State of Iowa Department of Corrections

Policy and Procedures

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1. PURPOSE

To describe the Unit Management system procedures that shall be used for management of incarcerated individuals committed to Iowa Department of Corrections (IDOC) institutions.

2. POLICY

It is the policy of the IDOC to use a Functional Unit Management system within its institutions. Consistency is an important component of institutional operations and Unit Managers must work closely with each other and other supervisory staff to develop and maintain consistency where it is in the best interest of the institution. However, Unit Management is best implemented where a sufficient level of authority is decentralized so that Unit staff has the flexibility necessary to effectively oversee the operation of the Unit and the delivery of programs and services within the Unit.

3. DEFINITIONS – As used in this document:

A. Housing Unit - A self-contained area that is part of a larger institution including one or more living units for incarcerated individuals and work space for Unit staff. This may also be referred to as a Management Unit in some institutions.

B. Unit Management - A team-oriented approach to correctional management in which decision-making authority is shared by the Warden with supervisory personnel who are physically placed in close proximity to the staff and incarcerated individuals supervised. Authority, then, is further shared with a multi-disciplinary team within the Unit. Unit Management is designed to increase the frequency and quality of interaction between staff and incarcerated individuals and to ensure that program decisions are made by those who are most familiar with the incarcerated individual.

C. Classification Team - Each Housing Unit shall be staffed by a Classification Team that includes, but is not limited to, a Unit Manager, security and treatment staff who work primarily in the Unit and who are directly responsible for the incarcerated individuals living in that Unit. Classification staff offices shall be located in the Unit where feasible, to facilitate staff and incarcerated individual accessibility to one another. Classification Team members may have responsibilities in more than one Unit.

D. Living Unit – A subcomponent of a Housing Unit for incarcerated individual housing. Typically each Housing Unit will include several living units, each which may have a unique program component or custody designation. This may also be referred to as a Pod in some institutions.

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4. PROCEDURES

A. Unit Management Applicability

The size of housing units is determined on the basis of the ability to effectively oversee the operation of the living units and to allow more effective delivery of programs and staff services to incarcerated individuals. Factors considered in determining the size of a housing unit may include:

1. Incarcerated individual custody levels
2. Physical plant
3. Unit programming (e.g., therapeutic community-Protective Custody)
4. Incarcerated individual special needs
5. General population versus segregation
6. Level of programming

B. Classification Team

1. The Classification Team shall be comprised of the following staff that are described generally throughout this procedure:

    a. Unit Manager

    b. Unit Supervisor

    c. Correctional Counselor

    d. Unit Officers

    Other members of the institution's staff such as psychologists, work supervisors, educators, and others may serve either as a permanent member of the Unit Team, or in an advisory capacity. While such personnel may be supervised by an Associate Warden of Treatment or other supervisor, Unit Managers may have input into these staffs' schedules, assignments and performance.

2. Some classification teams may be on units based on specialized populations. Other classification teams may use General Population counselors and Unit Managers that for rapport building and consistency purposes an incarcerated individual maintains throughout the individual's stay at an institution.

3. Team members are available to assist the incarcerated individual in a variety of areas including classification, program planning, and pre-release planning and release issues, counseling, institutional adjustment, and general supervision.

4. Assignments, including post assignments and incarcerated individual caseloads are determined by the Unit Manager. Continuity of assignments is encouraged to support direct supervision of the incarcerated individual population.

5. Institutions shall develop specific procedures for involving the Unit Team in implementing Unit Management.

6. The Unit Manager shall develop an orientation and training program for the unit staff in collaboration with the Shift Supervisor, Training Specialist and other supervisors (e.g., Associate Warden of Treatment). The training shall be tailored to the circumstances/duties of the employee, but include the following topics, at a minimum:

    a. Unit rules and schedules

    b. Expectations and post orders

    c. Parameters of staff authority

7. Unit Manager

    The Unit Manager is the supervisor in charge of the Housing Unit and oversees unit staff, physical plant, programs and activities. The Warden shall assign Unit Managers to a specific housing unit.

    a. The Unit Manager must work in close cooperation with the Associate Warden of Security, the Associate Warden of Treatment, and the on-duty Shift Supervisor. The Warden may directly supervise or designate a member of the executive team to supervise the Unit Manager.

    b. The Unit Manager completes job descriptions, post orders, supervises and completes performance appraisals for the Unit

Supervisor assigned to the Housing Unit, Correctional Counselors, and Living Unit Officers. The Unit Manager may delegate supervisory responsibilities to the Unit Supervisor as necessary.

c. The Unit Manager serves as the chairperson of the Unit Classification Committee and is responsible for maintaining quality assurance of incarcerated individual records. Audits of records shall be conducted on a regular basis, but at least annually in accordance with Policy **IS-CL-02**, *Incarcerated Individual Classification*.

d. The Unit Manager shall routinely make personal contact with staff assigned to all shifts.

