systems and other monitoring systems.

.0706 ESSENTIALS OF UNIT MANAGEMENT

While flexibility is a hallmark of unit management, the Division of Prisons has established the following minimum requirements as essential to the operation of any facility under the unit management concept.

- (a) Written Guidelines - Clear written guidelines will be available. Three documents are needed:
- (1) A division policy statement concerning unit management, issued by the Director of Prisons.
 - (2) An institution procedure manual, issued and signed by the administrator, which specifies how the division level policy that pertains to unit management will be implemented at the institution.
 - (3) Each unit must have a written plan which describes that unit's operation within parameters established by both division policy and facility SOP's. This plan must be approved by the Assistant Superintendent and Administrator.
- (b) Unit Managers as Department Heads - As outlined in this section, the Unit Manager is delegated the responsibility for the security, sanitation, order, and development of program alternatives for their unit. In this regard the position functions within a particular unit much as an administrator does in the institution at large. In keeping with the concept of decentralization, limited authority is delegated to the Unit Manager to make decisions relative to the operation of the specific unit. The position serves as the primary liaison with other units as well as other sections/departments within the institution and must be considered to have equal standing with other mid-level management persons within the organizational structure with regards to such interactions. Unit Managers should be included in the rotation of persons designated to serve as the institution stand-by duty officer.

It is critically important that Unit Managers and Captains/ Lieutenants who may function as the Officer in Charge of the institution all report to the Assistant Superintendent for Custody and Operations. This mutual reporting relationship will allow for prompt and fair resolution to conflicts that may arise from areas of overlapping responsibilities. A spirit of cooperation and

support must be realized between these sections if unit management is to contribute to successful institution operation.

- (c) Size of Units - The design of the facility, not the size of the population, dictates the number of units within an institution.
- (d) Staffing - As facilities are not staffed the same, staffing standards are established for the sake of quality control and planning purposes. In planning for new institutions and where existing staffing allows, statewide standards for unit management should include; a unit manager, assistant unit managers, correctional sergeants, correctional officers, program staff based on a ratio of 1 staff to 75 offenders, and a unit clerical position.
- (e) Coverage - Unit custody staff will provide 24-hour coverage of the unit and the Unit Manager, Assistant Unit Manager, and Case Managers will supplement staffing normally providing a minimum of thirteen hours' coverage four days per week and eight hours on weekends, at least once per month. The Assistant Unit Manager will normally work a staggered shift from the Unit Manager, routinely overlapping four hours per day and providing weekend coverage on a rotation basis as determined by the facility head.
- (f) Office Space - To help create positive offender-staff relationships allowing offenders easy access to unit staff charged with decision-making ability about their case, office space for unit staff will be located on or adjacent to the offender living quarters.
- (g) Training - Staff must receive initial and ongoing training regarding their roles and responsibilities. New unit staff should be provided initial training at the institution level upon assignment to a unit team. Within six months of appointment, new Unit Managers are encouraged to participate in a minimum of three days on-site mentoring and training with a Unit Manager currently operating a well-established functional unit. It is encouraged that this training occurs at a site other than the assigned institution where the Unit Manager is employed.

Prisons sponsored Unit Management training will occur upon a new institution opening that has been staffed to operate under the unit management concept. In addition, site specific training will be conducted for a facility converting to unit management prior to conversion and/or upon the request of the Director of Prisons.

.0707 UNIT OPERATIONS

Each unit, under the supervision of the Unit Manager, will be responsible for the following operational functions:

- (a) Offender Orientation - Each unit will be responsible for its own orientation program. This program will serve to inform new offenders of the unit programs, operations, and to get offenders into the mainstream of the unit as quickly as possible. The offender orientation shall be in written format and reviewed annually to ensure it is current with recent policy changes and relevant

issues. **Offender** orientation should be provided to offenders within 72 hours of assignment to the unit.

- (b) **Unit Team Meetings** - The Unit Manager will be responsible for leading unit team meetings a minimum of once per quarter. All unit team staff should attend these meetings to enhance communication and participate in planning and evaluation efforts involving unit operations. Minutes of these meetings should be submitted to the Assistant Superintendent with a copy provided to the Administrator.

