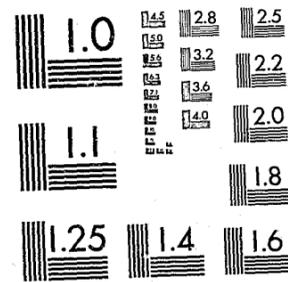


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AMERICAN CORRECTIONAL ASSOCIATION

# STANDARDS for Adult Correctional Institutions

Second Edition

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ation with the  
MISSION ON ACCREDITATION  
CORRECTIONS



Funded by the Standards Program Management Team, Office of  
riminal Justice Programs, Law Enforcement Assistance Administration,  
United States Department of Justice

# **STANDARDS for Adult Correctional Institutions**

**Second Edition  
January 1981**

NCJRS

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**AMERICAN CORRECTIONAL ASSOCIATION**

**In cooperation with the  
COMMISSION ON ACCREDITATION  
FOR CORRECTIONS**

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## AMERICAN CORRECTIONAL ASSOCIATION

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### Percentages and Totals of Weights (Mandatory, Essential, Important)

CATEGORY	NUMBER	PERCENT
Mandatory	44	8.9
Essential	388	78.4
Important	63	12.7
Total	495	100.0

### Mandatory Standards and Numbers

- (2) Training and Staff Development: 2-4096, 2-4097
- (2) Physical Plant: 2-4134, 2-4155
- (12) Safety and Emergency Procedures: All except 2-4170, 2-4171
- (4) Security and Control: 2-4186, 2-4206, 2-4208, 2-4210
- (1) Special Management Inmates: 2-4223
- (5) Food Services: 2-4238, 2-4241, 2-4244, 2-4246, 2-4248
- (4) Sanitation and Hygiene: 2-4255, 2-4256, 2-4258, 2-4259
- (10) Medical and Health Care Services: 2-4272, 2-4275, 2-4279, 2-4284, 2-4285, 2-4286, 2-4289, 2-4300, 2-4314, 2-4317
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- (1) Classification: 2-4402
- (1) Inmate Work Programs: 2-4416

## Foreword

Over three years have elapsed since the publication of the original *Manual of Standards for Adult Correctional Institutions*. During that period the standards have been used by numerous correctional agencies throughout the United States and Canada. Over 600 agencies—almost one fourth of all correctional institutions—are now involved in the accreditation process with the Commission on Accreditation for Corrections. Thirty-two institutions, both state and federal, have been accredited and many more are presently involved in the process of accreditation and standards compliance. Two of these institutions are operated by the Correctional Service of Canada.

With the publication of this second edition of the standards, correctional agencies are being asked to achieve an even higher level of performance. Certain standards relating to life, health and safety issues have been labeled mandatory and must be complied with in order to achieve accreditation. Both the experience with accreditation and the desire of the field to raise the standards indicate a willingness to achieve and maintain quality correctional services. The standards are a clear statement that corrections professionals recognize good practice and want to improve their performance, regardless of legal or policy restrictions, funding difficulties, or the pressures of increased populations now facing most correctional systems.

The desire to improve correctional practice began with the American Correctional Association's *Declaration of Principles* in 1870. They were followed by additional guidelines and several editions of the original *ACA Manual of Correctional Standards*. Throughout the standards development process the dedication and commitment of many individuals can be found. Several are listed in the original and second editions of the manuals of standards. Crucial to this development process has been the financial support of the Law Enforcement Assistance Administration and several private foundations and organizations.

The standards now provide administrators with the opportunity to develop a planned program for upgrading facilities and procedures in accordance with a nationally recognized and respected format. The standards can assist administrators in working effectively with the courts and legislatures. Compliance is not easy. It may require substantial change in traditional operating procedures, including the implementation of practice which challenges existing law and procedure. Some standards require additional funds. Such changes can now be based on a consensus from the field of corrections that we are proceeding in a direction which will provide more humane conditions in institutions, ensure the safety of staff and inmates, and ultimately provide the programs and services necessary to assist offenders in returning to society.

The goals of meeting high standards of performance and achieving accreditation are now well established. Corrections professionals are working with the Association and the Commission in the effort to upgrade the field using the standards contained in this volume. Continued efforts to meet the standards will lead to greater support from legislative, executive and judicial branches of government and, in doing so, provide the basis for the improvement of correctional systems.

Anthony P. Trivisono  
Executive Director  
American Correctional Association

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## Preface

Adult correctional institutions continue to be a growing phenomenon in the justice system. In the United States, increasingly larger numbers of persons are incarcerated each year and a record number—in excess of 300,000—was reported for calendar year 1979. The record numbers reflect hardened public attitudes about crime and the perpetrators of crime. These attitudes have fostered more intensive and effective law enforcement, vigorous prosecution and the development of more severe sanctions in the form of mandatory sentencing. The move towards mandatory determinant sentencing has contributed to the growth of adult correctional institutions and the complex problems associated with the operation and maintenance of such institutions.

Despite the parallel development of alternative programs to imprisonment and the increased emphasis on probation and other community-based resources, prison populations continue to spiral upward. Current public policy as seen in criminal code revisions and other statutory provisions related to the administration of criminal justice clearly defines a matrix for the continued incarceration of a growing number of offenders.

The increased numbers of incarcerated persons and "tough" legislative directives have created significant operational problems for the administrators of adult correctional institutions. Federal and state court litigation regarding prison conditions, prisoner rights and prison operational practice has increased to a significant level during the past decade. The litigation has demonstrated the need to operate adult institutions in a manner consistent with minimum constitutional and human rights standards.

In an effort to give prison administrators a set of reasonable and meaningful guidelines, the American Correctional Association and the Commission on Accreditation for Corrections published the *Manual of Standards for Adult Correctional Institutions* in 1977. The *Manual* was the basic set of minimum standards utilized in the accreditation process administered by the Commission. This volume, *Standards for Adult Correctional Institutions, Second Edition*, is a revised and updated reissue of the earlier publication.

A significant change which is reflected in this edition is the inclusion of "mandatory" standards. Such a designation is a very important step in the development of standards. The ACA and the Commission are of the opinion that there are operational requirements which must be met in every institution regardless of circumstance. For purposes of accreditation, an institution must meet all mandatory standards.

With the establishment of the accreditation process as a Commission function, the responsibility for continued standards development and revision was transferred to the ACA Committee on Standards. This volume represents the Committee's utilization of Commission experience with the accreditation process, a number of special task forces, and lengthy Committee and Commission deliberations. This final version represents the results of a joint approval and adoption process involving the American Correctional Association and the Commission on Accreditation for Corrections.

Acknowledgement of able assistance is given to the drafters of the original *Manual*, the cooperating agencies and institutions in which the standards were field tested, and the several ACA affiliate organizations that reviewed and commented on the revisions. In addition, special appreciation is expressed for the work of the Committee's resource team, which included John Gagnon, Chairman, J. J. Enomoto, W. Donald Pointer and Ronald G. Jackson. Also, the Commission's resource team, composed of H. G. Moeller, Amos Reed and Martha Wheeler, contributed much with their review.

A special thanks is extended to Robert H. Fosen, Executive Director of the Commission, and his staff, for their cooperative efforts and assistance.

The ACA Correctional Standards Program staff, directed by Dale K. Sechrest, are the principal writers and architects of this edition. Their diligent efforts are applauded and noted as a

significant contribution to the field of corrections.

Appreciation is expressed for the continued support of both Anthony Trivisono, ACA Executive Director, and the staff of the Association. The continued support and assistance of Nick Pappas and Tom Albrecht of the LEAA Office of Criminal Justice Programs has also been very important in the publication of *Standards for Adult Correctional Institutions, Second Edition*.

Samuel Sublett, Jr.  
Chairman  
ACA Committee on Standards

Robert J. Watson  
Chairman  
Commission on Accreditation  
for Corrections

## Introduction

For upwards of 150 years, American society has relied upon imprisonment as a primary instrument for the execution of criminal sanctions. Yet, for most of its history, the prison has been the focus of recurrent controversy. Some have argued that the concept of less eligibility should have a prominent place in prison management, that society owes the prisoner only a minimum standard of health and decency, if that. Others have urged that prisoners be guaranteed a high level of protection and safety, be treated with human dignity, and be assured that their constitutional rights as citizens are respected. There is also a small but articulate minority which has urged the abolition of imprisonment, arguing that the evils of the system are beyond remedy, that the goals of security and treatment are irreconcilable, and that imprisonment has outlived its usefulness and has no place in human society.

In the face of the recurring debates about the role and function of imprisonment, the American Correctional Association has throughout its history of more than a century made continuing efforts to define the role and the functions of the prison. The Association and the Commission on Accreditation for Corrections has sought to come to terms with the reality that prisons and imprisonment will undoubtedly continue as instruments of criminal justice policy for the foreseeable future. Both applaud and actively support steps to implement wide-ranging programs of alternatives to imprisonment. They support a public policy which would limit the use of the prison for the confinement only of those persons too dangerous to remain at large in the community. They are firm in their view that the standards of practice within every institution should rise to a level which will assure protection of the society, but not place in jeopardy the human rights of the offender.

The focus upon the protection of the civil rights of clients of human service agencies in the United States is, of course, a relatively new phenomenon. During most of their history, such agencies and institutions built their programs upon the concept of benevolent purpose. The basis of this concept was the assumption that the state knew what served the best interests of the client. Court intervention into the affairs of these agencies—including correctional agencies—has brought attention to the Constitutional rights of a wide spectrum of clients, including criminal offenders. Yet it is increasingly clear that the courts realize the limitations upon their ability to administer effectively the operation of human service agencies. Judges have made it clear that they perceive it to be the responsibility of administrators, professionals and line workers in corrections to put their own house in order. The development of this manual may be viewed in part as a response to that challenge.

Long before the advent of court intervention, however, the American Correctional Association gave clear evidence of its understanding of the need to develop standards. Indeed, the Declaration of Principles of 1870 adopted by the original organization from which the ACA evolved testifies to that concern. Shortly after the close of World War II in 1946, the Association published its first *Manual of Correctional Standards*, a volume which was to be substantially revised in 1959 and again in 1966. These manuals represented a consensus of administrators and professionals. They were to provide useful guidelines for institutional managers. Other national professional organizations including the National Council on Crime and Delinquency, the American Bar Association and the American Medical Association also made significant contributions to the field's effort to move toward the development of objective standards for the evaluation of practice. Still another significant landmark was the work of the National Advisory Commission on Criminal Justice Standards and Goals which gave further impetus to correctional change.

The concept of a system for the accreditation of correctional institutions and agencies began to emerge in the 1960's. The recognition that this was an idea whose time had come was marked by the adoption in October, 1970, of the ACA's *Plan for Accreditation*. Implementation of the Plan began in 1974 when the Association's Board of Directors selected the first Board of

Commissioners, which was chaired by Walter Dunbar until his untimely death. Before the accreditation plan could be initiated, however, the new Commission faced the task of developing objective, clear, measurable standards across the entire spectrum of juvenile and adult correctional activities. The Commission addressed this task thoughtfully and vigorously. Under the Commission's plan of work the *Manual of Standards for Adult Correctional Institutions* was the fourth volume to be published.

It was recognized from the outset that the standards adopted by the Commission with the concurrence of the Association's standing Committee of Standards and Accreditation would, when applied in the accreditation process, raise issues which would prompt the need for standards revision, modification and amplification. It also became quite clear as the Commission moved from the development to the application of standards that the responsibility for initiating revisions should be assumed by the Association and its Committee on Standards. This decision was ratified by the Association's Board of Governors in August, 1978. Under the plan of action adopted, the Association assumed the responsibility for proposing revisions while the Commission retained the right to apply only those standards mutually acceptable to both bodies. This, in effect, reversed the earlier arrangement in which the Commission initiated and the Association, in effect, ratified proposed standards.

Acceptance of the 1977 *Manual* by the field was enthusiastic and drew warm support from the Association of State Correctional Administrators, the North American Association of Wardens and Superintendents, the ACA affiliates and professionals in the field. State and federal correctional agencies and the Correctional Services of Canada moved promptly into the accreditation process. By the end of 1979, approximately 25 percent of all adult correctional institutions were pursuing accreditation.

As was anticipated, the application of standards presented a wide variety of problems. Some standards, despite the efforts of the professionals who framed them, were found to lack necessary clarity and specificity. Some were found to impose unexpected and perhaps unnecessary burdens upon institutional managers. A few were difficult, if not impossible, to measure. Some gaps were found in the standards and some areas of performance were discovered to be inadequately covered. These discoveries prompted the Association to move forward deliberately to identify necessary revisions. ACA, supported with funds provided by LEAA, established a standards revision program under the direction of Dr. Dale K. Sechrest. The Committee on Standards chaired by Mr. Samuel Sublett worked diligently with the program to update the original *Manual*.

The Board of Commissioners had unanimously agreed at the beginning of the accreditation process that no institution which failed to meet critical standards related to life, health and safety would be awarded accreditation. However, the compliance formula adopted by the Commission resulted in a mathematical possibility that an institution might reach necessary compliance levels for essential, important, and desirable standards while still conducting operations in an environment which seriously threatened the life and safety of inmates and staff alike. This condition prompted the Commission first to adopt and promulgate guidelines identifying those areas in which noncompliance would be considered totally unacceptable and would, until corrective measures were taken, bar an award of accreditation. Subsequently, in consultation with the ACA Standards Committee, a decision was reached to introduce *mandatory* life, health and safety standards in this revision of the standards. The implications of this decision are, of course, self-evident. Any institution which for any reason ignores such critical standards is not deserving of accreditation.

The contents of this manual then, like those of its predecessor, emerges from a thoughtful process of debate and deliberation. The decisions reached continue to represent the best consensus of professionals in the field. Members of the Commission and the ACA Committee on Standards have made every effort to ground their work in relevant court decisions, but their foremost concern has been to provide high standards of correctional practice to the field. In at-

tempting to do so, both groups often have gone beyond case law and the statutes of many jurisdictions. In doing so, they arrived at a set of standards which reduce the discretion and operational latitude of their colleagues in order to provide them with comprehensive, clear and relevant guidelines for good correctional practice. Hopefully, this effort will assist in informing the courts as well as legislators and governors of the needs of corrections professionals in carrying out the increasingly complex work of administering safe and humane institutions which can provide meaningful services and programs to offenders.

The Association's Committee on Standards has consulted with members of its affiliate bodies, with institution managers whose institutions have been accredited, with local accreditation managers, with Commission members and staff, and with Commission consultants. All have combined their efforts to assure a comprehensive body of standards which are fair and reasonable. Accomplishment of full compliance will in no instance be an easy task, but there is undeniable evidence that the attainment of accreditation by institutions can be a reality when a serious commitment is made to that objective.

#### *Accreditation*

An institution wishing to participate in accreditation must contact the Commission on Accreditation for Corrections in order to formally enter the process. After acceptance into the process by the Commission, the agency completes a self-evaluation to determine compliance with the standards, compiles documentation to support compliance, and develops plans of action to correct all deficiencies. After acceptance of the self-evaluation report by the Commission, and as the required compliance levels are attained, the agency can request an audit to verify compliance. This on-site audit is conducted by a team of trained Commission consultants.

The standards allow for the measurement of acceptable performance in achieving objectives. For purposes of their application in the accreditation process, they are minimal requirements and should be exceeded whenever possible. When they are met it is expected that every effort will be made to maintain performance at the level designated in the standards. Each standard has a weight of mandatory, essential or important, which is used in determining compliance levels for accreditation. Mandatory standards address conditions or situations which could become hazardous to the life, health and safety of offenders, employees and/or the public. Without exception, all mandatory standards must be met for purposes of accreditation. In addition, correctional institutions must meet 90 percent of the essential standards and 80 percent of the important standards in this edition, as well as any other criteria stipulated in the policies and procedures of the Commission on Accreditation for Corrections.

Most standards require evidence of written policy and/or procedure in specific areas of operations. Policy and procedure are crucial elements in the effective administration of an agency and are heavily emphasized in this edition and in the accreditation process. Since an understanding of the meaning of these words is necessary to the use of the standards they are fully defined in the glossary and in the following discussion.

A policy is a statement of principles which guides the agency in the attainment of objectives. To comply with a standard which requires a policy for a certain area, there must be not only a written policy, but also evidence that a line of action or principle has been adopted and is being followed by the agency.

Policy and procedure may both be required by the standard, in which case documentation demonstrating implementation of the procedure would also be necessary. A procedure is a method of performing an operation or an outline of the sequential actions that must be executed to ensure that a policy is fully implemented.

#### *Conclusion*

The standards are guidelines for the comprehensive improvement of correctional programs,

and provide a national framework for presenting the needs and concerns of adult correctional institutions to public officials, corrections administrators, legislators, funding agencies, and the public. The standards set high levels of compliance for agencies seeking to upgrade their services, programs and overall operation. The accreditation process provides the opportunity of public accountability through an independent verification of performance.

Nevertheless, the standards represent more than just a tool for accreditation; they are to be used by correctional institutions as guidelines for self-improvement and as a stimulus for change at the legislative, executive and judicial levels of government. The revisions to the original manual unmistakably illustrate that the standards have the capacity to reflect changing views, based on new experience and additional knowledge and expertise. This capacity to change and evolve through time is vital to the continued acceptance and use of the standards in the task of improving correctional operations throughout the country.

In presenting this manual to the field, we echo the conclusion found in the introduction to the original manual in 1977:

“The humane administration and direction of institutional care are paramount in preserving individual rights and responsibilities and, in turn, the ultimate protection of society.”

## ADMINISTRATION, ORGANIZATION AND MANAGEMENT

**2-4001** The institution or parent agency is established as an integral part of a correctional department or system by means of statutes which set its purpose. (Essential)

**DISCUSSION:** Effective administration of an institution results largely from the existence of a body of carefully formulated constitutional or legislative statutes that define clearly the mission and basic goals of the institution. Such statutes provide the legal framework within which the institution's administrative structure, philosophy, and policies are developed, as well as the basis for assessing performance and identifying needed changes in organization and operations.

**2-4002** There is a written document delineating the mission of the institution within the context of the total correctional system of which it is a part. This description is reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** The mission statement should address whatever diversified programming is available in the institution for the needs of inmates in the entire correctional system. Diversified programming could include a receiving and diagnostic unit, Separation of new admissions, a separate unit for special offenders, a prerelease unit, etc. Diversification provides opportunities for program development, effective management, experimentation, and innovation. It also permits the institutions within a department flexibility in making inmate assignments and in promoting, training, and transferring staff when necessary.

**2-4003** A written statement is prepared by the warden/superintendent that describes the philosophy and long-range goals of the institution and its satellites; the statement is reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** Although the statute establishing the institution specifies the legislative mandate and the general mission assigned, there is need for an in-depth exposition. The written statement should specify the program's goals and underlying philosophy as they relate to the basic concepts and major public policy issues in corrections, such as deterrence, punishment, rehabilitation, social restoration, justice, reintegration, and public safety.

**2-4004** Written policy and procedure specify that the warden/superintendent formulate goals for the institution at least annually and translate them into measurable objectives. (Essential)

**DISCUSSION:** The setting of goals by the warden/superintendent should prove to be a helpful decision-making tool which can be used to adjust to changing trends. In establishing measurable objectives, the process of program review, monitoring and evaluation should be greatly facilitated.

**2-4005** Written policy and procedure provide for the participation of employees in the formulation of policies, procedures and programs. (Essential)

**DISCUSSION:** Employee participation in policy, procedure and program development has positive features. This participation can be achieved through staff meetings, suggestion programs, employee councils and the like.

**2-4006** Written policy and procedure provide for the participation of related community agencies, with which the institution has contact, in policy development, coordinated planning and interagency consultation. (Important)

**DISCUSSION:** The conduct of the institution affects and is affected by other agencies within and outside the criminal justice system. Interaction with other agencies, advisory committees, justice councils and state and regional planning organizations provides for a forum to exchange information, coordinate activities, and create a climate of cooperation.