8. Unit Supervisor

A Unit Supervisor may serve in the capacity of the Unit Manager in that individual's absence and may be assigned specific ancillary responsibilities such as supervision of the minor disciplinary report process, on-unit incarcerated individual work assignments, etc., as outlined in this policy. Generally, Unit Supervisors and Unit Managers will work different shifts to expand their supervision capabilities.

a. The Unit Supervisor is directly supervised by the Unit Manager and shall work in close cooperation with the Shift Supervisor, particularly when the hours of work are outside those worked by the Unit Manager.

b. The Warden/executive team shall assign Unit Supervisors to a specific unit.

9. Correctional Counselor

The Correctional Counselor provides IDOC and Iowa Board of Parole (IBOP) casework, participates in the classification process as well as the following:

a. Programs and providing counseling and guidance for incarcerated individuals on institutional conduct, personal difficulties, social skill development, criminality and individual change,

b. Plans for the future and community reentry, and

c. Assists resolving daily problems.

1. Correctional Counselors shall routinely visit incarcerated individuals at their work and program assignments and are a primary resource for incarcerated individuals.

2. The Correctional Counselor develops schedules for group counseling.

3. Correctional Counselors are directly supervised by the Unit Manager and shall work in close cooperation with the Associate Warden of Treatment.

10. Unit Officers

Unit Officers have direct responsibility for the enforcement of rules and regulations and the day-to-day supervision of incarcerated individuals and incarcerated individual work crews. Officers have security, safety, and sanitation responsibilities in the Unit. Officer posts are located immediately adjacent to incarcerated individual living areas to permit Officer to hear and respond promptly to emergency situations. In many cases. i.e., direct supervision living units, the Officer shall be posted directly in the living unit.

a. Unit Officers are in regular contact with incarcerated individuals in the unit and are encouraged to establish positive professional relationships with incarcerated individuals that will enable them to better carry out their security and safety responsibilities.

b. Unit Officers are directly supervised by the Unit Manager and/or Unit Supervisor and must work in close cooperation with other security staff and the on-duty Shift Supervisor and unit team. If a unit supervisor is not on duty, unit staff shall be supervised by the on-duty Shift Supervisor or other designated supervisor. Shift supervisors are encouraged to provide input into Unit Officers' performance evaluations. The Unit Manager shall assist night shift supervisors in the development of Unit Officer performance expectations. These night shift performance evaluations shall be completed by the designated supervisor in consultation with the Unit Manager.

C. Housing Assignments and Classification Functions

1. The Deputy Director of Institution Operations/Designee assigns incarcerated individuals to a specific institution; the Institutional Classification or Orientation Unit team makes assignments to the specific unit; and the Unit Team makes a living unit and Correctional Counselor assignment. The criteria for making housing unit and living unit assignments shall include:

    a. Programmatic requirements

    b. Levels

    c. Custody Classification

2. Cell/room assignments are made by the Unit Manager or designee. Where warranted, the Unit Manager, in consultation with Living Unit Officers, shall typically make changes in incarcerated individual cell/room assignments. Each institution shall establish procedures that outline staff responsibilities and authority to take immediate measures to separate or isolate incarcerated individuals in urgent or emergency situations.

3. Classification functions within the unit shall be the responsibility of the Unit Team including, but not limited to:

    a. Internal classification

        1. Cell or room assignment

        2. Level incentive program assignment

        3. On-unit work assignment

    b. Custody classification

    c. Transfer recommendation

    d. Reentry Case Management

        1. Review risk and needs assessments

        2. Identify criminogenic needs

        3. Refer to programs and other resources to improve

adjustment, address needs and reduce risk

4. Transition and release planning

5. Review and address high risk behaviors

6. Review and reward prosocial behavior

e. Release recommendations

4. The Associate Warden of Treatment shall be advised in advance of unit classification meetings including being notified of the incarcerated individuals whose progress is to be reviewed. The Associate Warden of Treatment is encouraged to attend classification meetings.

5. If an incarcerated individual review is criteria based (e.g., TIP assignment, custody classification), the Unit Team shall make the final determination. If a custody classification override is appropriate, the Associate Warden of Treatment shall review the recommendation and make a final determination.

6. The Unit Team shall make all intra-unit decisions concerning programs, work or other activities. Decisions concerning these factors as they occur off the housing unit shall be made by the appropriate institutional authority responsible for the activity.

D. Communication and Access to Unit Team

1. Unit staff shall use a variety of methods to ensure effective intra-Unit staff communication including direct discussion, telephone, Unit log entries, incarcerated individual behavior logs, electronic communications such as e-mail or internal databases, including ICON and others, and formal or informal Unit Team meetings. The focus of this communication shall be on the effective management of the Unit, appropriate use of resources, and the resolution of problems at their lowest level.

