

# **State of Iowa Department of Corrections**

## **Policy and Procedures**

Policy Number: AD-PR-11

Applicability: Institutions, CBC, CO, IPI

Policy Code: Public Access

Iowa Code Reference: N/A

Chapter 1: ADMINISTRATION & MANAGEMENT

Sub Chapter: PERSONNEL

Related DOC Policies: IO-SC-14, IO-SC-15

Administrative Code Reference: N/A

Subject: IOWA DEPARTMENT OF CORRECTIONS GENERAL RULES OF EMPLOYEE CONDUCT

PREA Standards: 115.17(f)(g), 115.217(f)(g)

Responsibility: Steve Dick, Susie Pritchard

Effective Date: June 2023

Authority:

### **1. PURPOSE**

To describe the procedures that shall be used in all Iowa Department of Corrections (IDOC) locations to ensure employees are aware of the general rules of conduct as established in this policy.

### **2. POLICY**

It is the policy of the IDOC to protect the rights of employees, enforce high standards of professional conduct, and ensure a safe and efficient operation in compliance with all applicable state regulations and laws.

### **CONTENTS**

- A. Employee Acknowledgement of Receipt of Rules
- B. Mission
- C. Code of Conduct
- D. General Explanation of Work Rules and Policies
- E. Personal Ethics

- F. Information and Communication
- G. Reporting to Work and Alertness on Post
- H. Professional Demeanor
- I. Computer Security
- J. Property and Equipment
- K. Security

### **3. DEFINITIONS - See IDOC Policy AD-GA-16 for Definitions.**

## **4. PROCEDURES**

The following rules were established in 1998 and are being incorporated into this policy.

### **A. Employee Acknowledgement of Receipt of Rules**

All IDOC employees shall receive a copy of this policy upon hire and their signed acknowledgement, **AD-PR-11 F-1**, *Acknowledgment of Receipt of Iowa Department of Corrections General Rules of Employee Conduct*, shall be placed in their personnel file.

### **B. Mission**

1. The IDOC, through its employees, is required by law to manage and rehabilitate convicted clients/incarcerated individuals in its care to create opportunities for safer communities.
2. To achieve that mission, employees and volunteers carry out activities that protect the public; provide a safe, secure, and humane environment for employees, clients/incarcerated individuals, and visitors; and provide opportunities designed to assist clients/incarcerated individuals in eliminating future criminal behavior.

### **C. Code of Conduct**

1. The IDOC's mission requires all personnel to provide specific services and to follow established regulations and procedures.

2. Employees are charged with the responsibility of complying with IDOC's, Institution's, and Community-Based Correction's (CBC) work rules, orders, policies and procedures, along with municipal, county, state and federal laws, and the applicable rules of regulatory agencies that apply to them.
3. Employees are expected to be familiar with their job description, essential functions, performance standards and job duties. Employees are expected to perform their duties in an impartial manner.

#### **D. General Explanation of Work Rules and Policies**

1. When "authorized" or "unauthorized" is referred to in these rules, "authorized" means verbal or written approval by the appropriate supervisory authority; whereas "unauthorized" indicates such approval has not been received.
2. Infraction of these rules does not constitute all of the reasons for which employees may be disciplined.
3. These rules are in addition to rules provided by statute, by Iowa Code, by administrative and institutional/facility procedures established by management to meet specific conditions.
4. Violation of any of these rules may result in appropriate disciplinary action, up to and including discharge.

#### **E. Personal Ethics**

Employees Shall:

1. Conduct themselves in a professional manner that creates and maintains respect for the IDOC and the individuals served.
2. Avoid any action that might adversely affect the public confidence in the state criminal justice system.
3. Not use their official position to secure special privilege or advantage.
4. Obey all applicable federal, state, and local laws and the policies of the IDOC, institutions, and CBC.
5. Inform their supervisor immediately if under investigation, arrested, charged, convicted, or required to appear in court for any criminal

offense including moving violations and/or administrative actions that result in loss of driving privileges or weapons permit. A written report shall be provided to the Warden, District Director, or the Director of Corrections within 24 hours of occurrence.