The Unit Manager is responsible for sharing information from unit team meetings with appropriate staff and responding to staff regarding issues arising from unit team meetings. The Unit Manager is also responsible for soliciting other key personnel and department heads to present information, provide training and assess issues.

- (c) **Town Hall Meetings** - At a minimum of once per month, the Unit Manager or designee is responsible for chairing a town hall meeting involving offenders and unit team staff. Its intent is to serve as a two-way communication channel: staff can inform **offenders** about new procedures and changes in unit operations. **Offenders** can bring up suggestions of their own and discuss ways to improve how the unit functions. Town hall meetings are not the place for **offenders** to discuss issues that have only a personal relevance.

Town hall meetings should include all **offenders** on the unit if security and physical layout permits. Where security or physical layout prevent full meetings with all **offenders**, units may use a representative group of **offenders**. Minutes of these meetings should be submitted to the Assistant Superintendent with a copy provided to the Administrator.

The Unit Manager is responsible for sharing information from town hall meetings with appropriate staff and responding to **offenders** regarding issues arising from town hall meetings. The Unit Manager is also responsible for soliciting other key personnel and department heads to present information, provide training and assess issues. It is recommended that agenda items be submitted by **offenders** in advance of town hall meetings to allow for response preparation.

- (d) **Offender Disciplinary Action** - The Unit Manager is responsible for administering **offender** disciplinary procedures on the unit. **Offender** misconduct is to be reported to Unit Management or ranking unit staff member. This authority includes appointing investigating officers, charging offenders, accepting guilty pleas from **offenders** and the authority to dismiss charges. Unit Management has authority to impose punishment for guilty pleas. Unit Management will also be responsible for referral of disciplinary actions to the Disciplinary Hearing Officer for cases where **offenders** plead not guilty. Unit Management has authority to remove **offenders** from disciplinary **restrictive housing** in accordance with facility procedures.
- (e) **Administrative Remedy Procedures** - The Unit Manager is responsible for administering **offender** administrative remedy procedures. **Offenders** grievances will be filed on the unit, received by unit staff, logged in **Correspondence Tracking System (CTS)**, and investigated by unit staff. Responsibility for step 1 responses to grievances requires **Unit Management's** signature. If resolved on the unit level, no further review will be required. When appealed for step 2 response,

Unit Management is responsible for ensuring grievances are forwarded to the appropriate staff member **through CTS**.

- (f) Safety, Security, and Sanitation Inspections - **Unit Management** is responsible for the appearance, cleanliness and safety of their unit. Safety, security and sanitation standards provide a means of evaluating a unit's level of efficiency and effectiveness. Safety not only encompasses the physical plant, but also includes the responsibility of unit staff to provide an environment where **offenders** can live without fear of intimidation, reprisal, or unsafe conditions. **Unit Management** is responsible for ensuring compliance with institution and **DPS** Safety Policy, and reports all safety hazards in accordance with institution procedure. The Unit Manager will also serve or appoint a unit safety officer to serve on the institution safety committee. The Unit Manager, upon coordination with the OIC, will conduct emergency drills on the unit in accordance with institution procedures.

Correctional Officers and Sergeants are responsible for inspections of their assigned areas on a daily basis. The Assistant Unit Manager is responsible for conducting weekly inspections of the entire unit while the Unit Manager will conduct a formal documented inspection of the unit on a monthly basis.

- (g) Public Contact - When operational considerations permit, the Unit Manager is responsible for managing the telephone and visitation program for **offenders** on the unit to ensure procedures related to these programs are observed and accurate information is entered into OPUS or other record keeping systems. Facilities not staffed with division approved visitation officers, the Unit staff will generally be required to work during visitation periods and be available to meet with **offender** families and visitors as necessary. The Unit Manager has authority to reject visitors in accordance with DOP policy and shares with the OIC, responsibility for maintaining security in the visiting area.

The Unit Manager or designee will also coordinate special visits with attorneys, clergy, law enforcement officials and others as necessary to include the coordination of special tour groups in accordance with institution procedures.

Responding to telephone calls and correspondence from **offenders'** families, citizens, and government officials will also be a responsibility of the unit team. **Staff should utilize CTS for all correspondences.** Associated with this responsibility is the coordination of release plans for **offenders** being discharged or paroled.