**2-4007** Written policy and procedure provide that each institution is headed by a warden/superintendent who is in charge of all inmates, personnel, volunteers, and all programs and activities connected with the institution. (Essential)

**DISCUSSION:** Each institution should be headed by a single chief executive officer, most commonly designated as "superintendent" or "warden". This individual should be appointed by the governing authority of the agency. The chain of command should extend directly from the warden/superintendent to the staff, and all employees or units of management within the institution should be ultimately responsible to the warden/superintendent.

**2-4008** The warden/superintendent of the institution is appointed by the administrator or governing board of the parent agency. (Essential)

**DISCUSSION:** The administrator or governing board of the institution's parent agency is ultimately responsible for the overall functioning of the institution; therefore, that individual or group should select the warden/superintendent of the institution.

**2-4009** The qualifications, authority, responsibilities and reasons for removal of the warden/superintendent, and management or other personnel not covered by civil service regulation or union contract, are specified by statute or by the parent agency. (Essential)

**DISCUSSION:** Explicit definitions of the function of these positions are necessary to ensure that minimum standards are met and that opportunities for political interference with appointments are reduced.

**2-4010** The educational, operational, and administrative qualifications of the warden/superintendent of the institution are specified in writing by the appointing authority and include, at a minimum, a bachelor's degree in an appropriate discipline; five years of related administrative experience; and, demonstrated administrative ability and leadership. (Important)

**DISCUSSION:** To ensure that only qualified persons are recruited for the position of

warden/superintendent, the appointing authority should establish high qualifications and recruit and hire on the basis of these qualifications. It is the responsibility of the agency to see that potential administrative officers receive the required education.

**2-4011** Written policy requires that the term of office of the warden/superintendent, and management or other personnel not covered by civil service regulation or union contract, is continuous and may be terminated by the appointing authority only for good cause, and, if requested, subsequent to a formal and open hearing on specific charges. (Essential)

**DISCUSSION:** Tenure for the warden/superintendent, and management or other personnel not covered by civil service regulation or union contract, of the institution provides for a high quality operation. Many of these positions are no longer covered by civil service provisions. In these cases, the appointing authority should make it clear that the tenure is continuous within the system and that removal from office follows a prescribed and fair process.

**2-4012** The roles and functions of employees of other public or private agencies providing a service to the institution are covered by written policy and procedure which specify their relation to the authority and responsibility of the warden/superintendent and which are reviewed at least annually. (Essential)

**DISCUSSION:** Employees who work for other public or private agencies should have their duties and responsibilities specified in a contract or other type of agreement with the facility administration.

**2-4013** A written plan with an organizational chart describes the institutional organization, and groups similar functions, services, and activities into administrative subunits. This plan is reviewed at least annually and is updated as needed. (Essential)

**DISCUSSION:** The functions and number of units may vary depending on the size and type of inmate population, the nature of the programs, the history and traditions of the facility, and the fiscal and physical resources available. The number and kinds of subunits, levels of supervision, and types of employees should be graphically illustrated to delineate clearly the lines of authority and responsibility.

**2-4014** Written policy and procedure provide for meetings to be held at least monthly between the warden/superintendent and all department heads, and meetings to be held at least monthly between department heads and their key staff members. (Essential)

**DISCUSSION:** Channels of communication should be used for delegating authority, assigning responsibility, supervising work, and coordinating efforts. Designated channels of communication, both vertical and lateral, should govern the activities and working relationships of institution personnel.

**2-4015** Written policy and procedure provide for a system of two-way communication between all levels of staff and inmates. (Essential)

**DISCUSSION:** Good communication between staff and inmates is necessary for the efficient operation of the institution, and may reduce reliance on grievance mechanisms.

**2-4016** The policies and procedures for operating and maintaining the institution and its satellites are specified in a manual, which is accessible to all employees and to the public and is reviewed at least annually. (Essential)

**DISCUSSION:** A government agency has an obligation to state publicly its philosophy, goals, and operational procedures. The administrative manual should specify the institution's policies and procedures as they relate to its objectives. A program should be conducted to familiarize employees with the agency's policies and procedures, and, at least annually, the warden/superintendent and staff should review the policies and procedures to make sure they remain appropriate and continue to contribute to the effectiveness of the institution. The institution's policy in regard to sensitive matters such as riots, work stoppages or hostage situations should be included; not included would be the detailed procedures which will be followed in such events.

**2-4017** Each department and major administrative unit of the institution maintains a manual of standard operating procedures that specify methods of implementing policies. The standard operating procedures are reviewed at least annually, updated as needed, and made available to employees. (Essential)

**DISCUSSION:** The standard operating procedures should be sufficiently detailed to assist employees in completing their assigned tasks. To ensure conformance to policy and procedure and to achieve program goals and objectives, it is imperative that employees be familiar with these manuals. Every employee should have access to a copy, and a program should be conducted to familiarize employees with those parts of the documents that concern their respective jobs. The institution's procedures for dealing with sensitive areas such as riots, work stoppages, etc. may be restricted to personnel on a "need to know" basis.

**2-4018** There is a written system to disseminate approved new or revised policies and procedures to designated staff, volunteers, and when appropriate, to inmates prior to implementation. (Essential)

**DISCUSSION:** To increase the effectiveness of an institution's two-way communication system, effort should be made to quickly disseminate all policies and procedures. Inmates and staff should be able to review designated written policy and procedure soon after they have been promulgated.

**2-4019** Written policy and procedure specify a system whereby the warden/superintendent, or designated staff, monitors operations and programs through inspections and reviews conducted at least annually. (Essential)

**DISCUSSION:** Operations and programs should be implemented as outlined in the

written policies and procedure. An inspection system providing timely and periodic assessment of the various institutional operations can reveal the degree of compliance with policy and procedure. The internal administrative audit should exist apart from any external or continuous inspection conducted by other agencies. (See related standard 2-4109.)

**2-4020** Written policy and procedure provide for the institution to report in writing its activities at least quarterly to the parent agency. Reports include major developments in each department or administrative unit, major incidents, population data, staff and inmate morale, and major problems and plans for solving them. (Essential)

**DISCUSSION:** Routine reporting by individual institutions in a multi-institution system permits top management personnel to stay informed about current programs, activities, and problems throughout the system. The exchange of reports among institutions permits an opportunity for joint problem solving. Major incidents are those which require written reports similar to those required for major rule violations.

**2-4021** Written policy and procedure specify the circumstances and methods for securing legal assistance for the warden/superintendent and other staff as needed in the performance of their duties. (Essential)

**DISCUSSION:** Qualified legal assistance is necessary to ensure that correctional policies and procedures are consistent with court decisions concerning correctional processes, offenders' rights, etc. Legal counsel can provide advice on meeting statutory and court requirements, on policy formulation, on operational matters and individual cases, and can provide representation when required before courts and other appropriate bodies. Such counsel should be competent and should be available promptly and continuously.

**2-4022** The institution provides for all inmates the following constructive programs, including, at a minimum: reception and orientation; evaluation and classification; academic education equivalent to high school; vocational training; employment; religious services; social services and counseling; psychological and psychiatric services; library services; medical and dental health care; athletic, recreational and leisure time activities; inmate involvement with community groups; mail and visiting; access to media, legal materials, attorneys and courts; volunteer services; and prerelease orientation and planning. (Essential)

**DISCUSSION:** The institution should request sufficient funding and staff to provide for inmate activities that afford them opportunity for improvement.

**2-4023** Requests from federal, state and local legislative and executive bodies for information concerning programs and specific cases are responded to promptly and fully by institution staff in accordance with written policy and procedure, and provisions relevant to rights of privacy. (Essential)

**DISCUSSION:** To maintain the integrity and credibility of the institution with other elements of the governmental structure, full and immediate cooperation should

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prevail with legislative and executive offices of government.

**2-4024** Written policy and procedure provide for a public information program that encourages contacts with the public and communications media. (Essential)

**DISCUSSION:** A planned and continuing public information and education program can help the community and news media understand the goals, purposes and role of the institution and may lead to greater community involvement and support.

**2-4025** Written policy and procedure provide for granting representatives of the media access to the institution, consistent with the preservation of inmates' privacy and the maintenance of order and security. (Essential)

**DISCUSSION:** None. (See related standard 2-4339)

**2-4026** Written policy and procedure provide for collaboration with colleges and universities. (Important)

**DISCUSSION:** Institutions of higher learning can provide qualified persons to serve as advisors for policies and programs, and to provide specialized training assistance. Internship or practicum programs developed with colleges and universities can assist greatly in the development and recruitment of career correctional employees. Mutual use of facilities and faculty can benefit both groups.

**2-4027** The institution has a written policy conforming to governmental statutes and regulations relating to campaigning, lobbying and political practices, which is known and available to all employees. (Essential)

**DISCUSSION:** Regulations governing campaigning and all political practices must be part of institution policy.

## FISCAL MANAGEMENT

**2-4028** Consistent with policy, the warden/superintendent is responsible for fiscal policy, management, and control. Fiscal operational management may be delegated to a designated staff person. (Essential)

**DISCUSSION:** Close cooperation should be maintained between agency and institution fiscal personnel. The warden/superintendent of the institution should have authority over all fiscal matters of the institution, although these are usually delegated to a fiscal officer.

**2-4029** The institution's planning, budgeting and program management functions are interrelated, and all are linked directly with objectives. (Essential)

**DISCUSSION:** Planning should not be conducted in a vacuum. Coordination conserves resources, enhances public safety and permits more effective delivery of services to inmates.

**2-4030** The fiscal officer has appropriate professional qualifications, including at least a bachelor's degree in business administration or related field, and three or more years of demonstrated supervisory and administrative experience. (Important)

**DISCUSSION:** A qualified staff is necessary to ensure reliability and integrity in administering financial controls. The fiscal officer and chief assistants should be able to assist the chief executive officer by providing information on the financial implications of policy decision.

### Budgeting

**2-4031** Institution staff participate in the preparation of a written budget request that complies with the policies, procedures and instructions of the jurisdiction of which the institution is a part. (Essential)

**DISCUSSION:** Prior to the beginning of the fiscal period, staff should be included in the budget process. Staff participation in this process will provide a clearer indication of needed resources as well as provide the staff with a better understanding of budget constraints and priorities.

**2-4032** The warden/superintendent participates in budget deliberations conducted by the parent agency, or the next higher level of government in order to request funds to maintain the institution's daily operations, finance capital projects, and support long-range objectives and program development. (Essential)

## FISCAL MANAGEMENT

**DISCUSSION:** Because of the significance of budget hearings, the warden/superintendent should participate in the process and be prepared to justify budget requests.

**2-4033** At least annually, the warden/superintendent reviews space requirements and the need for capital improvements; requests for needed budget allocations are recorded in writing. (Essential)

**DISCUSSION:** The institution's budgetary process should include a physical plant review because space requirements consume resources. New program activities, shifting inmate populations, changing security requirements, etc. impact on space and, consequently, on the budget. Space utilization study needs should always be evaluated in terms of both security and program considerations.

**2-4034** Written budget policy and procedure call for an assessment of present assigned positions and future personnel needs required to meet institutional objectives. (Essential)

**DISCUSSION:** Organizational goals and objectives should be regularly reviewed because of changes in priorities and differences in emphasis over time. Accordingly, the administrator should constantly assess functions within the institution for relevance, and ensure that positions allocated to these functions are appropriate. All existing positions, as well as new positions, should be justified during each budgetary request. (See related standard 2-4072)

**2-4035** Written policy and procedure govern budget revisions. (Essential)

**DISCUSSION:** Because a budget serves only as a guideline for anticipated revenues and expenditures, it will have to be revised periodically. Any significant revisions should be approved by the parent agency and any other appropriate government agency, and should adhere to funding source regulations.

### *Accounting Procedures*

**2-4036** The accounting system is designed to show the current status of appropriations and expenditures. (Essential)

**DISCUSSION:** Up-to-date accounting procedures give the warden/superintendent the information needed to meet current objectives, prevent budget discrepancies, respond to emerging program needs, and make sure that the projected fund flow is proceeding as planned.

**2-4037** Written policy and procedure, which are reviewed annually, specify that the methods used for collection, safeguarding and disbursement of monies comply with accounting procedures established by the appropriate jurisdiction. (Essential)

**DISCUSSION:** Fiscal policy and procedure should be patterned after those of the governing authority of the institution, and should be compatible with the state's central accounting system. Policy and procedure should cover, at a minimum, the following areas: the duties and responsibilities of each staff member, the maintenance of accounting records, the preparation of fiscal reports, the administrative review of fiscal policies, the conduct of audits, the disbursements to designated and approved recipients, and the complete record of money transactions. (See related standard 2-4051 and 2-4049)

**2-4038** Written policy and procedure provide that all monies collected at the institution are secured daily in an officially designated and secure location. (Essential)

**DISCUSSION:** None.

**2-4039** Written policy and procedure provide that reports of all monies collected and disbursed are prepared and distributed to the parent agency and other designated authorities. (Essential)

**DISCUSSION:** These reports provide an up-to-date accounting of all revenues and expenditures. They are useful to the chief fiscal officer and other top level officials within the parent agency in determining institutional fiscal efficiency and future budgetary projects.

**2-4040** Written policy and procedure provide for at least the following fiscal matters: internal controls, petty cash, bonding for all appropriate staff, signature control on checks, and the issuance or use of vouchers. (Essential)

**DISCUSSION:** Documentation should be available to show that each person having duties related to fiscal matters has been familiarized with the appropriate policy and procedure and advised of any changes in it through regular information channels.

**2-4041** Written policy and procedure provide for ongoing monitoring of the institution's fiscal activities, which are reported in writing at least quarterly and forwarded to the parent agency. (Essential)

**DISCUSSION:** Internal monitoring should be conducted on a continuing basis to determine whether established internal control procedures are being followed, to strengthen internal control where it is weak, to provide management with periodic information on the performance of its staff responsible for financial activities, and to provide management with information on which to base important decisions. A report should be prepared quarterly to add to the efficiency of the control procedures.

**2-4042** Written policy and procedure provide for a financial audit, independent of the institution, which is conducted annually, or at a time period stipulated by applicable statute or regulation, but not to exceed three years. (Essential)

**DISCUSSION:** An outside, certified auditing firm, or the appropriate governmental auditing team, should conduct the audits of the entire institution. This objective review provides the institution with dual assurance that its financial controls are effective. (See related standard 2-4050)

*Other Fiscal Controls*

**2-4043** Written policy and procedure govern inventory control of property, supplies, and other assets, such inventories being conducted at time periods stipulated by applicable statutes, but not exceeding every two years. (Essential)

**DISCUSSION:** Current and complete property records should be maintained for all property and equipment. Good property records help maintain control, guard against loss, and enable management to assign equipment to the most appropriate location. Property records also prevent unnecessary ordering of new equipment. Property records should include the following information: purchase date and price; funds from which financed; current value, when applicable; organization unit and location to which assigned; and name of person charged with custody. Inventory records and control procedures should also exist for supplies to insure against theft and unauthorized use.

**2-4044** Written policy and procedure govern the requisition and purchase of supplies and equipment, and include, at a minimum, the purchasing procedure, criteria for selection of bidders, and criteria for vendor selection. (Essential)

**DISCUSSION:** Supplies and equipment for the entire institution should be procured on a competitive bid basis, preferably through a central purchasing agency, and provision should be made for warehousing when economically desirable. Written policy should include, at a minimum, the purchasing procedure, criteria for the selection of bidders, and criteria for vendor selection.

**2-4045** Funds are available for purchasing community services in order to supplement existing programs. (Essential)

**DISCUSSION:** Some services (e.g., specialized health care services) needed by inmates are not available from the institution, and should be purchased from appropriate community sources. The concept of purchasing community services may be expanded to include education, vocational training, etc.

**2-4046** Written policy and procedure regulate position control in relation to position allocation and budget authorization, and personnel records and the payroll function. (Essential)

**DISCUSSION:** To ensure position control in accordance with budget restrictions, the chief fiscal officer or payroll officer must have information on the number and type

of positions filled and vacant at any time. The payroll should be based on time-keeping records. The fiscal office should verify that persons on the roll are legally employed, that the positions are authorized in the budget, that attendance records support the payroll and that needed funds are available. To assure compliance, these functions are coordinated with the personnel officer.

**2-4047** Written policy and procedure provide for institutional insurance coverage to include the following items, at a minimum: worker's compensation, civil liability for employees, liability for official vehicles, and public employee blanket bond. (Essential)

**DISCUSSION:** Although insurance coverage varies from jurisdiction to jurisdiction, correctional employees should be provided with liability coverage in relation to their work activities. In addition, jurisdictions should have some mechanism for replacing government property lost by fire or other catastrophic events. Coverage provided by private companies, a self-insurers program, or state indemnification is acceptable.

*Inmate Funds*

**2-4048** When there is a fund established for the benefit of inmates, written policy and procedure govern its operation; beyond operating funds, interest earned from any additional funds accrues to the benefit of inmates. (Essential)

**DISCUSSION:** When money is available from donations, canteen profits, or other sources, a fund should be established for the benefit of the inmates. Responsibility for administering this fund should be fixed, controls should be established for collecting and safeguarding the funds, and specific guidelines should govern the expenditure of these funds.

**2-4049** There is an inmate commissary or canteen where inmates can purchase items not furnished by the facility from an approved list. Strict controls are maintained over its operation and standard accounting procedures are followed. (Essential)

**DISCUSSION:** The availability of a reasonable selection of personal items inspires good morale. However, restrictions should be placed on commissary purchases to minimize the effect of differential spending power. Other means of purchase rather than the use of cash should be considered.

**2-4050** Independent audits of commissary funds are conducted and standard accounting procedures followed; an annual report outlining the financial status of the commissary/canteen is prepared and made available as a public document. (Important)

**DISCUSSION:** An annual report from the commissary/canteen helps to safeguard integrity in the operation of this service. (See related standard 2-4042)

**2-4051** Inmates' personal funds held by the institution are controlled by accepted accounting procedures. (Essential)

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**DISCUSSION:** Responsibility for the accounting and control of inmates' personal funds held by the institution should be delegated to the facility's business manager. Inmates should be provided receipts of all financial transactions. (See related standards 2-4037, 2-4039, and 2-4395)

**2-4052** Written policy and procedure provide that inmates may deposit personal funds in interest-bearing accounts, and that interest accrues to the inmate. (Essential)

**DISCUSSION:** Inmates should have the opportunity to deposit or withdraw funds in their accounts, except when substantial reasons justify otherwise. When inmates invest funds individually or when inmates' funds are invested by the institution, all interest should be accrued to the inmates. If a centralized fund is used for the deposit of inmates' accounts, the interest from these investments should accrue to the inmate.

**2-4053** Written policy and procedure provide that when transactions between inmates are permitted, staff approval is necessary. (Essential)

**DISCUSSION:** Uncontrolled transactions between inmates can foster illegal activities. Staff knowledge of and control over such transactions is necessary for the safe and secure operation of the institution. Other controls over inmate funds should be based on substantial reasons.

## PERSONNEL

**Note:** It is recognized that an institution may operate under the personnel policies of its parent agency or state personnel agency. If these policies meet the standards outlined below, the institution will be rated in compliance.

**2-4054** Written policy and procedure provide for the selection, retention, and promotion of all personnel on the basis of merit and specified qualifications. (Essential)

**DISCUSSION:** All job qualifications and hiring policies should be examined with the assistance of equal employment specialists from outside the agency. Employment qualifications should be demonstrably related to skills required to perform the work. If tests are used, they should follow the uniform selection guidelines. There should be no artificial barriers to employment, and a fair and open system should be provided.