6. Report any violation of law or policy that could affect the security or operation of the IDOC to the Warden, District Director, or the Director of Corrections within 24 hours of occurrence.
7. Report any conviction for sexual assault or sexual abuse of a client/incarcerated individual in a prison, jail, lockup, community confinement facility, juvenile facility, or other institution; or if they have been convicted of engaging or attempting to engage in sexual activity in the community facilitated by force, overt or implied threats of force, or coercion, or if the victim did not consent or was unable to consent or refuse; or if they have been civilly or administratively adjudicated to have engaged in any such conduct. Material omissions or the provision of materially false information regarding sexual assault or sexual abuse of a client/incarcerated individual as described above shall be grounds for termination. **(PREA 115.17(f)(g), 115.217(f)(g))**
8. Cooperate fully and truthfully in oral statements, official documents, inquiries, investigations, and/or hearings. Employees may not withhold information or impede any of these processes.
9. Not give nor receive cash or articles from former or current clients/incarcerated individuals, family members, or person(s) acting on the behalf of a current or former client/incarcerated individual; nor may employees trade in any way with clients/incarcerated individuals.

## **F. Information and Communication**

Employees Shall:

1. Use and disseminate client/incarcerated individual information only between authorized employees for approved security or professional use.
2. Not reveal detailed information concerning occurrences, incidents, disturbances, acts of misconduct, or security matters except as authorized by the Warden, District Director, or the Director of Corrections.

3. Treat all information as confidential unless it is specifically known to be otherwise, and follow all established security procedures to maintain that confidentiality. News or media releases regarding institutional or CBC security matters must be authorized and released by the Warden, Director of Corrections, or the District Director.
4. Not have any discussion of security matters relating to district/institutional discipline or management in the presence of clients/incarcerated individuals.
5. Not have any unauthorized association or unofficial communication with current clients/incarcerated individuals or former clients/incarcerated individuals and their families or any other person acting on behalf of the clients/incarcerated individuals or former clients/incarcerated individuals. When such contacts or communication occurs, employees are required to submit a written report to their supervisor on the first workday following the contact. Ongoing employee contacts with current clients/incarcerated individuals, former clients/incarcerated individuals, their families, or close associates shall be limited to those persons with whom the employee was acquainted or associated with prior to the client's/incarcerated individual's entry into the IDOC supervision. In such cases, the employee is required to advise the Warden/District Director, in writing, of the nature, extent, and history of the relationship.
6. Employees shall have a legitimate business reason to access information on any former or current client/incarcerated individual. Employees shall be locked out of ICON access to current or former friends or family members who are or have been under supervision to the IDOC.
7. Not carry on unofficial communication with a client/incarcerated individual or with an outside party on behalf of a client/incarcerated individual nor assist or be a medium of unofficial communication between clients/incarcerated individuals or other persons.
8. Not have any personal involvement in any client's/incarcerated individual's application for employment, parole, pardon, writ of habeas corpus, court action, or provide work evaluations, except where specifically required by official job duties or approved by the Warden/District Director, or the Director of Corrections/Designee.

## **G. Reporting for Work and Alertness on Post**

Employees Shall:

1. Report promptly for duty at the designated time and place. Unscheduled absenteeism or tardiness from work and the reason(s) shall be reported to the immediate supervisor as soon as it is known.
2. Maintain personal hygiene.
3. Carry identification cards, dress appropriately and professionally for duty assignments in accordance with IDOC and institutional/district dress code policy.
4. Report to work physically and mentally prepared to perform assigned tasks.
5. Not report to work under the influence of alcohol or illegal drugs.
6. Not consume intoxicating beverages or substances while on duty (includes breaks, lunch or while operating state vehicles) or up to eight hours prior to reporting for duty.
7. Cooperate fully and professionally when required to undergo a personal search upon entering any IDOC location.
8. Remain fully alert and attentive while on duty.
9. Notify immediate supervisor if required to take any medication that may impact job performance.
10. Use only reading or writing materials required for assigned duties. Employees are prohibited from participating in activities unrelated to job duties or bringing unauthorized reading material, radios, scanners, beepers, cell phones, or other items of contraband into the institution. For Community-Based Corrections, defer to local procedures as established.

#### **H. Professional Demeanor**

Employees Shall:

1. Treat other employees, clients/incarcerated individuals, guests, visitors and the public with respect, courtesy and fairness.
2. Not threaten, intimidate, or make false or malicious statements concerning fellow employees or those we serve.