- (h) Special Assignments and Projects - The Unit Manager is responsible for ensuring that appropriate post orders, standard operating procedures and emergency plans are developed and posted on the unit. This responsibility will include ensuring that all unit staff are familiar with these plans and that such plans are updated on an annual basis.

The Unit Manager may serve on institution, region and division level workgroups and committees and is eligible to serve as a member of the employee relations committee, directors classification committee, and other committees as designated. Unit team members may also be expected to

represent the division and institution in recruiting efforts at recruiting fairs and presentations at colleges and high school career day events.

Other special assignments for unit team members may include membership in PERT, SORT, HNT or other specialized training teams developed within the institution, region or division.

- (i) Security Risk Groups - The Unit Manager is responsible for identifying and making referrals of **SRG offenders** to the institution intelligence officer and ensuring communication between unit team members and the intelligence officer. As **offenders** are validated as members of a **SRG**, the unit team members must ensure phone calls and visitation involving **SRG offenders** are properly monitored and that validated **offenders** are searched according to policy.
- (j) Maintenance - The routine preventive maintenance of the unit will be the responsibility of the Unit Manager who will review work orders for maintenance needs on the unit that are initiated by unit personnel and ensure emergency maintenance needs are addressed in a timely manner.
- (k) Tool, Equipment, and Key Control - Tools, office equipment, security equipment, and keys assigned to the unit are the responsibility of the Unit Manager and an associated list will be maintained on the unit. The Unit Manager is also responsible for the proper care and protection of this equipment. Request for new or replacement equipment will be submitted by the Unit Manager to the appropriate manager as needs exist.
- (l) Offender Personal Property - Following initial assignment or reception at the institution, unit team staff will be responsible for maintaining, inventorying and disposition of **offender** personal property.
- (m) Records Management - If **offender** records are maintained on the unit, the **Unit Manager** is responsible for the safekeeping and organization of these records.

.0708 CLASSIFICATION / CASE MANAGEMENT / PROGRAMS

It is the expectation that each unit will work closely with institution program staff to develop, implement and monitor classification and case management procedures, and institutional or unit programs to provide opportunities for the productivity and development of the **offenders**, ensuring the needs of the **offenders** are an integral part of assignment decisions.

- (a) Classification - The primary goal of classification is the systematic process of coordinating **offender** assessment and assignment procedures in order to minimize community and institutional risks. The classification process manages and coordinates assignment to the various prison institutions, unit housing assignment within the institution, custody levels, control conditions, work, and program activities as appropriate and necessary for these purposes.

Classification referrals should be coordinated through **Unit Management** prior to review by classification authorities outside the unit. Unit Managers are responsible for ensuring classification reviews are conducted timely in accordance with policy and the implementation of

classification decisions made. **Unit Management** is the final approving authority for classification actions where case factors indicate no custody change is required or recommended.

Unit Sergeants may approve **restrictive housing for administrative purposes** for up to 3 days. Unit Managers have authority to approve **restrictive housing for administrative purposes** for time periods ranging from 3-15 days. **Restrictive housing for administrative purposes** beyond 15 days will require institution level authorization as designated by policy. Unit Managers may also authorize removal from **restrictive housing for administrative purposes** during the initial 15-day confinement period. Unit Managers are responsible for ensuring referrals are prepared for any **offender** being recommended for **restrictive housing for administrative purposes** beyond 15 days and tracking and monitoring the **offender's** status during the 15-60 day time period.

A principle of unit management that is recommended but not required by this policy involves leaving an **offender** assigned to the same unit throughout his or her entire assignment to the institution. This promotes the concept of staff knowing the **offender** best being responsible for classification and management decisions regarding the **offender**. Institutions have the flexibility to move **offenders** within the institution as necessary, however, such reassignments within the institution should be minimal.

- (b) Case Management - It is division policy that each **offender** receives a case management assessment, plan, and receive services based on the needs that are identified in the assessment. Further, each **offender** is eligible to receive correctional counseling from a staff member designated to provide case management services.