2. Unit staff shall work to ensure that effective communication with employees throughout the institution is maintained. Unit staff must work cooperatively with the Security Department, Health Services, Food Services, Education staff, and work supervisors. The Unit Manager shall work closely with other Unit Managers and other supervisory staff in

order to develop consistency. The Unit Manager shall ensure that Unit issues and information are shared with other institution managers and that pertinent information from the institution's administration is appropriately shared with staff.

3. Effective communication between staff and incarcerated individuals within the Unit is critical. Effective methods of ensuring that the lines of communication between staff and incarcerated individuals remain open to include direct discussion between staff and incarcerated individuals, facilitating a Unit Council composed of representatives of the incarcerated individual population, posted and disseminated Unit rules and procedures, maintaining bulletin boards, and conducting Unit meetings.

4. Unit Officers shall interact with incarcerated individuals on a continual basis with formal rounds being conducted on a frequent, at least every 30 minutes, and irregular basis to foster communication in the living unit.

5. The Unit Managers, Unit Supervisors and Correctional Counselors shall make frequent rounds and inspections of their areas of responsibility, interacting with incarcerated individuals and staff. Each institution shall establish standards for these rounds and inspections.

6. Unit Managers shall maintain regular presence in their housing units and living units to enable regular and open staff and incarcerated individual access. Hours of availability shall include evenings, nights and weekends, as established in institutional procedures.

7. Unit Managers establish incarcerated individual access requirements for Unit Supervisors, providing coverage of evenings, nights and weekends.

8. Unit Managers shall establish incarcerated individual access requirements for the Correctional Counselor. This will include evening and weekends as permitted by the collective bargaining agreement.

9. Schedules of hours for unit staff, other than Unit Officers, shall be posted so that incarcerated individuals and staff are aware of staff availability.

E. Unit-based Activities/Programs

1. The Unit Manager shall ensure that unit-based activities/programs are

scheduled and that the schedule is posted in each living unit.

2. Unit-based schedules may include, but not limited to:

   Meal rotation (consistent with institution procedures)

   a. Mail

   b. Laundry

   c. Counseling groups

   d. Recreation

   e. Volunteer activities in the living units

3. Unit-based activities may include incarcerated individual-led activities. These activities shall be approved by the Unit Manager with input from the Unit Team.

4. Any incentives that involve inter-unit activities or outside purchases must have the approval the Warden.

F. Housekeeping and Safety Plans

1. The Unit Manager is responsible for implementing a unit housekeeping plan for cleaning of all areas within the Housing Unit and living units.

2. The Unit housekeeping plan shall include incarcerated individual worker job descriptions approved by the Unit Manager.

3. Regular Housekeeping inspections shall be conducted by staff as follows:

   a. Monthly by Health and Safety/Infection Control committee or representative,

   b. Unit Manager – formal weekly inspection, and

   c. Daily inspections by staff designated by the Unit Manager.

4. Safety inspections shall be conducted by the Unit Manager at least

weekly. Any safety issues shall be addressed or a work order shall be submitted to ensure the issue will be addressed.

5. Fire and other safety inspections are outlined in the institution's fire safety policy and procedures in accordance with **IO-SE-01**, *Fire and Life Safety*.

6. A copy of the monthly institutional safety inspection, conducted by the assigned Institutional Safety Officer/Coordinator, shall be provided to Unit Managers so that issues within their control can be addressed.

G. Rules and Discipline

1. Each Unit Manager shall be responsible for development and implementation of rules specific to the Housing Unit. Unit Managers are encouraged to solicit input from their assigned staff including identifying rules that Unit Officers may develop. Unit rules may address, but not be limited to:

    a. Cell/Room lines

    b. Time out of Cells/rooms

    c. Day room access

    d. Doors open or closed

    e. TV

    f. Intra-unit movement

    g. Laundry

    h. Recreation yard access

2. All Housing Unit rules are subject to the review/ approval of the Warden or designee and consistency across similar units is encouraged. All unit rules shall be posted and included in the incarcerated individual's orientation to the Housing and living units in accordance with **IO-RD-01**, *Overview and Philosophy of Incarcerated Individual Discipline*.

3. The process and disposition of rule violations shall be in accordance with

IO-RD-01.

H. Maintenance

1. Maintenance of the unit shall be accomplished in accordance with **PP-BS-03**, *Preventive Maintenance Program*.

2. Preventive maintenance requests (e.g., painting) shall be submitted by any employee to the Unit Manager who shall process the request and forward to maintenance, if appropriate.

3. If there is a need for a repair, the discovering officer shall submit a work order in accordance with **PP-BS-03**, and notes the work order on the Post Log Book.

4. Maintenance inspections shall be conducted by the Unit Manager or designee at least weekly. Any maintenance issues shall be addressed or a work order shall be submitted to ensure the issue will be addressed.

5. The Unit Manager shall review the work orders for their unit on a regular basis to ensure maintenance issues are addressed in a timely manner.