3. Control client/incarcerated individual behavior using only the force necessary to defend yourself, another person, property, or to prevent an escape. In the case of an escape in Community-Based Corrections, defer to your local policies/procedures/use of force guidance for escapes. Any use of physical force shall be reported and documented in accordance with departmental policy.
4. Correct client/incarcerated individual behavior using the appropriate level of corrective action when a client/incarcerated individual fails to follow rules and regulations.
5. Not be involved in boisterous or inappropriate discussion and behavior that would disrupt orderly operations. Any acts of violence or horseplay are prohibited.
6. Obey a supervisor's lawful orders. Instructions that the employee believes unnecessarily jeopardize health and safety regulations must be immediately reported to an authority higher than the person giving the directive.
7. Not harass or discriminate against others based on race, color, religion, sex, sexual orientation, marital status, age, national origin, physical or mental disability, or criminal history.
8. Not sell, use, possess, purchase, manufacture, distribute, or transfer any illegal drug or alcoholic beverage while engaged in state business or operating a state vehicle. Law and policy prohibit complicity in the use, possession, sale, or exchange of illegal drugs or narcotics.
9. Not engage in discussions or actions that may lead to sexual contact between employees and clients/incarcerated individuals under Departmental supervision.

## **I. Computer Security**

Employees Shall:

1. Only access computer programs for which they have authorization.
2. Not allow clients/incarcerated individuals access to computer terminals without authorization.

3. Not load or copy any personal software on any computer system unless approved by the Systems Administrator, Warden, District Director, or the Director of Corrections.
4. Use copyrighted software only in accordance with its license or purchase agreement.
5. Use IDOC computer system(s) and programs only for Department of Corrections business.
6. Not use and/or give out password(s) information on hardware, software, or computer related supplies and documentation unless consistent with authorization from the Systems Administrator, Warden, District Director, or the Director of Corrections.
7. Not use software that is designed to destroy data, provide unauthorized access to the computer systems, or disrupt computing processes in any other way.

## **J. Property and Equipment**

Employees Shall:

1. Not convert or use state property or equipment for personal reasons. Unauthorized possession, lending, borrowing, duplication, or careless or improper use of state property (to include but not limited to telephone, fax, internet) or identification card is prohibited.
2. Report lost or damaged state property or equipment to the supervisor, as soon as possible.
3. Not bring personal equipment or tools into the facility/workplace, unless explicitly authorized by the Warden/District Director/Designee.
4. Abide by, and require client/incarcerated individual compliance with, all safety, health, sanitation, and security rules including the use of protective equipment and clothing in the operation of all equipment, machinery, and vehicles.
5. Not operate or allow clients/incarcerated individuals to use any equipment, machinery, or vehicles that they have not been specifically trained, licensed, certified, and authorized to use.



6. Not make audio or video recordings or take photographs of client/incarcerated individual, employee, visitor, and guest activities except as specifically authorized. Any such recordings or photographs shall be used for authorized purposes only. Exceptions may be approved by the Warden/District Director.
7. Personal Devices
  - a. Institutions Only - Not take any personal device with independent Internet connection (i.e., Kindle, Nook, Iphone, smart phone, smart watch with SIM card, etc.) inside the secured perimeter of the institution without the approval of the Warden or Deputy Director of Institution Operations.
  - b. Community-Based Corrections - Defer to local procedures as established.

## **K. Security**

Employees Shall:

1. Respond and contain emergency situations as quickly and safely as possible using available personnel, skills and resources and following all institution/facility directions.
2. Not enter unauthorized areas of the institution/facility unless specifically approved to do so by their supervisor or by issuance of keys.
3. Obtain approval from the on-duty supervisor to enter the institution during non-work hours. Employees shall be dressed appropriately and in possession of their identification card.
4. Maintain physical control of security items at all times. This shall include keys, tools, and communication devices. When not in use, institution/facility keys, dangerous tools (included but not limited to knives and scissors), and communication devices shall be returned and kept in a designated secure area per IDOC Policy **IO-SC-14**, *Key Control*, and **IO-SC-15**, *Tool Control*, shall be adhered.
5. Ensure all vehicles are secured while on institution/facility grounds.
6. Not possess or leave alcohol, personal firearms, weapons, ammunition, illegal drugs, or other items in vehicles on state property that may present a threat to institution/facility security.

7. Provide the Personnel Office a current address and a telephone number where personnel may reach them in a reasonable amount of time. Employees must immediately notify the Personnel Office of any change in address, telephone number, or emergency notification details.
8. Report all hazards, accidents, or injuries to appropriate personnel according to established policy.