**2-4055** Written policy and procedure provide for lateral entry as well as promotion from within the institution. (Important)

**DISCUSSION:** Lateral entry is the employment of persons from outside the institution. Any individual with the required education, experience, and background should be eligible to be considered for a position at the level at which the person is qualified. While the institution's personnel policies may emphasize promotion from within, there should be provisions for lateral entry to obtain the best qualified persons to fill positions.

**2-4056** There is an affirmative action program that has been approved by the appropriate government agency. (Essential)

**DISCUSSION:** An affirmative action program should contain necessary guidelines to accomplish the public policy goal of equal employment opportunity. For example, all persons should be able to compete equally for entry into, and promotion within, the institution. The program should also be designed to seek out qualified minority groups and women in order to encourage their participation in the staff development program of the institution. The program should include corrective actions, when needed, in policies regarding rate of pay, demotion, transfer, layoff, termination, and upgrading.

**2-4057** When deficiencies in regard to the utilization of minority groups and women exist, the institution can document the implementation of its affirmative action program, showing annual reviews and necessary changes required to keep it current. (Essential)

**DISCUSSION:** The institution must be able to demonstrate implementation of its affirmative action plan through personnel records that reflect increases in hiring and promotion of minority groups and women. A review, at least annually, of the affirmative action program should ensure compliance.

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**2-4058** Written policy specifies equal employment opportunities for all positions. (Essential)

**DISCUSSION:** Men and women should have equal opportunities to compete for any position within the institution. Section 703 of Title VII of the Civil Rights Act of 1964, as amended by the Equal Employment Opportunity Act of 1972, however, details instances of exception which do not constitute unlawful employment practices. Nevertheless, institutions should continuously evaluate their work environment to provide employment opportunities for both men and women.

**2-4059** Written policy and procedure make provision for the employment of qualified ex-offenders. (Important)

**DISCUSSION:** Ex-offenders can be a valuable manpower resource and should not be discriminated against when they seek employment with an institution. A program of selection, orientation, in-service training, constructive supervision, and opportunity for advancement can provide the institution a valuable manpower resource. (See related standard 2-4061)

**2-4060** The warden/superintendent reviews annually the internal personnel policies of the institution and when indicated, submits recommended changes to the parent agency which are relevant to the parent agency policies. (Essential)

**DISCUSSION:** For equitable and consistent treatment of all employees, personnel regulations should be in writing and should be reviewed and updated annually. Since many of the personnel regulations are established by the jurisdiction of which the institution is a part, the warden/superintendent should work closely with the personnel agency of the jurisdiction. The review can be a part of the day to day functioning of the warden/superintendent and supported by correspondence between his/her office and the appropriate higher authority.

**2-4061** In accordance with state and federal statutes, a criminal record check is conducted on all new employees to ascertain whether there are criminal convictions which have a specific relationship to job performance. (Essential)

**DISCUSSION:** The institution administration should be aware of any criminal conviction(s) which would directly affect a person's job performance in an institutional setting. (See related standards 2-4059 and 2-4076)

**2-4062** Written policy and procedure require a physical examination of all employees by a physician at the time of employment. Provisions exist for reexamination when indicated. (Essential)

**DISCUSSION:** Staff members, particularly those in direct daily contact with inmates, should be physically fit. For these staff members, physical examinations should be required to ensure their medical health and ability to perform effectively. Each employee's basic health status should be evaluated against the requirement of their

specific position. Policy should encourage the hiring of handicapped persons where appropriate.

**2-4063** Written policy provides that new or promoted employees are appointed initially for a probationary term of not less six months nor more than one year. After completing a probationary period, employees are granted permanent status. (Essential)

**DISCUSSION:** Employee performance during the probationary period should be evaluated at least every two months, and the employee should be given the opportunity to discuss the evaluation. This gives the employee opportunity to adjust to the new job situation. By receiving evaluation feedback, the employee is aware of any performance areas which may need improvement. Employees transferring between institutions within the same system should not be required to repeat a probationary period, unless they have been promoted.

**2-4064** Compensation and benefit levels for all institution personnel are comparable to similar occupational groups in the state or region. (Important)

**DISCUSSION:** Competitive salaries and attractive benefits are necessary to recruit and retain high caliber staff. Comparable occupational groups include jobs not unique to corrections, such as teachers, social workers, accountants, and secretaries. The *State Salary Survey* published by the U.S. Office of Personnel Management can be used as a source document. Benefit levels may consist of some of the following items: group medical/dental insurance, group life insurance, disability insurance, leave allowance, pension plans, employee dining room facilities, etc. To encourage mobility and the exchange of personnel among elements of the criminal justice system, efforts should be supported that would permit certain benefits, such as pension, accumulated vacation/sick leave to accompany the employee from one institution or agency to another. (See related standard 4052)

**2-4065** Written policy and procedure provide for employees to be reimbursed for all approved expenses incurred in the performance of their duties. (Essential)

**DISCUSSION:** Procedures should be established and funds provided to ensure that institutional personnel are reimbursed for approved expenses they incurred in the performance of their duties.

**2-4066** Written policy and procedure govern employee-management relations. (Essential)

**DISCUSSION:** The institution cannot operate effectively in the absence of specific procedures for the recognition and resolution of legitimate employee concerns. It is essential that the institution has written policy and procedure for responding immediately and effectively to problems that may develop in employee-management relations. These should include specific assignment of responsibility and precise delegation of authority for action, steps for resolving grievances and adverse actions, and an appeal procedure. To avoid misunderstandings and to provide a writ-

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ten record of meetings between employee groups and the institution's administration, minutes should be kept of all such meetings.

**2-4067** There is a personnel policy manual which covers, at a minimum, the following areas: organization; recruitment procedures; equal employment opportunity provisions; job qualifications, descriptions and responsibilities; basis for determining salaries; benefits, holidays, leave and work hours; personnel records; employee evaluation; in-service training; promotion; retirement, resignation and termination; employee-management relations; physical fitness policy; disciplinary procedures; grievance and appeals procedures; statutes relating to political practices and insurance and professional liability requirements. In addition to this information, new staff are informed, in writing, of the hostage policy of the institution as it addresses staff roles and safety. A copy of this manual is available to each employee. (Essential)

**DISCUSSION:** The institution's personnel policy should reflect its operational philosophy and this should be expressed in writing so that it is available to all employees. At the time of employment, each employee should have the opportunity to review a copy of the institution's personnel policy manual. Employees should be encouraged to ask questions about the policies. Copies of this manual should be available for employee reference.

**2-4068** There is a written grievance procedure for employees which has been approved by the parent agency. (Essential)

**DISCUSSION:** The institution should specify the procedure an employee can undertake when a grievance exists, identifying at a minimum, the hearing body and provisions for appeal. The written grievance procedures should be distributed and explained to all new employees at the time of orientation.

**2-4069** Written policy and procedure provide employees on permanent status the right to request and exhaust grievance and appeals procedures, including an open and formal hearing, prior to their termination or demotion. (Essential)

**DISCUSSION:** Termination or other adverse personnel actions should be open, based on formal hearings and specific charges, and processed before an independent organization to ensure fairness.

**2-4070** The institution makes available to all employees a written code of ethics that prohibits employees from using their official position to secure privileges for themselves or others and from engaging in activities that constitute a conflict of interest. (Essential)

**DISCUSSION:** To protect the integrity of the institution, its staff, and the parent agency, all personnel must be made thoroughly familiar with the established code of ethics which is strictly enforced. At the time of employment, each employee should review this code which is available for employee reference.

**2-4071** Written policy and procedure provide that consultants and contract personnel who work with inmates are informed in writing and agree to abide by the institution's policies on confidentiality of information. (Essential)

**DISCUSSION:** The institution should specify in writing what types of information are confidential between worker and inmate, what types of information should be shared with other institution personnel, and what types of information can properly be communicated to others outside the institution. Outside workers should agree in writing to respect these policies. (See related standard 2-4120)

**2-4072** The institution systematically determines its personnel requirements in all categories on an ongoing basis in order to ensure inmate access to staff and availability of support services. (Important)

**DISCUSSION:** Determination of staff requirements should not depend solely on inmate population. Workload ratios should also reflect factors such as legal requirements, goals to be accomplished, character and needs of inmates supervised, and other duties required of staff. Staff workloads should be sufficiently low to provide inmates access to staff and effective service. (See related standard 2-4034)

**2-4073** There is a formula used to determine the number of persons needed to staff key positions in the institution which considers, at a minimum, regular days off, annual leave, holidays and average sick leave. (Essential)

**DISCUSSION:** Positions in the institution which require staffing for more than one shift and/or more than five days per week should be budgeted for the additional staff needed. Additional factors which may be included in a formula are days off duty for training, military leave time, and other factors specific to the institution and the jurisdiction.

**2-4074** The warden/superintendent can document that the vacancy rate of staff positions that are authorized to be filled and work directly with inmates does not exceed an overall average of 10 percent during any 18 month period. (Essential)

**DISCUSSION:** Staff turnover is a chronic problem in the corrections field. Wardens/superintendents of correctional institutions should take the necessary steps to insure that a pool or register of eligible candidates is available in order that positions that work directly with inmates such as custodial, counseling, teachers, instructors, chaplains, librarians, etc. be filled or a minimum of vacancies exist. A high vacancy rate can have an adverse effect on institution programs. Position vacancies that are frozen by legislative or fiscal controls imposed by a central agency should not be considered in the 10 percent vacancy rate. In instances when unusual conditions exist causing an excessive number of vacancies, the warden/superintendent should document the reasons and notify the central agency of the number of vacancies compared to authorized positions and potential problems that may result. The notification should be in writing with a copy available at the institution.

PERSONNEL

**2-4075** Written policy and procedure provide for provisional appointments to ensure the availability of personnel for short-term, full-time, or part-time work in emergency situations. (Important)

**DISCUSSION:** Civil service or merit system requirements should be modified to allow for the employment of additional part-time or short-term personnel needed during vacation periods, times of excess resident populations, and other emergency situations. However, those hired on a provisional basis should meet minimum specified education and experience requirements, and should not replace permanent personnel.

**2-4076** The institution maintains a current, accurate, and confidential personnel record on each employee. (Essential)

**DISCUSSION:** A personnel record on each employee should contain the following information, at a minimum: initial application; reference letters; appropriate results of employment investigation; verification of training and experience; wage and salary information; job performance evaluation; incident report; and commendations and disciplinary actions, if any. This information should be reliable, accurate, and current. All employee records should be confidential. (See related standard 2-4062)

**2-4077** Written policy and procedure make provision for employees to challenge information in their personnel file and have it corrected or removed if it is proven inaccurate. (Essential)

**DISCUSSION:** Employees should be permitted to review their personnel file to see that it is current and to check for omissions or inaccuracies. Written procedure should specify means for correcting discrepancies.

**2-4078** Written policy and procedure provide for a written annual performance review of all employees, which is based on defined criteria and is reviewed and discussed with the employee. (Essential)

**DISCUSSION:** Effective performance review should be a continuous and ongoing process. To be effective, reviews should be objective and based on specific job criteria and explicit performance standards. Clearly developed criteria and performance standards provide a basis for consistent and unbiased evaluation reports of an employee's work. A written evaluation should be completed at least annually. The results of the evaluation should be discussed with the employee.

TRAINING AND STAFF DEVELOPMENT

**Note:** For the purpose of the following standards, training should be defined as an organized, planned, and evaluated activity designed to achieve specific learning objectives through classroom or closely supervised on-the-job training.

**2-4079** Written policy and procedure provide that the institution's training programs for all employees are specifically planned, coordinated, and supervised by a qualified employee at the supervisory level, and reviewed annually. (Essential)

**DISCUSSION:** Staff development should be an integral part of the management and operation of the institution. Therefore, a supervisory level staff member should be selected to maintain continuity and ensure cooperation in the training function. The training plan should include pre-service and in-service training curricula for the various subcategories, with specific timelines for completion of each training unit. The plan should consider the physical characteristics of the institution, its overall mission, and the types of offenders served.

**2-4080** The individual coordinating the training and staff development program has received specialized training for that position. At a minimum, full-time training personnel should have completed a 40 hour training-for-trainers course. (Essential)

**DISCUSSION:** The development of correctional staff, whether it is achieved through the institution's training program or through an academy or central training unit, is an important responsibility of the administration. Only trainers with specialized training should develop and direct the training program, although other specialists can be used to instruct in specific areas.

**2-4081** There is an advisory training committee composed of the institution's training officer and representatives from various institution departments. (Essential)

**DISCUSSION:** An advisory training committee should be established to keep the warden/superintendent advised of training procedures, and needs for facilities and equipment. The committee also should provide the warden/superintendent an assessment of the components of the training program.

**2-4082** The advisory training committee develops a training plan for the institution, meets at least quarterly to review progress and resolve problems, maintains a written record of its deliberations, and reports to the warden/superintendent. (Essential)

**DISCUSSION:** The advisory training committee should be responsible for ensuring that the institution's training plan is carried out. To ensure continuity, it should meet at least quarterly, on a scheduled basis, and provide for the taking of minutes.

## TRAINING AND STAFF DEVELOPMENT

**2-4083** The institution's training and staff development plan provides for an ongoing formal evaluation of all pre-service, in-service, and specialized training programs, with a written report prepared annually. (Essential)

**DISCUSSION:** Staff development programs should be evaluated at least annually to determine whether all components are having a positive impact on the attitudes, knowledge, and skills of the trainees. Program evaluation is helpful in planning new programs and in modifying existing ones. Input should be sought from the trainees, supervisors, and inmates.

**2-4084** Library and reference services are available to complement the training and staff development program. (Essential)

**DISCUSSION:** Staff training programs require employee access to library services. Reference materials should be available and readily accessible. If materials are not available, arrangements should be made to acquire them from other facilities, e.g. a criminal justice clearinghouse.

**2-4085** The training and staff development program uses the resources of other public and private agencies, private industry, colleges, and libraries. (Important)

**DISCUSSION:** The institution should explore and draw upon outside resources for guidance and assistance in conducting its training program. College and university faculty may be of assistance in developing training courses and curricula, and in formulating techniques for evaluating the staff development program. Other agencies, such as the National Institute of Corrections, military establishments, large corporations and state libraries may provide assistance, materials, and equipment.

**2-4086** Space and equipment required for the training and staff development program is available. (Essential)

**DISCUSSION:** Facilities for the training and development program should be easily accessible to the staff, free from distracting noise or inmate observation, and large enough to accommodate 20-30 employees for classroom instruction. Separate locations should be provided for firearms and gas equipment training and for physical training. Equipment should be provided for audio-visual presentations. Other equipment should include, at a minimum, firearms, gas equipment, and ammunition.

**2-4087** The budget includes funds for reimbursing staff for additional time spent in training or for replacement personnel required when regular personnel are off duty for training purposes. (Essential)

**DISCUSSION:** It is not always practical to release correctional officers for training during duty hours. Funds, therefore, should be available to compensate them for time spent in training. When officers are taken off the job for training, there should be sufficient funds to pay replacement personnel.

## Summary of Orientation and Minimum Training Hours

The following description of general job categories should be used in determining minimum training requirements as outlined in standards 2-4088 thru 2-4094. Contract or part-time employees should receive training similar to that of full-time employees in their particular category and pertinent to their role in working with inmates.

TITLE	POSITION	Prior to Job	First Year On the Job	Each Year Thereafter
(2-4089) CLERICAL/SUPPORT (Minimum contact):	Secretaries, Clerks, Typists, PBX Operators, Computer and Warehouse Personnel, Accountants, Personnel Staff	40	16	16
(2-4090) SUPPORT (regular or daily contact):	Food Service, Industry Work Supervisors, Farm Work Supervisors, Maintenance Work Supervisors	40	40	40
(2-4091) PROFESSIONAL SPECIALIST:	Case Managers, Counselors, Social Workers, Psychologists, Teachers, Librarians, Medical Personnel, Chaplains, Recreational Leaders	40	40	40
(2-4092) ALL CORRECTIONAL OFFICERS:	All staff assigned to full-time custodial and/or security posts	40	120	40
(2-4093) ADMINISTRATIVE/MANAGE- MENT PERSONNEL: (Additional Training)	Wardens/Superintendents, Deputy or Assistant Wardens/Superintendents, Business Managers, Personnel Directors, Case Manager Supervisors, Unit Managers, Shift Supervisors	—	40	40
(2-4094) EMERGENCY UNIT STAFF:	Members of emergency or confrontation units	*40	—	**16

\* May be part of 120 hours of on-the-job training required in first year as correctional officer

\*\* May be part of 40 hours annual training required of all correctional officers

TRAINING AND STAFF DEVELOPMENT

**2-4088** Written policy and procedure provide that all new full-time employees receive 40 hours of orientation/training prior to being independently assigned to a particular job. This orientation/training is to include, at a minimum, orientation to the purpose, goals, policies and procedures of the institution and parent agency; working conditions and regulations; responsibilities and rights of employees; and an overview of the correctional field. Depending upon the employee(s) and the requirements of the particular job, the orientation/training may include some preparatory instruction related to the particular job. There are provisions for acknowledging and giving credit for prior training received. (Essential)

DISCUSSION: None. (See related standard 2-4174)

**2-4089** Written policy and procedure provide that all clerical/support employees who have minimal contact with inmates receive an additional 16 hours of training during the first year of employment and 16 hours of training each year thereafter. (Essential)

DISCUSSION: Clerical and support personnel who are not in continuous contact with inmates should be given orientation to the policies, organization, structure, programs, and regulations of the institution and parent agency as well as task orientation relative to their particular job assignments. Ongoing training during subsequent years of employment enable employees to sharpen skills and keep up with changes in operational procedures. (See related standard 2-4174)

**2-4090** Written policy and procedure provide that all support employees who have regular or daily inmate contact receive an additional 40 hours of training during their first year of employment and an additional 40 hours of training each subsequent year of employment. (Essential)

DISCUSSION: Food service, industrial supervisors, and other support personnel who, as a part of their job requirements, have day to day contact with inmates should receive specialized training to supplement their particular area of expertise. These individuals should be familiar with policies and procedures of the institution, plus the basic rules of inmate supervision and security. Ongoing training during subsequent years of employment enables employees to sharpen skills and keep abreast of changes in operational procedures. (See related standards 2-4174 and 2-4210)

**2-4091** Written policy and procedure provide that all professional specialists employees who have inmate contact receive an additional 40 hours of training during their first year of employment, and an additional 40 hours of training each subsequent year of employment. (Essential)

DISCUSSION: Case managers, chaplains, teachers, medical personnel, etc., all have received considerable training and education in their field prior to qualifying for a particular position. However, they should receive orientation and training relative to the policies, procedures and regulations of the institution, as well as specific training in their area as it relates to an institutional environment. Ongoing training during subsequent years of employment enables employees to sharpen skills and keep abreast of new developments in their respective fields, as well as changes in operational procedures. (See related standards 2-4174 and 2-4210)

**2-4092** Written policy and procedure provide that all new correctional officers receive an additional 120 hours of training during their first year of employment and an additional 40 hours of training each subsequent year of employment. At a minimum this training covers the following areas:

- Security procedures
- Supervision of inmates
- Use of force regulations and tactics
- Report writing
- Inmate rules and regulations
- Rights and responsibilities of inmates
- Fire and emergency procedures
- Firearms training
- Key control
- Interpersonal relations
- Social/cultural life styles of the inmate population
- Communication skills
- First aid.

(Essential)

DISCUSSION: Since the duties of correctional officers frequently involve most institutional operations, their training should be comprehensive. Ongoing training during subsequent years of employment enables employees to sharpen skills and keep abreast of changes in operational procedure. (See related standards 2-4096, 2-4174, 2-4196, 2-4285, 2-4346 and 2-4347)

**2-4093** Written policy and procedure provide that all administrative and managerial staff receive an additional 40 hours of training during their first year of employment, and an additional 40 hours of training each subsequent year of employment. This training covers the following areas, at a minimum: general management and related subjects; labor law; employee-management relations; the interaction of elements of the criminal justice system; and relationships with other service agencies. (Essential)

DISCUSSION: Administrative and managerial staff should receive training that enables them to respond effectively to problems, and to deal effectively with the parent agency, the employees, and the community.