The Unit Manager, as the unit's case management specialist, serves as the supervisory staff person responsible for managing the case management system in the unit. This will involve ensuring that case management assessments, a case plan, and case notes are maintained by Case Managers on each **offender** assigned to the unit. The **Unit Manager I** serves as the immediate supervisor of the Case Managers on the unit team and is responsible for caseload assignments, ensuring that monthly contacts are maintained and case management notes are recorded in accordance with division policy.

- (c) Programs - Unit staff must work with institution program staff in coordinating and implementing programs for **offenders** to include community volunteer programs. New programs being developed involving **offenders** from the unit require consultation with and approval by the Unit Manager prior to implementation. Where possible and practical, programs should be conducted on the unit.

Recreation activities and special events are specifically encouraged to be developed on the unit level where possible and practical. Such activities may supplement and be conducted in conjunction with institution wide activities and special events. Institutions are encouraged to provide institutional / regional canteen funds designated for each unit and controlled by Unit Managers in accordance with canteen fund policy. Unit Managers are encouraged to use these funds for providing recreational activities and special events for their unit to include procurement of recreation equipment and supplies in accordance with existing canteen fund and purchasing policies.

- (d) Sentence Reduction Credits - Gain/Earned Time - **Offender** participation in programs and work assignments will be awarded gain/earned time and sentence reduction credits as specified by division policy. **Unit Management** will monitor the awarding of such credits ensuring offenders are placed on or removed from gain/earned time status as the needs exist. **Unit Management** is final approving authority for overtime reduction credits up to 10 days and recommends credits exceeding 10 days. **Unit Management** is also responsible for initiating or reviewing recommendations for good time restoration.

.0709 STAFF SUPERVISION AND MANAGEMENT

The Unit Manager, as the supervisor or manager of all unit team members, is directly involved in personnel management and decision making as indicated but not limited to:

- (a) Employee Disciplinary - The Unit Manager can take corrective action on unit team employees to include coaching sessions upon consultation of the Assistant Superintendent. He or she can conduct preliminary investigations of misconduct occurring on the unit and will conduct disciplinary investigations as assigned by the Assistant Superintendent. The Unit Manager **may recommend** the level of disciplinary action on unit personnel, but does not “issue” disciplinary action. The Unit Manager should be included in meetings with unit personnel involving written warnings, suspensions, demotions, and dismissals as policy permits.
- (b) Valuing Individual Performance (VIP) Appraisal System - The Unit Manager is responsible for the **VIP** process on all unit team members. This includes conducting **VIP** reviews on the Unit Manager I and performing reviews of **VIP**'s performed by the Assistant Unit Manager and Unit Sergeants. The Unit Manager shall ensure **VIP**'s are consistent with disciplinary actions and action plans are developed for improving performance when necessary.
- (c) Scheduling, Shift Assignments and Time Reports - Ultimate responsibility for managing the scheduling, shift assignments and time reports of unit team members is the responsibility of the Unit Manager. **Unit Management** will monitor overtime, the scheduling of leave ensuring all assigned unit posts are covered on a daily basis and works in cooperation with the OIC in overall staffing of institutional custody personnel. Request for selected staff to be assigned to the unit team and request from unit team members wanting to move to other units or operation team must be endorsed by the Unit Manager.
- (d) New Hire and Promotional Process - The Unit Manager may serve as a member and often chairman of an institution interview team for the purpose of hiring personnel below the rank of Unit Manager. He or she will make written recommendations on applicants being considered for initial employment, permanent status, and promotions to positions below the Unit Manager level.
- (e) Staff Orientation / Training - Each Unit Manager will be responsible for an orientation program for new staff assigned to the unit team. This program will serve to inform new staff of the unit programs, operations, and to get staff into the mainstream of the unit as quickly as possible. The orientation shall be in written format and reviewed annually to ensure it is current with recent

policy changes and relevant issues. Staff orientation should be provided prior to assignment to any post or unit duties.

Unit Managers should review their staff constantly to assess strengths and weaknesses. The use of staff meetings, informal coaching, and in-service training programs are excellent methods of fostering personal development. Whenever possible, cross training and opportunities for staff serving in an acting capacity are encouraged.



Director of Prisons

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