**2-4094** When there is an emergency unit, written policy and procedure provide that all assigned officers have one year of experience as a correctional officer, which includes 160 hours of training, that they receive 40 hours of relevant emergency unit training prior to assignment, which may be part of the first year training (160 hours), and that at least 16 hours of the 40 hours of annual training be specifically related to emergency unit assignment. (Essential)

DISCUSSION: As knowledge of handling emergency situations increases, many agencies are creating emergency units, sometimes called "squads", "confrontation units", and the like. Members of these units should receive training that will enable them to implement new knowledge and techniques, to include procedures to be followed in hostage situations. (See related standards 2-4092 and 2-4211)

TRAINING AND STAFF DEVELOPMENT

**2-4095 All part-time staff receive formal orientation appropriate to their assignments and additional training as needed. (Essential)**

DISCUSSION: Part-time staff need orientation to institutional rules, security, and operational procedures. Training for part-time staff enables them to keep informed and up-to-date with changes in operations as well as policy and procedure.

**2-4096 Prior to assignment to a post involving possible use of a firearm, all personnel authorized to use firearms receive appropriate firearm training; this training covers the use, safety, care, and constraints involved in the use of firearms. All authorized personnel are required to demonstrate competency on at least an annual basis. (Mandatory)**

DISCUSSION: Staff authorized to use firearms require thorough training in their use, safety, and care. A specific curriculum should be established that includes individual and group instruction by competent authorities. Instructions should include training regarding the limited conditions under which the use of firearms would be condoned; this training should be comparable to the police constraints or regulations of that particular jurisdiction. (See related standards 2-4092 and 2-4186)

**2-4097 All personnel authorized to use chemical agents are thoroughly trained in their use and in the treatment of individuals exposed to the chemical agent. (Mandatory)**

DISCUSSION: Chemical agents, if not properly used and handled, could result in serious injury. A special curriculum should be established that includes both individual and group instruction by competent authorities. Personnel from the military, the Federal Bureau of Investigation, and the state and local police could provide the instruction.

**2-4098 All security and custodial personnel are trained in approved methods of self-defense and the use of force as a last resort to control inmates. (Essential)**

DISCUSSION: It is sometimes necessary to use physical force to control and/or move inmates. All security and custodial personnel should be trained in the techniques by which this can be done with minimal harm and discomfort to the inmates and staff.

**2-4099 Written policy and procedure encourage employees to continue their education. (Important)**

DISCUSSION: Employees who wish to continue their education should be given the opportunity to do so. Every effort should be made to coordinate educational activities with staff responsibilities. The institution's training and staff development program should promote and support employee participation in outside workshops, seminars, and other formal educational programs.

**2-4100 The institution encourages staff participation in criminal justice and allied professional associations and activities on a local and national level. (Important)**

TRAINING AND STAFF DEVELOPMENT

DISCUSSION: Membership and participation in criminal justice and allied professional associations provides the warden/superintendent and institution staff the opportunity to stay abreast of developments in the field, to make contributions to the field, and to further their knowledge and skills.

**2-4101 The institution provides administrative leave and/or reimbursement for employees attending approved professional meetings, seminars and/or similar work-related activities. (Important)**

DISCUSSION: Outside training and educational programs may provide new ideas and insight into the treatment and management of inmates. The institution should encourage participation in these activities, including membership in state, local and national professional organizations. Adequate funds for this purpose should be included in the budget.

## MANAGEMENT INFORMATION AND RESEARCH

**Note: Management information systems and research are often approved and implemented through the parent agency or central office. Institution management and staff should participate in the conduct of these programs which are directed at operational and program objectives.**

### *Management Information Systems*

**2-4102** The institution contributes to, has access to, and uses an organized system of information storage, retrieval, and review that is part of an overall research and decision-making capacity, relative to both inmate and operational needs. (Essential)

**DISCUSSION:** Management information systems facilitate decision making, research, and timely responses to offender needs and outside inquiries. They also help ensure protection of the public and efficient and effective use of resources. These functions often are provided by a division of a large state-wide correctional system. If the parent correctional agency does not provide these functions, the institution should assign selected personnel to these tasks, and should provide them with adequate training.

**2-4103** When there is direct access to information which is part of the management information system, all staff are trained in and responsive to the security requirements of the system. (Essential)

**DISCUSSION:** Written policy should specify those persons who have direct access to the information system.

**2-4104** The institution or its parent agency collaborates with criminal justice and service agencies in information gathering, exchange, and standardization. (Important)

**DISCUSSION:** System-wide collaboration is critical to efficient and effective management. The key to effective collaboration is standardized and shared information. Duplication of effort and costs often can be avoided or reduced by exchange of information. While it is important that institutions share information, it is also vital that they respect the confidentiality and privacy of offender records.

**2-4105** The institution has specific, written definitions of its criteria for evaluating overall institutional performance. (Essential)

**DISCUSSION:** The institution should develop standard evaluation criteria which con-

sider the nature of events to be counted, the categorization of behaviors and degrees of seriousness to be included, and the duration of the follow-up period. Its system to measure the degree of internal order should include, but not be limited to the following: escape rate; the frequency and number of assaults on staff; group disturbances by inmates; assaults and homicides by inmates; weapons and/or illegal drugs found; and, major and minor disciplinary actions. When management data concerning offenders is compiled, it should allow for categorization by age, sex, race, offense, and prior record.

**2-4106** The warden/superintendent receives, at least quarterly, reports and summaries of the characteristics, movement and status of the inmate population from those responsible for the information system and research programs. (Essential)

**DISCUSSION:** Quarterly reports and summaries of the characteristics, movement, and status of the inmate population enable the warden/superintendent to allocate resources, and supervise and classify inmates more effectively and efficiently. Appointment of a single director to be responsible for the information system and research efforts may facilitate the reporting procedure.

**2-4107** A written evaluation of the effectiveness of the overall information system, as it relates to the management of the facility, is prepared at least annually. (Essential)

**DISCUSSION:** In order to determine the overall effectiveness of the management information system, the warden/superintendent should have the opportunity to comment on and make recommendations relevant to the system's usefulness.

### *Research and Evaluation*

**2-4108** The institution or parent agency supports and engages in research activities relevant to its programs. (Important)

**DISCUSSION:** Research can assist the institution in establishing goals, objectives, and plans for the future. Controlled experiments, evaluations, and policy research can contribute to new knowledge and thereby more efficient and effective institution operations, conservation of resources, and increased public safety. The institution or parent agency should seek financial support for research from private and public funding agencies.

**2-4109** Institutional programs are periodically analyzed and evaluated to determine their contribution to the mission of the institution. (Essential)

**DISCUSSION:** Institutional programs should be clearly defined in terms of their objectives, cost, and relation to overall institution philosophy and goals. Periodic program analyses and evaluations assist in the identification of productive and non-

## MANAGEMENT INFORMATION AND RESEARCH

productive programs, determination of needed changes, and indication of the need for reordering priorities. (See related standard 2-4019)

**2-4110** Written policy and procedure governing the conduct of research in the institution comply with state and federal guidelines for the use and dissemination of research findings and with accepted professional and scientific ethics. (Important)

**DISCUSSION:** Persons doing research in the institution should be informed of all policies relating to their research, particularly those dealing with the confidentiality of the information obtained. Research results should be made available to the warden/superintendent for review and comment prior to publication or dissemination.

**2-4111** The warden/superintendent reviews and approves all institutional research projects in conformity with parent agency policy prior to their implementation. (Essential)

**DISCUSSION:** Research should not be permitted to proceed until the research design and the requirements of institution staff are understood fully and agreed upon.

**2-4112** Written policy and procedure provide that the warden/superintendent encourage and use research conducted by outside professionals. (Important)

**DISCUSSION:** Because of time and personnel constraints, it is impractical for most correctional institutions to carry out internally all research needed. They should, therefore, contract responsible outside professionals to conduct needed research. Often participation in research activities will be solicited by other public agencies.

**2-4113** Operational personnel assist research personnel in carrying out research and evaluation. (Important)

**DISCUSSION:** A partnership between operational and research personnel is required to determine research needs, establish priorities, and assist in design, data collection, assessment, and evaluation.

**2-4114** Written policy and procedure govern voluntary inmate participation in nonmedical, nonpharmaceutical and noncosmetic research programs. (Essential)

**DISCUSSION:** Prospective research programs should be examined by a qualified review board of at least three members. To be approved for implementation, research programs should show relevance and potential benefits to the facility, program, and inmates, and no potentially harmful or negative effects. All participation by inmates should be on a noncoercive and fully voluntary basis. (See related standard 2-4314.)

## RECORDS

**2-4115** Written policy and procedure govern case record management and include, but are not limited to these areas: establishment; utilization; content; privacy; security; preservation; and, a schedule for retiring or destroying inactive case records. These policies and procedures are reviewed annually. (Essential)

**DISCUSSION:** The orderly recording, management, and maintenance of data increase the efficiency and effectiveness of service delivery to the courts, release authorities, and offenders. Case records facilitate the planning, implementation, and evaluation of programs.

**2-4116** The institution maintains a cumulative case history on each inmate in a master file that includes, but is not limited to these items: important events; significant decisions and their rationale for the decisions; dates on which services were rendered; and inmate institutional adjustment. This master file is placed in a secure location. (Essential)

**DISCUSSION:** Data recorded in the case file provide administrative and supervisory personnel with a basis for evaluating inmate progress. All data in the file should be verified and maintained in accordance with applicable state and federal regulations regarding security and confidentiality. (See related standard 2-4125)

**2-4117** The contents of case records are identified and separated according to an established format. (Important)

**DISCUSSION:** Prescribed means for identifying and separating the contents of case records assist staff in locating information, in filing reports properly, and in identifying gaps in information.

**2-4118** Written policy and procedure provide for current and accurate master files. (Essential)

**DISCUSSION:** Since current records and a master file are usually kept on each inmate, current records should be audited periodically to ensure that all information transferred to the master file is accurate. Written guidelines should specify who should review these records, the frequency of review, and method for documenting the review.

**2-4119** There is a single master index identifying all inmates committed or assigned to the institution. (Essential)

**DISCUSSION:** Staff should maintain an up-to-date master index identifying all inmates who are on the grounds, temporarily off the grounds, in a satellite unit, or who have escaped. Information on the status and whereabouts of each inmate

should be readily available to administrative and supervisory personnel so that security and control can be maintained, and when appropriate, accurate information provided outside agencies.

**2-4120 Case records are safeguarded from unauthorized and improper disclosure. (Essential)**

**DISCUSSION:** An inmate's constitutional right to privacy can be violated if case files are improperly disseminated. The institution should establish procedures to limit access to case records to persons and public agencies that have both a "need to know" and a "right to know" and that can demonstrate that access to such information will serve a criminal justice purpose. Written guidelines should regulate inmate access to records. (See related standard 2-4071)

**2-4121 The administration uses a consent form which complies with applicable federal or state regulations. The inmate signs a "Release of Information Consent Form" prior to the release of information as required by statute or regulation and a copy of the form is maintained in the inmate's case record. (Essential)**

**DISCUSSION:** The confidentiality and protection of information pertaining to inmates is required by law. Where statutorily required, judicial, law enforcement, correctional and social service authorities involved with the case should be supplied information without consent forms being required. The "Release of information Consent Form" may include these items: name of person; agency or organization requesting information; name of institution releasing information; specific information to be disclosed; purpose of the information; date consent form was signed; signature of the inmate; and signature of employee witnessing the inmate's signature.

**2-4122 Written policy and procedure provide that when an inmate is transferred from one institution to another, the inmate's updated case file is simultaneously transferred, or transferred within 72 hours. (Essential)**

**DISCUSSION:** Continuity of correctional programming requires that the staff of one institution have the benefit of a complete cumulative case record developed at other institutions. This procedure should also include the transfer of medical files. (See related standard 2-4320)

**2-4123 Written policy and procedure govern inmate access to information in their case record. (Essential)**

**DISCUSSION:** Consistent with applicable statutes which set forth procedures and conditions for review of case records and files, inmates should have access to available material. Exceptions should be based on possible harm to the inmate or others.

**2-4124 The institution maintains a daily report of inmate population movement. (Essential)**

**DISCUSSION:** Accurate and current information should be kept on how many inmates are in the institution, their names, numbers, and housing assignments. Official daily movement sheets should detail the number and types of admissions and releases each day and the count at the close of the day.

**2-4125 Policy and procedure provide that case records kept by various units within the institution are identified, safeguarded from unauthorized and improper use and meet all requirements for proper recordkeeping. (Important)**

**DISCUSSION:** Inmate records kept in various departments of the institution should conform to standards established for the master files. (See related standard 2-4116)

**2-4126 Written policy and procedure provide for the accurate computation and recording of inmate time in conformance with applicable statutes and regulations. (Essential)**

**DISCUSSION:** A vital element for the incarcerated inmate is the accurate computation and recording of any good time earned or time forfeited. Case files should provide a continual and accurate record of the inmate's time. Proper notification to all appropriate parties should accompany any changes reflected in the record.

## PHYSICAL PLANT

**Note:** These standards apply, as indicated, to existing institutions, renovations, additions and/or new plant construction. New construction is defined as that for which the final plans were approved after January 1, 1982.

**2-4127 Existing, renovation, addition**  
Institutions of more than 500 inmates are subdivided into units of not more than 500 inmates each which are staffed by a unit manager and the number and variety of personnel required to provide the program services and custodial supervision needed for each unit. (Essential)

**DISCUSSION:** Units of 500 or less inmates permit programs to be conducted on a smaller, more manageable scale and decisions affecting inmates to be made by those personnel who know them best. Such units should be semi-autonomous as related to matters within the unit, counseling services and intra-institution classification, and custodial supervision. (See related standard 2-4160)

**2-4128 Existing, renovation, addition, new plant**  
The population assigned to housing units does not exceed the rated bed capacity of the facility. (Essential)

**DISCUSSION:** The original plan for the facility should be examined to determine its rated bed capacity. If remodeled since original construction, the latest blueprints or plans for inmate housing should be used.

**2-4129 Existing, renovation, addition, new plant**  
Only one inmate occupies a room or cell designed for single occupancy which has a floor area of at least 60 square feet, provided inmates spend no more than 10 hours per day locked in. When confinement exceeds 10 hours per day, there are at least 80 square feet of floor space. (Important)

**DISCUSSION:** The institution should provide for humane care. Single cells or rooms provide privacy and enable inmates to personalize living space. Less personal living space is required for inmates who have programs and activities available to them through the institution.

**2-4130 Existing, renovation, addition, new plant**  
Each room or cell has, at a minimum, the following facilities and conditions:  
  
Sanitation facilities, including access to

Toilet above floor level which is available for use without staff assistance 24 hours a day; and  
Wash basin with hot and cold running water  
A bed at above floor level, desk, hooks or closet space, chair or stool  
Natural light  
Documentation by an independent, qualified source that  
lighting is at least 20 footcandles at desk level and in the personal grooming area;  
circulation is at least 10 cubic feet of outside or recirculated filtered air per minute per human occupant;  
temperatures are appropriate to the summer and winter comfort zones; and  
noise levels do not exceed 70 decibels in daytime and 45 decibels at night.

(Essential)

**DISCUSSION:** Sensory deprivation should be reduced by providing variety in terms of space, surface textures and colors. Natural lighting should be available either by cell or room windows to exterior or from a source within 20 feet of the room or cell. The bed should be elevated from the floor and have a clean, covered mattress with blankets provided as needed. Suggested temperatures are 66 to 80 degrees Fahrenheit in the summer comfort zone, optimally 71 degrees, and 61 to 73 degrees Fahrenheit in the winter comfort zone, optimally 70 degrees.

**2-4131 Existing, renovation, addition, new plant (minimum security only)**  
Where used, multiple occupancy rooms house no less than three and no more than 50 inmates each who are screened for suitability to group living prior to admission. Multiple occupancy rooms are continuously observed by staff and provide the following facilities and conditions:

A minimum floor area of 50 square feet per occupant in the sleeping area and a clear floor to ceiling height of not less than eight feet  
Toilet and shower facilities at a minimum of one operable toilet and shower for every eight occupants  
One operable wash basin with hot and cold running water for every six occupants  
Single beds only  
Access to a locker or private storage space for each occupant  
Natural light  
Documentation by an independent, qualified source that  
lighting is at least 20 footcandles at desk level and in the personal grooming area;  
circulation is at least 10 cubic feet of outside or recirculated filtered air per minute per occupant;  
temperatures are appropriate to the summer and winter comfort zones; and  
noise levels that do not exceed 70 decibels in daytime and 45 decibels at night.

(Important)

**DISCUSSION:** Where multiple occupancy housing cannot be avoided, as in dormi-

PHYSICAL PLANT

tories, or where it is used in minimum security conditions as a preferred living situation, the number of inmates rooming together should be kept as low as possible. All inmates placed in multiple occupancy housing should be carefully screened by the classification committee or other authorized group prior to assignment. Chairs and tables should be provided either in the sleeping area or dayroom for reading and writing. (See related standards 2-4152, 2-4401, and 2-4405)

**2-4132 Existing, renovation, addition, new plant**  
 Minimum security institutions, or minimum security areas within larger institutions provide individual rooms with key control shared by the occupants and staff, or continuous access to toilet and shower facilities and hot and cold running water, including drinking water. Rooms also provide the following facilities and conditions:

- A minimum floor area of 60 square feet
- A bunk at above floor level, desk, hooks or closet space, chair or stool
- Natural light
- Documentation by an independent, qualified source that
  - lighting is at least 20 footcandles at desk level and in the personal grooming area;
  - circulation is at least 10 cubic feet of outside or recirculated filtered air per minute per occupant;
  - temperatures are appropriate to the summer and winter comfort zones; and
  - noise levels do not exceed 70 decibels in daytime and 45 decibels at night.

(Essential)

DISCUSSION: Housing units for minimum custody inmates can and should be constructed economically. Individual rooms are preferred to dormitory type construction.

**2-4133 Existing, renovation, addition, new plant**  
 When males and females are housed in the same institution there are separate sleeping quarters. (Important)

DISCUSSION: None. (See related standard 2-4331)

**2-4134 Existing, renovation, addition, new plant**  
 There are two identifiable exits in each inmate housing area and other high density areas to permit the prompt evacuation of inmates and staff under emergency conditions. (Mandatory)

DISCUSSION: Emergency exits should be provided to ensure safety of inmates and staff. Such exits should lead directly to a hazard free area, where adequate supervision can be provided. (See related standards 2-4168, 2-4169, and 2-4172)

**2-4135 Existing, renovation, addition, new plant**

The segregation housing units provide living conditions that approximate those of the general inmate population; all exceptions are clearly documented. Segregation housing units provide the following facilities and conditions:

- Single occupancy rooms or cells with a floor area of at least 80 square feet
- Sanitation facilities, including access to
  - above-floor toilet facilities available for use without staff assistance 24 hours per day;
  - hot and cold running water
- Natural light
- A bunk at above floor level, desk or writing space and stool
- Documentation by an independent, qualified source that
  - lighting is at least 20 footcandles at desk level and in the personal grooming area;
  - circulation is at least 10 cubic feet of fresh or purified air per minute;
  - temperatures are appropriate to the summer and winter comfort zones; and
  - noise levels do not exceed 70 decibels in daytime and 45 decibels at night.

(Important)

DISCUSSION: None. (See related standard 2-4130 and standards in Special Management Inmates)

**2-4136 Existing, renovation, addition, new plant**

The segregation rooms permit inmates assigned to them to converse with others in the same housing unit and have doors which permit observation by staff.

(Essential)

DISCUSSION: Although inmates may be physically separated from the general population, they should be allowed to talk to other inmates assigned to the same housing unit or to staff members. Total isolation as punishment for a rule violation is not an acceptable practice. When exceptions occur, they should be justified by clear and substantiated evidence and fully documented.

**2-4137 Existing, renovation**

There is a separate day room leisure time space for each general population housing unit. (Essential)

DISCUSSION: Day rooms equivalent to a minimum of 35 square feet per inmate should be available to all inmates for reading, writing or table games. Tables should be provided which may also be used for dining. Circulation corridors in front of cells/rooms are not to be considered day room/leisure time space. (See related standard 2-4158)

**2-4138 Existing, renovation**  
**Space outside the cell or room is provided for inmate exercise. (Essential)**

DISCUSSION: Indoor and outdoor exercise areas should be secure and available to all inmates. Exercise space is not a walkway or a "bull pen" area in front of rooms or cells. (See related standards 2-4156, 2-4157, and 2-4232)

**2-4139 Existing, renovation, addition, new plant**  
**In institutions offering academic and vocational training programs, the classrooms are designed in cooperation with school authorities. (Essential)**

DISCUSSION: Space requirements which afford safe learning and mobility are necessary in both the educational and vocational areas. (See related standard 2-4423)

**2-4140 Existing, renovation, addition, new plant**  
**There is a visiting room or area for contact visiting and, if necessary, a visiting area for noncontact visiting, both of which provide a reasonable degree of privacy. (Essential)**

DISCUSSION: While security must be observed, some degree of privacy can enhance the value of visits for both the inmate and the visitor. There should be separate restrooms for inmates and visitors, both male and female. There should be adequately designed space to permit screening and searching of both inmates and visitors. Space should be provided for the proper storage of visitors' coats, handbags, and other possessions not allowed into the visiting area. (See related standard 2-4383)

**2-4141 Existing, renovation, addition, new plant**  
**Space is provided for an inmate commissary or canteen, or provisions are made for a mobile commissary service. (Essential)**

DISCUSSION: An area should be provided near inmate housing quarters where inmates can purchase personal items. The size of the canteen should be commensurate with the size of the inmate population. When security considerations dictate, staff members may take movable carts to cell blocks instead. (See related standard 2-4049)

**2-4142 Existing, renovation, addition, new plant**  
**If the institution has watchtowers, they are placed so that they permit an unobstructed view of the grounds and perimeter and are equipped with the weaponry, lighting, sighting, and communications devices necessary for effective execution of their function. (Essential: maximum and medium security facilities only)**

DISCUSSION: Security personnel assigned to both watchtowers and mobile patrol units should have and be trained in the use of appropriate equipment to prevent or deal with escapes and disturbances. Each watchtower or mobile patrol unit should have the following, at a minimum: appropriate weapons, searchlights, binoculars, a

whistle, pager, or other warning device, and an open channel of communication with other towers, mobile patrol units, and central control. Watchtowers should not be placed more than 500 feet apart, should contain toilet and drinking facilities, and should have adequate heat and ventilation. (See related standards 2-4096 and 2-4186)

**2-4143 Existing, renovation, addition, new plant**  
**The food preparation and dining area includes a space for food preparation based on population size. (Important)**

DISCUSSION: Excluding the food storage area, kitchen floor space should be the equivalent of 10 square feet per inmate; this may be reduced proportionally for larger facilities. Kitchen equipment and food storage facilities should be sufficient for the quantity of food prepared. (See related standard 2-4249)

**2-4144 Existing, renovation, addition, new plant**  
**Space is provided for administrative, custodial, professional and clerical staff; this space includes conference rooms, employee lounge, storage room for records, public lobby and toilet facilities. (Essential)**

DISCUSSION: Space should be provided for general administrative functions and for the comfort of staff.

**2-4145 Existing, renovation, addition, new plant**  
**Handicapped inmates are housed in a manner which provides for their safety and security. Cells or housing units used by them are designed for their use, and provide the maximum possible integration with the general population. Appropriate institution programs and activities are accessible to handicapped inmates confined in the facility. (Essential)**

DISCUSSION: Severely physically handicapped inmates may be housed in special facilities. When the institution accepts handicapped individuals, provision must be made for their housing and for their use of facility resources.

**2-4146 Existing, renovation, addition, new plants**  
**All parts of the facility which are accessible to the public are accessible to and usable by handicapped staff and visitors. (Important)**

DISCUSSION: Section 504 of the Rehabilitation Act of 1973 and the Architectural Barriers Act of 1968, and implementing regulations should be referred to in the implementation of these requirements.

**2-4147 Existing, renovation, addition, new plant**  
**Space is provided for janitor closets, which are equipped with a sink and cleaning implements. (Essential)**

**DISCUSSION:** Cleaning equipment and supplies should be stored in a supervised area accessible to inmates so that they can clean their living and activity area.

**2-4148 Existing, renovation, addition, new plant**  
**There are storage rooms in the institution for clothing, bedding, and cleaning supplies. (Essential)**

**DISCUSSION:** Space should be provided in the institution to store and issue clean clothing, bedding and other supplies required for daily operations.

**2-4149 Existing, renovation, addition, new plant**  
**There is storage space available for the personal property of inmates. (Essential)**

**DISCUSSION:** Safe and secure storage is required to ensure accountability for personal property of inmates.

**2-4150 Existing, renovation, addition, new plant**  
**Separate and adequate space is provided for mechanical equipment. (Essential)**

**DISCUSSION:** Sufficient space should be provided for equipment needed for heating, ventilating, air conditioning, water supply, waste removal, electricity, communications, etc. In smaller facilities, space for this equipment should constitute no more than 12 percent of all floor space. In facilities of up to 100,000 square feet, about eight percent of all floor space should be allocated for this equipment.

**2-4151 Existing, renovation, addition, new plant**  
**There is a written plan for preventative maintenance of the physical plant which provides for emergency repairs or replacement in life threatening situations. (Essential)**

**DISCUSSION:** A specific plan for preventive maintenance implemented by qualified staff or maintenance professionals is necessary for safe and efficient operation. Regular care and inspection of equipment is essential. Institution personnel should notify their supervisors and submit work orders to maintenance personnel to take appropriate action when required. (See related standards 2-4033, 2-4171, and 2-4203)

**2-4152 Renovation, addition, new plant**  
**Planning precludes the use of dormitories for inmate housing in maximum, close, or medium security institutions. (Essential)**

**DISCUSSION:** Although the initial construction costs of single cell institutions may be high, there are several significant long-term advantages to this type construction. Supervision costs are generally lower; single cell housing units are usually safer for both inmates and staff; and single celled institutions are more flexible in their ability to accommodate different types of inmates. (See related standard 2-4131)

**2-4153 Renovation, addition, new plant**  
**The institution conforms to applicable federal, state, and local building codes. (Essential)**

**DISCUSSION:** Often a state or local jurisdiction will license an institution; this licensing indicates compliance with all building codes. In those cases in which a license is not issued, letters or certificates of compliance are acceptable. In the event the agency is not subject to local building codes, appropriate state or national codes will be applied to the institution.

**2-4154 Renovation, addition, new plant**  
**There is documentation by an independent, qualified source that ventilation is at least 10 cubic feet of outside or recirculated filtered air per minute, per human occupant, for cell blocks and guard stations, and 20 cubic feet per minute for eating halls. Lighting requirements for the facility are determined by the tasks to be performed, interior surface finishes and colors, type and spacing of light sources, outside lighting, and shadows and glare. (Important)**

**DISCUSSION:** Mechanical ventilation may provide for recirculation of outside air except where prohibited by codes. The outdoor air requirements may be reduced to a minimum of 33 percent of the specified required ventilation air quantity if adequate temperature control is provided, in addition to filtering equipment, so that the maximum allowable concentration of particles entering the space is reduced to acceptable limits. In no case should the outdoor air quantity be less than five cubic feet per minute per person. Lighting requirements vary based on many factors. In keeping with conservative measures, lighting should not exceed 50 footcandles at work stations, 30 footcandles in work areas, and 10 footcandles in nonwork areas, unless specifically required by the task (e.g., surgery, drafting, food preparation, accounting, or close work.)

**2-4155 Renovation, addition, new plant**  
**There is documentation by a qualified source that the interior finishing material in inmate living areas, exit areas, and places of public assembly are in accordance with recognized national fire safety codes. (Mandatory)**

**DISCUSSION:** No institutional furnishings, ceilings, partitions, or floors should be constructed of foamed plastics or foamed rubber unless the fire performance characteristics of the material are known and acceptable. (See related standard 2-4166)

**2-4156 Renovation, addition, new plant**  
**There is a separate indoor space for vigorous exercise in inclement weather; this space is no less than 60 X 100 feet with a ceiling height of no less than 22 feet. (Important)**

**DISCUSSION:** The indoor recreation space which is provided for indoor exercise and activity should be at least large enough to accommodate inmates who wish to lift weights, play basketball, do calisthenics, etc.

**2-4157** *Renovation, addition, new plant*

**There is a minimum of two acres of outdoor recreation space for each inmate unit of up to 500 inmates; additional outdoor recreation space is provided at the rate of 90 square feet per inmate over 500. (Essential)**

**DISCUSSION:** Recreation opportunities provide healthful, relaxing activities for inmates, and create outlets for reducing tension. Recreation areas should contain space and equipment for track, weight lifting, baseball, handball activities, etc., to provide for a variety of interests. (See related standard 2-4458)

**2-4158** *Addition, new plant*

**There is separate dayroom/leisure time space for each general population housing unit containing 35 square feet of floor space per inmate exclusive of circulation corridors in front of cells/rooms. (Essential)**

**DISCUSSION:** Dayrooms should have enough floor space to allow for a variety of activities, such as reading, writing, table games, and television. Circulation corridors in front of cells/rooms should not be included in computing dayroom area. (See related standard 2-4137)

**2-4159** *Addition, new plant*

**Administrative segregation housing units are the same as those for the general population and have an area for indoor exercise outside the room or cell that has 35 square feet of floor space per inmate requiring exercise. (Essential)**

**DISCUSSION:** Inmates in administrative segregation should have ample exercise space outside their cells or rooms since most jurisdictions permit inmates outside of the cell for at least one or two hours. (See related standard 2-4232)

**2-4160** *New plants*

**The institution is designed to accommodate no more than 500 inmates. (Essential)**

**DISCUSSION:** A correctional institution should be small enough so that it can maintain security without excessive regimentation, surveillance, and control equipment. An inmate population of no more than 500 helps ensure efficient administration and adequate attention to inmates' needs. When two or more institutions are planned for the same site, they may share central services such as power plant, utilities, central purchasing, warehousing, laundry, firehouse, food preparation, etc. (See related standard 2-4127)

**2-4161** *New plants*

**The institution is located within 50 miles of a civilian population center of at least 10,000 people, or minimally within one hour driving time of a hospital, fire protection, and public transportation. (Essential)**

**DISCUSSION:** Proximity to a civilian population center is essential in order to augment the services provided directly by the institution, to provide greater recruitment

and training opportunities for staff, to accommodate visitors, and to provide educational and employment opportunities for inmates on work or study release. Nearby social agencies, schools, colleges, universities, and hospitals are potentially valuable resources for a correctional institution.

## SAFETY AND EMERGENCY PROCEDURES

**2-4162** There is documentation by an independent, qualified source that the institution complies with the applicable fire safety code(s). (Mandatory)

**DISCUSSION:** Local or state fire codes must be strictly adhered to in order to ensure the safety and well-being of the inmates and staff. Reports of periodic inspections and action with respect to such reports must be available. In the event local and/or state codes are not applicable, the requirements of the National Fire Protection Association *Life Safety Code*, (current edition) apply. (See related standards 2-4164 and 2-4172)

**2-4163** Written policy and procedure provide for a qualified fire and safety officer to routinely inspect the institution for compliance with safety and fire prevention standards, and for a review of this policy and procedure annually; there is a weekly fire and safety inspection of the institution by an administrative staff member. (Mandatory)

**DISCUSSION:** All correctional institutions should provide the maximum degree of safety to protect both inmates and employees. Institutional inspections and reviews of policy and procedure permit correction of areas which may be potentially dangerous. (See related standards 2-4246 and 2-4255)

**2-4164** Written policy and procedure specify the institution's fire prevention regulations and practices. These include, but are not limited to the following:

Provision for an adequate fire protection service

A system of fire inspection and testing of equipment at least quarterly

An annual inspection by local or state fire officials or other qualified person(s)

Availability of fire protection equipment at appropriate locations throughout the institution.

(Mandatory)

**DISCUSSION:** The administration should plan and execute all reasonable procedures for the prevention and prompt control of fire. The use of national codes, such as the *Life Safety Code*, can help to ensure the safety of staff, inmates and visitors.

**2-4165** The institution has an automatic fire alarm and smoke detection system which is certified by an independent, qualified inspector trained in the application of national fire safety codes. If the institution depends on a local fire department, the fire alarm system is connected directly to the local fire department. Whenever possible, all system elements are tested on a quarterly basis; adequacy and operation of the systems are certified by a state fire official or other qualified authority annually. (Mandatory)

**DISCUSSION:** Fire and/or smoke identification at the earliest possible moment is critical to fire control and fire fighting, as well as to the evacuation of staff and in-

mates to preclude smoke inhalation and preserve life and health. (See related standards 2-4171 and 2-4181)

**2-4166** Specifications for the selection and purchase of facility furnishings indicate the fire safety performance requirements of the materials selected. (Mandatory)

**DISCUSSION:** Furnishings, mattresses, cushions, or other items of foamed plastics or foamed rubber, (i.e., polyurethane, polystyrene) may pose a severe hazard due to high smoke production, rapid burning once ignited, and high heat release. Such materials should be subjected to careful fire safety evaluation before purchase or use. It is recommended that cotton mattresses treated with boric acid be used. All polyurethane mattresses should be removed. (See related standards 2-4155)

**2-4167** Institution facilities are equipped with noncombustible receptacles for smoking materials and separate containers for other combustible refuse at accessible locations throughout living quarters in the institution. Special containers are provided for flammable liquids and for rags used with flammable liquids. All receptacles and containers are emptied and cleaned daily. (Mandatory)

**DISCUSSION:** The proper and safe containment of flammable materials and the sanitation of such containers are essential activities in fire prevention.

**2-4168** The facility has exits which are distinctly and permanently marked, continuously visible at all times, kept clear, and maintained in usable condition. (Mandatory)

**DISCUSSION:** No battery-operated electric light, portable lamp or lantern should be used for primary illumination of exits, but electric battery-operated lighting may be used as an emergency source where normal lighting has failed, as defined in the NFPA *National Electrical Code*. These requirements also apply to exits in buildings of public or common use.

**2-4169** An independent, qualified inspector who is trained in the application of national fire safety codes has certified that the travel distance to all exits is in compliance with code requirements. (Mandatory)

**DISCUSSION:** When no other national code applies, the *Life Safety Code* specifies the travel distances from various points in the institution for areas with and without sprinkler systems. (See related standard 2-4134)

**2-4170** The institution has equipment necessary to maintain essential lights, power and communications in an emergency. (Essential)

**DISCUSSION:** The institution should have emergency power units, either battery or motor driven, to provide essential lighting and to maintain the life-sustaining functions within the institution and to continue communications with outside interests. (See related standard 2-4213)

**2-4171** Power generators are tested at least every two weeks, and other emergency equipment and systems are tested at least every quarter for effectiveness and are repaired or replaced if necessary. (Essential)

**DISCUSSION:** Frequent checks of emergency equipment, such as standby lighting, batteries, power generators, fire fighting apparatus, communications systems and alarms, ensure their reliability in time of need. (See related standards 2-4151 and 2-4164)

**2-4172** The institution has a written evacuation plan prepared in the event of fire or major emergency which is certified by an independent, outside inspector trained in the application of national fire safety codes. The plan is reviewed annually, updated if necessary, and reissued to the local fire jurisdiction. The plan includes the following:

Location of building/room floor plans

Use of exit signs and directional arrows for traffic flow

Location of publicly posted plan

At least quarterly drills in all institution locations

Staff drills when evacuation of extremely dangerous inmates may not be included.

(Mandatory)

**DISCUSSION:** The evacuation plan should also specify routes of evacuation, subsequent disposition and housing of inmates, and provision for medical care or hospital transportation for injured inmates and/or staff. Fire drills should include evacuation of all inmates except when there is clear and convincing evidence that institutional security is jeopardized. Upon such showing, actual evacuation during drills is not required, although staff supervising such inmates should be required to perform their roles/activity in quarterly drills. (See related standard 2-4134)

**2-4173** Written policy and procedure specify the means for the immediate release of inmates from locked areas in case of emergency, and provide for a back-up system. (Mandatory)

**DISCUSSION:** The responsibilities of personnel in an emergency situation should be clearly defined. They should be aware of the location and identification of keys and be knowledgeable about all evacuation routes. Inmates should receive instructions concerning emergency procedures. A control station or other locations which are removed from the inmate living area are provided with reliable, manual means for releasing locks on swinging and sliding doors to permit prompt release of inmates in the event of fire or other emergency.

**2-4174** All institution personnel are trained in the implementation of written emergency plans. (Mandatory)

**DISCUSSION:** Review of all emergency plans should be an essential element of personnel training and retraining programs. New employees should be familiar with all

emergency plans prior to permanent work assignment.

**2-4175** Written policy and procedure govern the control and use of all flammable, toxic, and caustic materials. (Mandatory)

**DISCUSSION:** Items such as lye, insecticide, antifreeze and denatured alcohol can cause death or serious injury. Provision should be made to ensure that inmates are never in possession of such items unless they are under constant supervision by qualified personnel. Such materials should be stored in secure areas that are inaccessible to inmates, and a prescribed system should be used to account for their distribution.

## SECURITY AND CONTROL

**2-4176** There is a manual containing all of the procedures for institution security and control, and detailed instructions for implementing these procedures. This manual is available to all staff and is reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** The manual for institutional security and control should contain information on inmate classification, physical plant inspection, inmate counts, weapons and chemical agent control, contraband, key control, tool and equipment control, cell equipment, emergency procedures, and inmate programs/activities.

**2-4177** The institution's perimeter is controlled by an appropriate means to provide that inmates remain within the perimeter and to prevent access by the general public without the appropriate authorization. (Essential)

**DISCUSSION:** Maximum (or close) and medium security institutions usually require walls or fences, with buffer zones between the buildings and recreation grounds and the barrier. If two fences are used, they should be at least 10 feet apart, and one should be imbedded in concrete for its entire length. Most minimum security institutions rely on single fences, or no fences at all, using various combinations of mechanical surveillance devices (electronic, pressure, sound or laser systems) and mobile patrols to ensure a safe perimeter.

**2-4178** There is surveillance of all areas adjacent to the perimeter of the institution. (Essential)

**DISCUSSION:** A surveillance plan helps to ensure greater security for the institution. It should reflect surveillance needs based on institution size and the degree of security required. Operative surveillance can be maintained through the use of watch towers, mechanical surveillance devices, mobile patrols or some combination of these techniques. Some technical systems operate on electronic, pressure, or sound detection basis. Lighting should be sufficient to provide visibility under all conditions; there should be no blind spots.

**2-4179** Safety vestibules and sally ports constitute the only breaches in the institution perimeter security. (Essential—maximum and medium security facilities only)

**DISCUSSION:** All pedestrian and vehicular entrances and exits to the institution should be via sally port arrangements. These should be operated remotely from the watchtower. Where possible, vehicular and pedestrian entrances should be located near each other to reduce the ground-level staff required to check vehicles and visitors and to avoid the dispersal of fence openings.

**2-4180** Pedestrian and vehicular traffic should enter and leave at designated points in the perimeter. (Essential—medium and minimum security facilities only)

**DISCUSSION:** Although there may be less need for physical barriers in medium and minimum security institutions, there is still the need to control admission and exit. All staff, inmates and visitors should be aware of entry and exit points.

**2-4181** The institution maintains a control center to provide order and security. (Essential)

**DISCUSSION:** A central control is essential for integrating various security and communications functions. The control center should be staffed around the clock, and access to it should be limited. The control center should monitor and take responsibility for inmate counts, key control, and the coordination of the institution's internal and perimeter security network. It should serve also as the communications center for the institution. The control center should monitor the operation of various systems: fire alarm, public address, smoke and thermal detection, radio, teletype, computer terminal, surveillance alarms, walk and perimeter lighting, and other mechanical and electrical systems. (See related standard 2-4164)

**2-4182** Written policy and procedure provide that staff regulate inmate movement. (Essential)

**DISCUSSION:** All inmate movement from one location to another should be controlled and supervised by staff in the interest of order, control, and expedience. Individual and group inmate movement to and from work and program assignments also require staff control and supervision. A master pass list for each day assists in accounting for movement without being so restrictive and burdensome as to discharge participation in program activities.

**2-4183** The institution has a system to physically count inmates; it includes strict accountability for inmates assigned to work and educational release, furloughs, and other approved, temporary absences. (Essential)

**DISCUSSION:** There should be at least one inmate count per shift. Counts should be scheduled so that they do not conflict with activity programs and normal operating procedures. The officer responsible for maintaining the master count record should be provided up-to-the-minute information regarding all inmate housing moves and work assignment changes, admissions to the hospital, etc. Adequate checks should be instituted to allow for human error. All inmates in legal custody should be accounted for in the master count. All temporary absences from the facility should be explained in writing.

**2-4184** Written policy and procedure govern the transportation of inmates outside the institution and from one jurisdiction to another. (Essential)

**DISCUSSION:** Policies and procedures should be designed to guard against escape and to ensure the well-being of inmates, staff, and the public. Guidelines for transporting inmates should emphasize safety and should be made available to all personnel involved in transporting inmates. The institution should have policies governing the use of restraints.

**2-4185** Written policy and procedure provide that instruments of restraint, such as handcuffs, irons, straight jackets, and the like, are never applied as punishment, and are applied only with the approval of the warden/superintendent or designee. (Essential)

DISCUSSION: Instruments of restraint should only be used as a precaution against escape during transfer, for medical reasons, by direction of the medical officer, and to prevent inmate self-injury, injury to others or property damage, and should not be applied for more time than is absolutely necessary. (See related standard 2-4312)

**2-4186** Written policy and procedure govern the use of firearms, to include the following:

Weapons are subjected to stringent safety regulations and inspections.

Except in emergency situations, employees carrying firearms are assigned only to watchtowers, gun walks, mobile patrols, or other positions that are inaccessible to inmates.

Employees supervising inmates outside the institution perimeter follow procedures which specify methods for ensuring the security of weapons.

Employees are instructed to use deadly force only after other actions have been tried and found ineffective, unless the employee believes that a person's life is immediately threatened.

Employees on duty use only firearms issued by the institution and use them only when directed by or authorized by the warden/superintendent or officer in charge.

(Mandatory)

DISCUSSION: In order to reduce the risk of firearms falling into the hands of inmates, institution personnel who spend most of their time in direct personal contact with inmates must not carry firearms. Use of firearms in transporting inmates or in outside work assignments requires officers who are trained in the handling and use of firearms. (See related standard 2-4096)

**2-4187** The institution has facilities for the safe unloading and reloading of firearms. (Essential)

DISCUSSION: An area should be designated for the unloading and reloading of firearms for both institutional personnel and visiting law enforcement officers to ensure that this process presents the least possible danger.

**2-4188** Written policy and procedure govern the availability, control, and use of firearms, ammunition, chemical agents and related security devices, and specify the level of authority required for access to and use of security devices. Chemical agents are used only at the direction of the warden/superintendent or designee. (Essential)

DISCUSSION: Designated staff should determine, based on an analysis of the physical plant, and number and profile of the inmate population, what firearms, chemical agents, and other security devices (such as shields, batons, helmets, gloves, body

protectors, etc.) the institution needs. Written policies and procedures should specify the level of authority required for access to and use of security devices. Chemical agents should be used only at the direction of the warden/superintendent or delegated subordinate.

**2-4189** Firearms, chemical agents and related security equipment are stored in a secure but readily accessible depository outside inmate housing and activity areas, and are inventoried at least monthly to determine their condition and expiration dates. (Essential)

DISCUSSION: The institution should maintain an arsenal for the secure storage and maintenance of all its firearms, ammunition, chemical agents, and other security devices. The arsenal should be located outside the inmate housing and activities area. Written policy should specify who has access to the arsenal.

**2-4190** Written policy and procedure provide that the institution maintains a written record of routine and emergency distributions of security equipment. (Essential)

DISCUSSION: A written record detailing who receives security equipment and what equipment they receive is necessary to establish responsibility and accountability for its use.

**2-4191** Written policy and procedure require that personnel discharging firearms, using chemical agents or any other weapon, or using force to control inmates submit written reports to the warden/superintendent or designee no later than the conclusion of the tour of duty. (Essential)

DISCUSSION: All instances involving the discharge of firearms and use of chemical agents should be documented to establish the identity of personnel and inmates involved and to describe the nature of the incident.

**2-4192** Written policy and procedure provide for searches of facilities and inmates to control contraband. (Essential)

DISCUSSION: The control of weapons and contraband in an adult correctional institution is a security measure. The institution's search plans and procedures should include the following:

Unannounced and irregularly timed searches of cells, inmates, and inmate work areas

Frequent search and careful supervision of inmate trustees

Inspection of all vehicular traffic and supplies coming into the institution

Use of metal detectors at compound gates and entrances into cell blocks

Complete search and inspection of each cell prior to occupancy by a new inmate.

The search plan should provide for the following:

Avoidance of unnecessary force, embarrassment or indignity to the inmate

Use of nonintensive sensors and other techniques instead of body searches whenever feasible

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Conduct of searches no more frequently than necessary to control contraband or to recover missing or stolen property

Respect of an inmate's right to any property authorized by institutional regulations

Use of only those mechanical devices absolutely necessary for security purposes.

(See related standard 2-4344)

**2-4193** Written policy and procedure provide that manual or instrument inspection of body cavities is conducted only when there is reason to do so and when authorized by the warden/superintendent or designee. This inspection is conducted in private by health care personnel or correctional personnel trained by health care personnel. (Essential)

DISCUSSION: None.

**2-4194** Written policy and procedure provide that visual inspection of inmate body cavities is conducted based on a reasonable belief that the prisoner is carrying contraband or other prohibited material. The inspection is conducted by trained staff in private. (Essential)

DISCUSSION: None.

**2-4195** The policy regarding searches for the control of contraband is published, made available to staff and inmates, reviewed at least annually, and updated if necessary. (Essential)

DISCUSSION: Knowledge that there is a comprehensive and fair plan for searches can inhibit inmate traffic in contraband. Staff should be trained in effective search techniques that offer protection for both staff and inmates from bodily harm.

**2-4196** Written policy and procedure govern the control and use of keys. (Essential)

DISCUSSION: The key control system should provide a current accounting of the location and possessor of each key. All keys should be issued from a central control area, and a log should be used to record the number of each key given out, the location of the lock, the number of keys to that lock, and the names of all employees possessing the key. Keys should be stored in a manner that permits easy determination of either the presence or absence of keys. Keys should be returned to the control center daily. All keys should be numbered, and the institution should maintain at least one duplicate key for each lock. Fire and emergency keys should be color-coded and marked for identification by touch. Inmates should not possess keys other than those to living quarters or work assignments, when appropriate, and to personal lockers.

**2-4197** Written policy and procedure govern the control and use of tools, culinary and medical equipment. (Essential)

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DISCUSSION: Tools and utensils such as hacksaws, welding equipment, butcher knives and barber shears can cause death or serious injury. They should be locked in control panels and issued in accordance with a prescribed system. Provision should be made for checking tools and utensils in and out, and for the control of their use at all times.

**2-4198** Written policy and procedure govern the use and security of institution vehicles. (Essential)

DISCUSSION: Motor vehicles on the grounds of a correctional institution represent potential means for escape. Written policies and procedures should state the conditions under which inmates may drive vehicles. Responsibility and keys for certain vehicles may be assigned to specific staff, but the pool of vehicles should be controlled by one person.

**2-4199** Written policy and procedure govern the use of personal vehicles for official purposes and include provisions for insurance coverage. (Essential)

DISCUSSION: The use of personal vehicles for official purposes should be governed by written policy that specifies the conditions for their use and the limits of institution liability.

**2-4200** There are written orders for every custodial post which are reviewed annually and updated if necessary. (Essential)

DISCUSSION: Written orders should specify the duties of each post and the procedures to be followed to carry out the assignment. This written description provides for continuity in the event of personnel changes. Copies of the post orders should be available for all employees.

**2-4201** Written policy and procedure provide for personnel to read the appropriate post order each time they assume a new post and that they sign and date the post order. (Essential)

DISCUSSION: This procedure ensures that all personnel assigned to a post, either permanently or temporarily, are familiar with the responsibilities and requirements of the post. Personnel should understand completely what is expected of them.

**2-4202** Written policy and procedure provide for line supervisory staff to patrol every area of the institution daily, including holidays and weekends, and submit a daily written report to an administrative official for review. (Essential)

DISCUSSION: Line supervisory staff should visit and inspect every area of the institution daily, including weekends and holidays. Matters requiring further attention, such as staff and inmate concerns, faulty, unsafe or dirty conditions, etc., should be reported in writing to the appropriate official for review and further action.

**2-4203** Written policy and procedure require the chief security officer to inspect at least weekly, and report in writing, all security devices needing repair or maintenance. (Essential)

**DISCUSSION:** There should be a scheduled maintenance procedure to ensure that all bars, locks, windows, doors, and other security devices are fully operational. Emergency keys should be checked at least quarterly to make sure that they are in working order. Results of all inspections should be submitted in writing to the chief executive officer and/or the officer in charge of security. (See related standard 2-4151)

**2-4204** Written policy and procedure require that the warden/superintendent or designee, the chief custodial officer, the chief medical officer or health staff designee, and/or other department heads inspect the institution's living and activity areas at least weekly. (Essential)

**DISCUSSION:** Many inmates may be inhibited by the formal interview system in which inmates are scheduled to meet with the warden/superintendent and other administrators and managers. Therefore, arrangement should be made for inmates to have informal access to key staff. This objective can be achieved through staff visits to the housing units, work areas, school, recreational areas and other areas in the institution where inmates can be contacted during the day or evening.

**2-4205** Written policy and procedure provide that no inmate or group of inmates is given control or authority over other inmates. (Essential)

**DISCUSSION:** The institution administration has legal authority over inmates which cannot be delegated to other inmates.

**2-4206** Written policy and procedure restrict the use of physical force to instances of justifiable self-defense, protection of others, protection of property, and prevention of escapes, as a last resort and in accordance with appropriate statutory authority. In no event is physical force justifiable as punishment. A written report is prepared following all uses of force and is submitted to the administrative staff for review. (Mandatory)

**DISCUSSION:** Correctional personnel should be prepared to justify their use of physical force. In no case should force be considered justifiable as punishment or discipline.

**2-4207** Written policy and procedure require that custodial staff members maintain a permanent log and prepare shift reports that record routine, emergency situations and unusual incidents. (Essential)

**DISCUSSION:** Adequate supervision of inmates requires development of a formal system for recording routine and emergency situations involving inmates. Each custodial officer in each housing unit on each shift should maintain detailed records of pertinent information regarding individual inmates and groups of inmates. These records should be compiled daily by the chief custodial officer and submitted for

review to the warden/superintendent.

**2-4208** Written policy and procedure provide that all persons injured in an incident receive an immediate medical examination and treatment. (Mandatory)

**DISCUSSION:** In all instances involving the use of a weapon or chemical agent, immediate medical examination and treatment should be required for the protection of all staff and inmates involved.

**2-4209** There are written procedures regarding escapes which are reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** Specific procedures that can be used quickly when an escape occurs should be made available to all personnel. Procedures should include the following: prompt reporting of the escape to the warden/superintendent; mobilization of employees; implementation of a predetermined search plan; notification of law enforcement agencies, community groups, and interested media; preparation of escape circulars for distribution and mailing; and, after capture of the escapee, prompt notification of all who were previously alerted to the escape.

**2-4210** There are written plans that specify procedures to be followed in situations which threaten institutional security, including, but not limited to, riots, hunger strikes, disturbances, and taking of hostages. These plans are made available to all applicable personnel, and reviewed and updated at least annually. (Mandatory)

**DISCUSSION:** The plans should designate the personnel who are to implement such procedures, when and which authorities and media should be notified, how the problem should be contained, and what should be done after the incident is quelled. The plans presuppose regular inspection and maintenance of specialized equipment necessary to implement the procedures. All personnel should become familiar with the plans. Hospital and medical personnel should be involved in the formulation of the written plans, since they are responsible for the safety of their patients. (See related standards 2-4090, 2-4091, and 2-4092.)

**2-4211** Where there is a special unit of employees to assist in the event of disturbances, those employees are selected and evaluated according to written criteria and receive special training in methods of negotiation and confrontation. (Important)

**DISCUSSION:** A small unit of selected employees should receive special training in methods of confrontation and negotiation. The purpose of this unit should be to restore order, with minimum damage, as quickly as possible. Therefore, unit members should be selected carefully and trained in the performance of these special duties. Their performance evaluation should be based upon the specific aspects of the special duty. The unit should be activated only by the warden/superintendent or designee. (See related standard 2-4094)

## SECURITY AND CONTROL

**2-4212** There is a written plan that provides for continuing operations in the event of a work stoppage or other job action. Copies of this plan are available to all supervisory personnel, and they are required to familiarize themselves with it. (Essential)

**DISCUSSION:** A contingency plan for maintaining essential services is crucial. This plan might involve agreements with other law enforcement agencies, such as the state police. Additionally, the warden/superintendent should attempt to ensure the safety and well-being of employees who do not participate in the job action.

**2-4213** Written policy and procedure provide for a communications system in urgent, special or unusual incidents, or emergency situations, within the institution and between the institution and community. (Essential)

**DISCUSSION:** In emergency situations, when conventional means of communication, such as telephones, are disrupted, the facility has available walkie-talkies, and/or a radio base station, receivers, and transmitters, or other independent mechanical means of communication, in order to maintain constant contact with the outside community. In institutions that are located in areas which are subject to severe storms, tornadoes or hurricanes, a ready means of voice communications should be maintained with the community. (See related standard 2-4170)

## SPECIAL MANAGEMENT INMATES

**Note:** *Segregation* is the generic term used to encompass *administrative segregation, protective custody, and disciplinary detention* (See Glossary Definition).

**2-4214** Written policy and procedure provide for the operation of segregation units for the supervision of inmates under administrative segregation, protective custody and disciplinary detention. (Essential)

**DISCUSSION:** The classification committee or warden/superintendent, in an emergency, may place in administrative segregation an inmate whose continued presence in the general population poses a serious threat to life, property, self, staff or other inmates, or to the security or orderly running of the institution. While in administrative segregation as a result of behavioral problems, inmates should be provided with programs conducive to their well-being; however, access to programs is not to be interpreted as an entitlement to all programs or privileges afforded the general population. An inmate pending investigation for trial on a criminal act, or pending transfer, can also be placed in administrative segregation. This segregation may be for relatively extensive periods of time.

Inmates requesting or requiring protection from the general population may be placed in protective custody and should be allowed to participate in as many as possible of the programs afforded the general population, providing this does not impose a threat to the security of the institution. Care should be taken to ensure that inmates do not see placement in protective custody as desirable. Each case should be reviewed frequently with the goal of terminating the separate housing assignment as soon as possible.

The disciplinary committee may place inmates with serious rule violations in disciplinary detention only after an impartial hearing, and when other available alternative dispositions are inadequate to regulate an inmate's behavior within acceptable limits, and when the inmate's presence in the general inmate population poses a serious threat to the orderly operation or security of the institution. Removal of an inmate from the general inmate population and for a short period of time is an accepted correctional procedure and is used in the control and management of behavior. (See related standards in Inmate Rules & Discipline)

**2-4215** The warden/superintendent or shift supervisor can order immediate segregation when it is necessary to protect the inmate or others. This action is reviewed within three working days by the appropriate committee. (Essential)

**DISCUSSION:** The appropriate committee will either be the disciplinary or classification committee, depending on the type of segregation used.

**2-4216** Written policy and procedure specify that inmates are placed in disciplinary detention for a rule violation only after a hearing by the disciplinary committee. (Essential)

SPECIAL MANAGEMENT INMATES

DISCUSSION: None. (See related standard 2-4354)

**2-4217** Written policy and procedure provide that inmates are placed in administrative segregation only after a hearing before the warden/superintendent or shift supervisor, classification committee, or other standing committee specifically designated for this purpose. (Essential)

DISCUSSION: Placement in administrative segregation should be preceded by the inmate receiving notice of the intended placement, appearance at the hearing, and an opportunity to present his or her case to the hearing officers.

**2-4218** Written policy and procedure provide for a review of the status of inmates in administrative segregation and protective custody by the classification committee or other authorized staff group every seven days for the first two months and at least every 30 days thereafter. (Essential)

DISCUSSION: The classification committee should review the status of every inmate who spends over seven continuous days in administrative segregation. The hearing should determine whether the reasons for initial placement in the unit still exist. If they do not, the inmate should be released from the unit. Provision should be made for the inmate to appear at the hearing, and the results of the review should be communicated to the inmate.

**2-4219** Written policy and procedure specify the review process that is used to release an inmate from administrative segregation. (Essential)

DISCUSSION: An inmate should be released from administrative segregation by action of the appropriate committee having jurisdiction of the inmate's placement in this status, or the reviewing officer and/or the watch commander with later review. Based on the review, an inmate should be released from this special housing unit and either returned to the general inmate population and assigned a program or transferred to another institution.

**2-4220** Written policy and procedure provide that admission to the segregation unit for purposes of protective custody is made only when there is documentation that protective custody is warranted and no reasonable alternatives are available. (Essential)

DISCUSSION: Protective custody should be used only for short periods of time, except when an inmate needs long-term protection, and the facts are well documented. When an inmate consents to protective custody it should be fully documented with a consent form signed by the inmate.

**2-4221** Written policy and procedure provide that all inmates in segregation are provided prescribed medication, clothing that is not degrading, and access to basic personal items for use in their cells, unless there is imminent danger that an inmate or any other inmate(s) will destroy an item or induce self-injury. (Essential)

SPECIAL MANAGEMENT INMATES

DISCUSSION: Inmates in segregation should be provided basic items needed for personal hygiene as well as items such as eyeglasses and writing materials. In accordance with the goal of providing all inmates decent and humane treatment, segregation inmates should be clothed like other inmates unless an adjustment is necessary for self-protection, such as removal of a belt to prevent a suicide attempt. Any clothing adjustment should be justified in writing by an appropriate official. If a supervisor judges that there is imminent danger an inmate will destroy an item or use it to induce self-injury, the inmate may be deprived of the item. In such cases, every effort should be made to supply a substitute for the item or to permit the inmate to use the item under the supervision of an officer. (See related standard 2-4322)

**2-4222** Written policy and procedure provide that whenever an inmate in segregation is deprived of any usually authorized item or activity, a report of the action is made for the master file and forwarded to the chief security officer. (Essential)

DISCUSSION: The report should identify the inmate, the item or activity he/she has been deprived of, and the reasons for the action. The report should be forwarded to the chief security officer as soon as possible. If circumstances warrant the removal of all inmate's personal items, approval for this action should be obtained in advance from the warden/superintendent or designee. No item or activity should be withheld longer than is necessary to ensure the inmate's safety and the well-being of the staff and other inmates. In no case should an inmate be deprived of an item or activity for the purpose of punishment.

**2-4223** Written policy and procedure require that inmates in segregation receive the same meals served to the general inmate population. (Mandatory)

DISCUSSION: Deprivation of food should never be used as punishment. (See related standard 2-4252.)

**2-4224** Written policy and procedure provide that inmates in segregation have the opportunity to shave and shower at least three times per week. (Essential)

DISCUSSION: Inmates in segregation should have the opportunity to maintain an acceptable level of personal hygiene, including the opportunity to shave and shower at least three times per week, unless these procedures present an undue security hazard. If conditions permit, these inmates should be able to shower daily.

**2-4225** Written policy and procedure provide for the issue and exchange of clothing, bedding and linen, and for laundry, barbering and hair care services, for inmates in segregation on the same basis as inmates in the general inmate population; exceptions are permitted only when found necessary by the senior officer on duty, and are recorded in the unit log and justified in writing. (Essential)

DISCUSSION: None.

**2-4226** Written policy and procedure provide that inmates in segregation are provided the same opportunities for the writing and receipt of letters available to the general inmate population. (Essential)

**DISCUSSION:** Letters should be delivered promptly. If any item consistent with the policy and procedure is rejected, the inmate should be advised of the reason for the rejection, and the item should be returned to the sender.

**2-4227** Written policy and procedure provide that inmates in segregation are provided opportunities for visitation, unless there are substantial reasons for withholding such privileges. (Essential)

**DISCUSSION:** Every effort should be made to notify approved visitors of any restrictions on visiting. This procedure will avoid disappointment and unnecessary inconvenience for visitors. If time allows, the burden of this notification may be placed on the inmate. (See related standard 2-4381)

**2-4228** Written policy and procedure provide that inmates in disciplinary detention are allowed limited telephone privileges, except for calls related specifically to access to the attorney of record, unless authorized by the warden/superintendent or designee. (Essential)

**DISCUSSION:** Inmates in disciplinary detention ordinarily may be provided telephone privileges. There should be only limited use of the telephone for emergency calls and calls to and from designated practicing attorneys in connection with prospective or pending litigation.

**2-4229** Written policy and procedure provide that inmates in administrative segregation and protective custody are allowed telephone privileges. (Essential)

**DISCUSSION:** None.

**2-4230** Written policy and procedure provide that inmates in segregation have access to legal materials. (Essential)

**DISCUSSION:** To ensure legal rights, inmates in segregation should have access to both personal legal materials and to available legal reference materials. Reasonable arrangements should be made to assist these inmates in meeting court deadlines. (See related standard 2-4326 and 2-4327)

**2-4231** Written policy and procedure provide that inmates in segregation have access to reading materials. (Essential)

**DISCUSSION:** In order to provide some activity, inmates in segregation should be provided a sufficient quantity of reading materials and an opportunity to borrow reading materials from the institution library.

**2-4232** Written policy and procedure provide that inmates in segregation receive a minimum of one hour per day, five days per week, of exercise outside their cells, unless security or safety considerations dictate otherwise. (Essential)

**DISCUSSION:** Opportunities to maintain physical fitness are critical for inmates in disciplinary detention and administrative segregation because of the obvious limitations on their movement. They should be provided the opportunity to exercise in an area designated for this purpose, with opportunities to exercise outdoors, weather permitting, unless security or safety considerations dictate otherwise. A written record should be kept of each inmate's participation, or lack of it, in the exercise program. Reasons for the imposition of constraints should be documented. (See related standards 2-4138 and 2-4222)

**2-4233** Written policy and procedure provide that inmates in administrative segregation and protective custody have access to programs and services that include, but are not limited to the following: educational services, commissary services, library services, social services, counseling services, religious guidance, and recreational programs. (Essential)

**DISCUSSION:** Inmates in the administrative segregation unit should be allowed to participate in institution programs to the same extent as the general inmate population, providing their participation is consistent with the safety and security of the institution and the community. They should also have the same opportunity to receive treatment from professionals, such as social workers, psychologists, counselors, and psychiatrists.

**2-4234** Written policy and procedure provide that staff members operating segregation units maintain a permanent log. (Essential)

**DISCUSSION:** Admissions of all inmates to segregation units should be recorded with information on name, number, housing location, date admitted, type of infraction or reason for admission, tentative release date, and special medical or psychiatric problems or needs. The log also should be used to record all visits by officials who inspect the units or counsel inmates, all unusual inmate behavior, and all releases.

**2-4235** Written policy and procedure provide that inmates in segregation receive visits from the senior correctional supervisor in charge daily; members of the program staff upon request; and a qualified health care official daily unless medical attention is needed more frequently. (Essential)

**DISCUSSION:** Inmates in segregation are restricted from normal movement within the institution. It is imperative, therefore, that they are visited by key staff members who can ensure that their health and well-being are maintained. Every effort should be used to safeguard against emergency situations going unnoticed. (See related standard 2-4031)

**2-4236** Written policy and procedure govern selection criteria, supervision and rotation of staff who work with inmates on a regular and daily contact basis in segregation units. (Essential)

## SPECIAL MANAGEMENT INMATES

**DISCUSSION:** Procedures should be established to supervise and evaluate the on-the-job performance of all staff members who work with inmates in segregation. Officers assigned to these units should have completed their probationary period. Administrative procedures should exist for promptly removing ineffective staff members from these positions. The need for rotation should be based on the intensity of the assignment.

**2-4237** Written policy and procedure provide that a personal interview is conducted and a written report is prepared by a qualified psychologist or psychiatrist when an inmate remains in segregation beyond 30 days. If confinement continues for an extended period, a psychological assessment is made at least every three months. (Essential)

**DISCUSSION:** Inmates whose movements are restricted in segregation units may develop symptoms of acute anxiety or other mental health problems. To ensure the mental health of each inmate, a psychological assessment, including a personal interview and written report, should be made of each inmate whose confinement in one of these units exceeds 30 days. (See related standards 2-4218 and 2-4354)

## FOOD SERVICES

**2-4238** There is documentation that the nationally recommended dietary allowance is reviewed by a registered dietician on at least an annual basis to ensure that the food allowances required for basic nutrition are met. Menu evaluations are conducted at least quarterly by institution food service supervisory staff to verify adherence to the established basic daily servings. (Mandatory)

**DISCUSSION:** The institution should be able to document that its food service meets or exceeds the dietary allowances as stated in the *Recommended Dietary Allowances*, National Academy of Sciences. An institution that follows this system of dietary allowances, as adjusted for age, sex and activity, ensures the provision of a nutritionally adequate diet. Documentation of menus that are actually served is maintained on a quarterly basis as verification of providing a nutritionally adequate diet. The signature of a certified dietician on the menus indicates official approval of nutritional adequacy.

**2-4239** When required by statute, food products that are grown or produced within the system are inspected and approved by the appropriate government agency; there is a distribution system that ensures prompt delivery of foodstuff to institution kitchens. (Essential)

**DISCUSSION:** Many correctional systems grow or produce a portion of their food. All such foodstuff should meet, or surpass, government inspection levels. The distribution system should ensure that the foodstuff is delivered when fresh and in a condition for optimum food service.

**2-4240** Written policy and procedure require that food service staff develop advanced, planned menus and substantially follow the schedule; and that in the planning and preparation of all meals, food flavor, texture, temperature, appearance and palatability are taken into consideration. (Essential)

**DISCUSSION:** All menus, including special diets, should be planned, dated, and available for review at least one week in advance. Notations should be made of any substitutions in the meals actually served, and these should be of equal nutritional value. A file of tested recipes adjusted to a yield appropriate for the size of the facility should be maintained on the premises. Food should be served as soon as possible after preparation and at an appropriate temperature. Clinical diets should be approved by a registered dietician and documented accordingly.

**2-4241** Written policy and procedure provide for special diets as prescribed by appropriate medical or dental personnel. (Mandatory)

**DISCUSSION:** Therapeutic diets should be available upon medical authorization. Specific diets should be prepared and served to inmates according to the orders of the treating physician or dentist, or as directed by the responsible health authority

official. Medical diet prescriptions should be specific and complete, furnished in writing to the food service manager, and rewritten monthly. Special diets should be kept as simple as possible and should conform as closely as possible to the foods served other inmates.

**2-4242** Written policy and procedure provide for special diets for inmates whose religious beliefs require the adherence to religious dietary laws. (Essential)

**DISCUSSION:** Religious diets should be approved by the chaplain. Religious diet prescriptions should be specific and complete, furnished in writing to the food service manager, and rewritten monthly. Special diets should be kept as simple as possible and should conform as closely as possible to the foods served other inmates. (See related standard 2-4468)

**2-4243** A full-time staff member, experienced in food service management, supervises food service operations. (Essential)

**DISCUSSION:** This staff member should have the resources, authority and responsibility to provide for the institution complete food service which includes three meals a day that are nutritionally adequate, palatable and attractive, and which are produced under sanitary conditions, at reasonable costs. The food service manager should have a minimum of three years experience in food service management.

**2-4244** Written policy and procedure provide for adequate health protection for all inmates and staff in the institution, and inmates and other persons working in the food service with the following requirements:

A preassignment medical examination of all persons involved in the preparation of food, and periodic examinations thereafter, is conducted to ensure freedom from diarrhea, skin infections and other illnesses transmissible by food or utensils; all are conducted in accordance with local requirements regarding restaurant and food service employees in the community.

When the institution's food services are provided by an outside agency or individual, the institution has written verification that the outside provider complies with the state and local regulations regarding food service.

All food handlers are instructed to wash their hands upon reporting to duty and after using toilet facilities.

(Mandatory)

**DISCUSSION:** At a minimum, all food service personnel should be in good health and free from communicable disease and open infected wounds; have clean hands and fingernails; wear hairnets or caps; wear clean, washable garments; and, employ hygienic food handling techniques.

**2-4245** Toilet and wash basin facilities are available to food service personnel and inmates in the vicinity of the food preparation area. (Essential)

**DISCUSSION:** Ready access to toilet and wash basin facilities should be available to all persons in the food service and food preparation area in order to ensure that health and safety standards are adhered to.

**2-4246** There is documentation by an independent, outside source that food service facilities and equipment meet established governmental health and safety codes; corrective action is taken on deficiencies, if any. (Mandatory)

**DISCUSSION:** Food service facilities and equipment should meet all standards and requirements set by qualified professional and/or governmental bodies. In the event local and/or state codes are not applicable, the requirements of the National Fire Protection Association *Life Safety Code* (current edition) and the *Handbook* of the American Society of Heating, Refrigeration and Air Conditioning Engineers apply. Food service personnel should be trained in accident prevention, first aid, use of safety devices, floor care, knife storage, and use of fire extinguishers. They should attend regular meetings to discuss accident prevention and analyze major accidents to prevent recurrence. (See related standard 2-4255)

**2-4247** There are sanitary, temperature-controlled storage facilities for the storage of all foods. (Essential)

**DISCUSSION:** Suitable storage facilities should be available so that shelf goods can be stored at temperatures of 45 to 80 degrees Fahrenheit, refrigerated foods maintained at 35-40 degrees Fahrenheit, and frozen foods kept at zero degrees Fahrenheit or below.

**2-4248** Written policy and procedure require weekly inspections of all food service areas including dining and food preparation areas, and equipment. Refrigerator and water temperatures are checked on a daily basis by administrative, medical or dietary personnel. (Mandatory)

**DISCUSSION:** Areas and equipment related to all food preparation such as ranges, ovens, refrigerators, mixers, dishwashers, garbage disposals, etc., require frequent inspections to ensure their sanitary and operating condition.

**2-4249** Written policy and procedure provide that meals are served under conditions that minimize regimentation, although there should be direct supervision by staff members. (Essential)

**DISCUSSION:** Cafeteria facilities are preferable to inmate waiter service. The dining area should provide normal group eating facilities, and conversation should be permitted during dining hours. When possible, there should be "open" dining hours, thus eliminating traditional waiting lines and forced seating by housing unit, shop assignment, etc. Full cutlery services should be provided based on a control system. All meals should be served under the direct supervision of staff to ensure that favoritism, careless serving, and waste are avoided. (See related standard 2-4143)

**2-4250** Space is provided for group dining except when security or safety considerations justify otherwise. (Essential)

## FOOD SERVICES

**DISCUSSION:** Although dining arrangements will vary depending on the size and design of the facility, meals should not be served in cells unless it is necessary for purposes of safety and security. When a meal must be served in a cell, a small table or shelf and some type of seating should be provided.

**2-4251** Written policy requires that at least three meals, of which two are hot meals, are provided at regular meal times during each 24-hour period, with no more than 14 hours between the evening meal and breakfast. (Essential)

**DISCUSSION:** When inmates are not routinely absent from the institution for work or other purposes, at least three meals should be provided at regular times during each 24-hour period. Provided basic nutritional goals are met, variations may be allowed based on weekend and holiday food service demands.

**2-4252** Written policy precludes the use of food as a disciplinary measure. (Essential)

**DISCUSSION:** All inmates and staff, except those on special medical or religious diets, should eat the same meals. Food should not be withheld, nor the standard menu varied, as a disciplinary sanction for an individual inmate. This standard does not preclude rewarding groups of inmates with special foods in return for special services or under special circumstances. Food not prepared on a regular basis may also be used based on seasonal food patterns. (See related standard 2-4233)

**2-4253** Written policy and procedure require that accurate records are maintained of all meals served. (Essential)

**DISCUSSION:** A uniform system should be established to record the number, cost, and type of meals served inmates, employees, guests, and visitors. Such records are required for fiscal accounting, dietary purposes, and budget planning. Employees, guests, and visitors should be served the same food inmates are served. Food service records should include published menus, information on waste, food costs and nutritional accounting, and notation of food products raised or produced in the system.

**2-4254** The food service operation uses budgeting, purchasing, and accounting practices that include, but are not limited to the following systems:

- Food expenditure cost accounting designed to determine cost per meal per inmate
- Estimation of food service requirements
- Purchase of supplies at wholesale prices and under other favorable conditions, when possible
- Determination of and responsiveness to inmate eating preferences
- Refrigeration and storage of food, with specific storage periods. (Essential)

**DISCUSSION:** The food service operation should follow written budgeting, purchasing, and accounting procedures to ensure nutritional and economical meals and minimum waste.

## SANITATION AND HYGIENE

**2-4255** Written policy and procedure require weekly sanitation inspections of all institution areas by a designated administrative staff member; at least annual inspections by federal, state, and/or local sanitation, and health officials, or other qualified person(s); and, compliance with all applicable laws and regulations of the governing jurisdiction. There is documentation by an independent, outside source that deficiencies, if any, have been corrected. (Mandatory)

**DISCUSSION:** The institution should be inspected at least annually by appropriate government officials to ensure the health of personnel and inmates. In addition to the regular inspections by governmental officials, all institution areas should be inspected at least weekly by a designated staff member, who should submit a written report to the warden/superintendent, documenting deficiencies whenever they occur. (See related standard 2-4163 and 2-4246)

**2-4256** The institution's potable water source and supply, whether owned and operated by the public water department or the institution, is certified by an independent, outside source to be in compliance with jurisdictional laws and regulations. (Mandatory)

**DISCUSSION:** Safe drinking water is basic to human health and should be provided in any institutional operation. In the event jurisdictional laws and regulations are not applicable, the Federal Safe Drinking Water Act Regulations present a standard of quality that is attainable by good water control practices.

**2-4257** A written housekeeping plan for all areas of the facility's physical plant provides for daily housekeeping and regular maintenance by assigning specific duties and responsibilities to staff and inmates. (Essential)

**DISCUSSION:** Effective housekeeping requires the development of a definite cleaning schedule with personnel and inmates assigned specific duties. Cleaning activities should be supervised at all times to ensure that the work performed is proper and thorough. Particular attention should be paid to the facility's floors to ensure that they are kept clean, dry and free of hazardous substance.

**2-4258** The institution provides for the control of vermin and pests. (Mandatory)

**DISCUSSION:** Licensed pest control professionals should be readily available to the institution to conduct regular monthly inspections to identify such conditions, and to eradicate by whatever means is effective any such conditions, and whatever insects, rodents or vermin found.

**2-4259** The institution provides for waste disposal. (Mandatory)

**DISCUSSION:** Liquid and solid wastes should be collected, stored and disposed of in a

manner that will avoid nuisance and hazards, and protect the health and safety of inmates and staff.

**2-4260** Written policy and procedure provide for the issue of suitable clothing to all inmates, which is properly fitted, climatically suitable, durable, and presentable. (Essential)

DISCUSSION: A standard wardrobe should be provided at the time of admission and should include, as appropriate, shirts, blouses, dresses, trousers, skirts, belts, undergarments, slippers, socks, shoes, coats, jackets and headwear. In addition to the standard issue of inmate clothing, civilian attire should be available in limited quantities for leisure, visiting, work release and furloughs.

**2-4261** Written policy and procedure require that articles necessary for maintaining proper personal hygiene are provided to all inmates. (Essential)

DISCUSSION: As part of the admissions process, each inmate should be given soap, a toothbrush, toothpaste or powder, a comb, and toilet paper. Shaving equipment should be made available upon request, and the special hygiene needs of females should be met.

**2-4262** Written policy and procedure provide for the issue of special and, when appropriate, protective clothing and equipment to inmates assigned to food service, hospital, farm, garage, institution physical plant maintenance shops, and other special work. (Essential)

DISCUSSION: Inmates assigned to special work areas should be clothed in accordance with the requirements of their work assignment and, when appropriate, be furnished suitable protective equipment (face mask in hospital, protective helmet, goggles in working around machinery, etc.)

**2-4263** Written policy and procedure provide for the issue of suitable, clean bedding, and linen, to include two sheets, pillow and pillowcase, one mattress and sufficient blankets to provide comfort under existing temperature controls. A clean towel is provided daily. There is provision for linen exchange on at least a weekly basis. (Essential)

DISCUSSION: Collection, storage and exchange methods for bedding and linens should be done hygienically; that is, blankets, pillows and mattresses should be cleaned and sprayed or sterilized before reissue; linen and towels must be laundered prior to reissue.

**2-4264** Written policy specifies accountability for inmate clothing and bedding. (Essential)

DISCUSSION: The issue of all clothing and bedding should be recorded, and inmates should be held accountable for its use.

**2-4265** The store of clothing, linen, and bedding exceeds that required for the facility's inmate population. (Essential)

DISCUSSION: More clothing, linen, and bedding should be available than needed at any one time, so there is no delay in replacing items that are lost, destroyed or worn out.

**2-4266** The institution provides for the thorough cleaning and, when necessary, disinfecting of inmate personal clothing before storage or before allowing the inmate to keep and wear personal clothing. (Essential)

DISCUSSION: Inmate personal clothing should be cleaned and disinfected to prevent odors and vermin from accumulating, and stored outside of the inmate housing area. Cleaning may also be necessary when the inmate is permitted to keep and wear personal clothing which is not in a clean and sanitary condition.

**2-4267** Clothing exchange is provided to all inmates a minimum of three times per week. (Essential)

DISCUSSION: None.

**2-4268** There are sufficient bathing facilities in the housing areas to permit inmates in the general population to shower at least three times per week. (Essential)

DISCUSSION: Ideally, each inmate should be permitted to shower daily; however, no inmate should be permitted to shower less than three times per week. Inmates in special jobs, such as food service, medical, sanitation or mechanical service, should be encouraged to bathe daily. Hot and cold water shower facilities should be available in the proportion of at least one shower unit to 15 inmates.

**2-4269** Water for showers is thermostatically controlled to ensure the safety of the inmates. (Essential)

DISCUSSION: Inmates can use scalding showers as a weapon against or punishment for other inmates. An inmate could be forced under a hot shower or scalded when other inmates turn on all the cold water; therefore, temperature controls are necessary for the safety of inmates. These temperature controls should not preclude the use of water at a higher temperature, if needed, in other areas of the institution, such as the kitchen.

**2-4270** There are hair care services available to inmates which comply with applicable health requirements. (Essential)

DISCUSSION: Facilities should be provided so that inmates can obtain hair care services when needed. In large facilities, hair should be cut in a room designated for that purpose, however, in small facilities, any multipurpose room may be used. In all cases, hair should be cut under sanitary conditions and in an area located to permit observation by staff. Equipment should be stored securely when not in use.

## MEDICAL AND HEALTH CARE SERVICES

**2-4271** The institution has a designated health authority with responsibility for health care services pursuant to a written agreement, contract, or job description. The health authority may be a physician, health administrator, or health agency. When this authority is other than a physician, final medical judgments rest with a single designated physician. (Essential)

**DISCUSSION:** The responsibility of the health authority includes arranging for all levels of health care and assuring quality of and inmate access to all health services. While overall responsibility may be assumed at the central office level, it is essential that each institution have a responsible health authority, which may be the responsible physician at the institution. Health care services should provide for the physical and mental well-being of the population and should include medical and dental services, mental health services, nursing, personal hygiene, dietary services, health education and attending to environmental conditions. (See related standard 2-4329)

**2-4272** Medical, including psychiatric, and dental matters involving medical judgment are the sole province of the responsible physician and dentist respectively; however, security regulations applicable to facility personnel also apply to health personnel. (Mandatory)

**DISCUSSION:** The provision of health care is a joint effort of administrators and health care providers and can be achieved only through mutual trust and cooperation. The health authority arranges for the availability of health care services; the official responsible for the facility provides the administrative support for accessibility of health services to inmates.

**2-4273** The health authority meets with the warden/superintendent at least quarterly and submits to him/her annual statistical summaries and quarterly reports on the health care delivery system and health environment. (Essential)

**DISCUSSION:** Administrative meetings held at least quarterly can help identify problems and their solutions. Health care staff should be encouraged to attend other facility staff meetings to promote a good working relationship among all staff. Minutes of the quarterly administrative meetings may be used to meet the requirement for a quarterly report. The report should include such topics as the effectiveness of the health care system, description of any health environment factors which need improvement, changes effected since the last reporting period, and, if needed, recommended corrective action. The health authority should report immediately on any condition which imposes a danger to staff or inmate health and safety. The annual statistical report indicates the number of inmates receiving health services by category of care, as well as other pertinent information (e.g., operative procedures, referrals to specialists, ambulance services, etc.).

**2-4274** Each policy, procedure, and program in the health care delivery system is reviewed at least annually by the appropriate health care authority and revised if necessary. Each document bears the date of the most recent review or revision and signature of the reviewer. (Essential)

**DISCUSSION:** Regular review of policies, procedures, and programs will facilitate formal incorporation of various changes made during the year into the agency manual and prevent the disorganized accumulation of a series of policy memorandums. The process of annual review will also assist decision making regarding previously discussed but unresolved matters.

**2-4275** An adequately equipped medical facility, which meets the legal requirements for a licensed general hospital with respect to the services it offers, is available to all inmates. (Mandatory)

**DISCUSSION:** If an institution does not have the resources to meet these standards in-house, it should provide infirmary care inside the institution and hospital care through contractual arrangements outside the institution.

**2-4276** Written policy and procedures provide for infirmary care, to include the following:

**Definition of the scope of infirmary care services available**

**A physician on call 24 hours per day**

**Nursing service under the direction of a physician's assistant or a registered nurse on a full-time basis**

**Health care personnel on duty 24 hours per day**

**All inmates/patients within sight or sound of a staff person**

**A manual of nursing care procedures**

**A separate and complete medical record for each inmate**

**Compliance with applicable state statutes and local licensing requirements.**

(Essential)

**DISCUSSION:** An infirmary is defined as an area established within the correctional facility which maintains and operates organized bed care and services for inmates formally admitted for a period of 24 hours or more, and which is operated for the express or implied purpose of providing skilled nursing care for persons not in need of hospitalization. The establishment of quality care in this type of facility begins with the assignment of responsibility to one physician employed either part- or full-time, depending on the size of the facility.

**2-4277** Space, equipment, supplies, and materials for health services are provided and maintained as determined by the health authority. (Essential)

**DISCUSSION:** The type of space and equipment for the examination/treatment room will depend upon the level of health care provided in the facility and the capabilities and desires of health providers. Equipment should be checked and tested periodical-

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ly and secured from inmate access. In all facilities, space should be provided where the inmate can be examined and treated in private.

**2-4278** First aid kits are available in designated areas of the facility based on need. (Essential)

**DISCUSSION:** First aid kit(s) should be available in designated areas of the facility, and the health authority should approve the contents, number, location, and procedures for monthly inspection of the kit(s). The contents of the first aid kit(s) would include, for example, these items: roller gauze, sponges, triangle bandage, adhesive tape, adhesive bandages, etc. It would not include emergency drugs.

**2-4279** Written policy and procedures provide for 24-hour emergency medical and dental care availability as outlined in a written plan which includes arrangements for the following:

- Onsite emergency first aid
- Emergency evacuation of the inmate from the facility
- Use of an emergency medical vehicle
- Use of one or more designated hospital emergency rooms or other appropriate health facilities
- Emergency on-call physician and dentist services when the emergency health facility is not located in a nearby community
- Security procedures providing for the immediate transfer of inmates when appropriate.

(Mandatory)

**DISCUSSION:** Arrangements should be made with a nearby hospital for all medical services which cannot be appropriately provided within the facility, or where contractual arrangements can result in better or broader range of services. In the event the usual medical services are not available, particularly in emergency situations, the facility should have developed a back-up to serve the program. The plan might include an alternate hospital emergency service or a physician "on call" service. (See related standard 2-4285)

**2-4280** In institutions without full-time, qualified health-trained personnel, a health-trained staff member coordinates the health delivery services in the institution under the joint supervision of the responsible health authority and warden/superintendent. (Essential)

**DISCUSSION:** Health-trained personnel other than a nurse, physician's assistant or emergency medical technician may, on a full- or part-time basis, review receiving screening forms for follow-up attention, facilitate sick call by having inmates and records available for the health care provider, and help to carry out orders regarding such matters as diets, housing, and work assignments.

**2-4281** The institution health authority systematically determines health care personnel requirements in all categories in order to provide inmate access to health care staff and services. (Essential)

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**DISCUSSION:** Determination of staff requirements should not depend solely on inmate population. Work load ratios should reflect factors such as legal requirements, goals to be accomplished, character and needs of inmates supervised, and other duties required of staff. Staff work loads should be sufficiently low to provide inmate access to staff and services.

**2-4282** Arrangements are made with health care specialists in advance of need. (Essential)

**DISCUSSION:** An inmate's illness may require the services of a specialist at any time. Therefore, arrangements with consultants in the major health care specialties should be made in advance of need, by a written agreement.

**2-4283** Written policy and procedure specify the provision of mental health services for inmates in need of such services to include, but not limited to, services provided by qualified mental health professionals who meet educational and licensure/certification criteria specified by their respective professional discipline, i.e., psychiatric nursing, psychiatry, psychology, and social work. (Essential)

**DISCUSSION:** Inmates with severe mental health problems are a continuing and increasing source of concern in correctional institutions. It is essential that an adequate number of qualified staff members are available both to directly deal with these prisoners as well as to advise other correctional workers in their contacts with such individuals. The professional qualifications of mental health personnel should be in accordance with the requirements of appropriate state statute and the respective national professional association. (See related standard 2-4409)

**2-4284** Appropriate state and federal licensure, certification or registration requirements and restrictions apply to personnel who provide health care services to inmates. The duties and responsibilities of such personnel are governed by written job descriptions approved by the health authority. Verification of current credentials and job descriptions are on file in the facility. (Mandatory)

**DISCUSSION:** The provision of quality health care should be ensured by using only qualified health care personnel to determine and supervise health care procedures. Written job descriptions should include qualifications required and the specific role in the health care delivery system in keeping with the individual's professional discipline. Verification of qualifications may consist of copies of current credentials or a letter from the state licensing or certifying body regarding current credential status. Nursing services are performed in accordance with professionally recognized standards of nursing practice and the jurisdiction's Nurse Practice Act.

**2-4285** Written policy and procedure provide that correctional and other personnel are trained to respond to health-related situations within a four minute response time. A training program is established by the responsible health authority in cooperation with the facility administrator, which includes the following:

**Recognition of signs and symptoms, and knowledge of action required in potential emergency situations**

**Administration of first aid and cardiopulmonary resuscitation (CPR)**

**Methods of obtaining assistance**

**Signs and symptoms of mental illness, retardation, and chemical dependency**

**Procedures for patient transfers to appropriate medical facilities or health care providers.**

**(Mandatory)**

**DISCUSSION:** With even the most adequate staff of qualified health care personnel, emergencies can occur in distant parts of the institution; too much time can be lost in getting staff promptly on the scene to handle emergency matters. All correctional officers should have standard first aid training. Minimally, one health trained correctional officer per shift should be trained in cardiopulmonary resuscitation (CPR) and recognition of symptoms of illness most common to inmates. (See related standards 2-4088, 2-4091, and 2-4092)

**2-4286** Treatment by health care personnel other than a physician, dentist, psychologist, optometrist, podiatrist or other independent providers is performed pursuant to written standing or direct orders by personnel authorized by law to give such orders. Nurse practitioners and physician's assistants may practice within the limits of applicable laws and regulations. **(Mandatory)**

**DISCUSSION:** Professional practice acts differ in various states as to issuing direct orders for treatment and, therefore, laws in each state need to be studied for implementation of this standard. Standing medical orders are written for the definitive treatment of identified conditions and for on-site treatment of emergency conditions for any person having the condition to which the order pertains. Direct orders are written specifically for the treatment of one person's particular condition.

**2-4287** When the institution uses students or interns in health care delivery, written policy and procedure provide for work experience under direct staff supervision, commensurate with their level of training. **(Essential)**

**DISCUSSION:** The use of interns and/or students can be a very economical and efficient way to provide care to inmate patients. They are not qualified or experienced enough, however, to practice in the institution without direct supervision by a physician, nurse, or other appropriate health care personnel.

**2-4288** Written policy provides that inmates are not used for the following duties:

**Performing direct patient care services**

**Scheduling health care appointments**

**Determining access of other inmates to health care services**

**Handling or having access to:**

**Surgical instruments**

**Syringes**

**Needles**

**Medications**

**Health records**

**Operating equipment for which they are not trained.**

**(Essential)**

**DISCUSSION:** Understaffed correctional institutions may be tempted to use inmates in health care delivery to perform services for which civilian personnel are not available. Inmate participation in medical service delivery frequently violates state laws, invites litigation and brings discredit to the correctional health care field. Furthermore, these inmates can acquire power and be subjected to severe pressure from fellow inmates. These restrictions, however, should not preclude inmates from participating in a certified vocational training program.

**2-4289** Written policy and procedure require medical screening to be performed by health-trained or qualified health care personnel on all inmates, excluding intrasystem transfers, upon inmates' arrival at the facility with all findings recorded on a printed screening form approved by the health authority. The screening includes at least the following:

**Inquiry into:**

**Current illness and health problems, including dental problems, venereal diseases and other infectious diseases**

**Dental problems**

**Use of alcohol and other drugs which includes types of drugs used, mode of use, amounts used, frequency used, date or time of last use, and a history of problems which may have occurred after ceasing use (e.g., convulsions)**

**Past and present treatment or hospitalization for mental disturbance or suicide**

**Other health problems designated by the responsible physician**

**Observation of:**

**Behavior, which includes state of consciousness, mental status, appearance, conduct, tremor and sweating**

**Body deformities, ease of movement, etc.**

**Condition of skin, including trauma markings, bruises, lesions, jaundice, rashes and infestations, and needle marks or other indications of drug abuse**

**Disposition of inmate:**

**General population**

**General population and prompt referral to appropriate health care service**

**Referral to appropriate health care service on an emergency basis.**

**(Mandatory)**

**DISCUSSION:** Medical screening is a system of structured inquiry and observation

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designed to prevent newly arrived inmates, who pose a health or safety threat to themselves or others, from being admitted to the facility's general population, and to rapidly transport newly admitted inmates to medical care. Receiving screening can be performed by health care personnel or by a health-trained correctional officer at the time of admission. Facilities which have reception and diagnostic units and/or a holding room must conduct receiving screening on all inmates upon arrival at the facility as part of the admission procedures. (See related standard 2-4389)

**2-4290** Written policy and procedure require medical screening by health-trained or qualified health care personnel immediately upon arrival at the institution for all intra-system transfers with all findings recorded on a printed screening form approved by the health authority. The screening includes, at a minimum, the following:

**Inquiry into:**

- Whether the inmate is being treated for a medical or dental problem
- Whether the inmate is presently on medication
- Whether the inmate has a current medical or dental complaint

**Observation of:**

- General appearance and behavior
- Physical deformities, evidence of abuse and/or trauma

**Disposition of inmate:**

- General population
- General population and prompt referral to appropriate health care service
- Referral to appropriate health care service on an emergency basis.

**(Essential)**

**DISCUSSION:** Screening of intrasystem transfers is necessary for the detection of inmates who pose a health and/or safety threat to themselves or others, and who may need immediate medical attention. The screening will serve to verify the information contained in the inmate's record and to obtain additional information.

**2-4291** Written policy and procedure require that health appraisal for each inmate, excluding intrasystem transfers, is completed within 14 days after arrival at the facility. In the case of an inmate who has documented evidence of a health appraisal within the previous 90 days, a new health appraisal is not required except as determined by the designated health authority. Health appraisal includes the following:

- Review of the earlier receiving screening
- Collection of additional data to complete the medical, dental, mental health and immunization histories
- Laboratory and/or diagnostic tests to detect communicable disease, including venereal disease and tuberculosis
- Recording of height, weight, pulse, blood pressure and temperature
- Other tests and examinations as appropriate
- Medical examination, including review of mental and dental status

- Review of the results of the medical examination, tests, and identification of problems by a physician or other qualified health care personnel, if such is authorized in the medical practice act
- Initiation of therapy when appropriate
- Development and implementation of treatment plan including recommendations concerning housing, job assignment, and program participation.

**(Essential)**

**DISCUSSION:** A health appraisal should be completed for each inmate as soon after arrival to the institution as possible in order to detect any health problems which may need immediate attention and to determine if the individual needs any further health care services. Test results, particularly for communicable diseases, should be received and evaluated before an inmate is assigned to housing in the general population. Information regarding the inmate's physical and mental status also may dictate housing and activity assignments. When appropriate, additional investigation should be conducted into alcohol and drug abuse, and other related problems. A routine appraisal by mental health staff should be done within 30 days of admission on all new inmates.

**2-4292** Written policy and procedure for the collection and recording of health appraisal data call for these requirements:

- The process is completed in a uniform manner as determined by the health authority
- Health history and vital signs are collected by health-trained or qualified health personnel
- Collection of all other health appraisal data is performed only by qualified health personnel.

**(Essential)**

**DISCUSSION:** The initial screening must be followed with a more detailed health examination by the appropriate health appraisal personnel to adequately identify the health care needs of the inmates. It is also important that the examination be performed in a uniform manner to ensure that it is thorough and consistent for each inmate.

**2-4293** Written policy and procedure, approved by the health authority, provide for comprehensive individual mental health evaluation on specially referred inmates by a multi-disciplinary mental health team. The evaluation is completed within 14 days after the date of referral, and includes at least the following:

- Review of mental health screening and appraisal data
- Collection and review of additional data from staff observation, individual diagnostic interviews and tests assessing intellect and coping abilities
- Compilation of individual's mental health history
- Development of an overall treatment/management plan with appropriate referral.

**(Essential)**

**DISCUSSION:** Comprehensive individual mental health evaluations should be performed only when there is a reasonable expectation that such evaluation will serve a therapeutic or dispositional function useful to the overall interests of the inmate. Written reports describing the results of the assessment procedures are prepared, and all information is appropriately filed. (See related standard 2-4291)

**2-4294** Written policy and procedure, approved by the appropriate mental health authority, provide for all activities carried out by mental health services personnel. (Essential)

**DISCUSSION:** The goal of mental health services is to provide for the detection, diagnosis, treatment, and referral of inmate clients with mental health problems and the provisions of a supportive environment during all stages of each inmate's period of incarceration.

**2-4295** Written policy and procedure require that routine and emergency dental care is provided to each inmate under the direction and supervision of a dentist with appropriate state or federal licensure. The individualized treatment plan includes the following:

- Dental screening, unless completed within the previous six months, conducted on initial intake with instruction on hygiene
- Dental examinations within three months, supported by x-rays if necessary, based on information from intake screening
- A defined charting system which identifies the oral health condition and specifies the priorities of treatment by category
- Consultation with referral to recognized specialists in dentistry.

(Essential)

**DISCUSSION:** The dental examination should include taking or reviewing the patient's dental history, and examination of hard and soft tissue of the oral cavity by means of an illuminator light, mouth mirror and explorer. X-rays for diagnostic purposes should be available if deemed necessary. The results are recorded on an appropriate uniform dental record utilizing a number system such as the Federation Dentaire Internationale System. The dental program should also provide inmates with instruction in the proper brushing of teeth and other dental hygiene measures.

**2-4296** Inmates who are severely disturbed and/or mentally retarded are referred for placement in either appropriate noncorrectional facilities or in specially designated units for handling this type of individual. (Essential)

**DISCUSSION:** It is inappropriate to place severely disturbed and mentally retarded individuals in a prison setting. They are vulnerable to abuse by other inmates and require an inordinate amount of personal attention. An individual is considered severely disturbed when he/she is a danger to him/herself, others, or is incapable of attending to basic physiological needs. (See related standard 2-4310)

**2-4297** Transfers which result in inmates being placed in other noncorrectional institutions or in special units within the facility, which are specifically designated for the care and treatment of the severely mentally ill or retarded, follow due process procedures as specified in law prior to the move being effected. In emergency situations, a hearing is held as soon as possible after transfer. (Essential)

**DISCUSSION:** The Supreme Court has held that due process procedures are required in such transfers due to the stigma of being placed in a mental hospital and the subjection to involuntary mental treatment. The following are generally accepted as due process procedures: written notice to the prisoner of the proposed transfer; a hearing for the prisoner, with the right (unless limited for good cause) to call and cross-examine witnesses; a decision by an independent official (not necessarily a judge) from outside the prison complex, with a written statement of the reasons therefor; an independent advisor, not necessarily an attorney, to assist the prisoner facing transfer.

**2-4298** Written policy requires that except in emergency situations there shall be joint consultation between the warden/superintendent and the responsible physician or their designees prior to taking action regarding the identified mentally ill or retarded patients in the following areas:

- Housing assignments
- Program assignments
- Disciplinary measures
- Transfers to other institutions.

When an emergency action has been required, this consultation occurs as soon as possible, but no later than on the next work day so as to review the appropriateness of the action. (Essential)

**DISCUSSION:** Maximum cooperation between custody personnel and health care providers is essential so that both groups are made aware of movements and decisions regarding mentally disturbed patients. Mental health problems may complicate work assignments or disciplinary management. Medications may have to be adjusted for safety at the work assignment or prior to transfer. (See related standard 2-4310)

**2-4299** Written policy and procedure require continuity of care from admission to discharge from the facility, including referral to community care when indicated. (Important)

**DISCUSSION:** As in the community, health providers should obtain information regarding previous care when undertaking the care of a new patient. Likewise, when the care of the patient is transferred to providers in the community, appropriate health information is shared with the new providers in accord with consent requirements. (See related standard 2-4329)

**2-4300** Written policy and procedure provide for unimpeded access to health care and for a system for processing complaints regarding health care. These policies are communicated orally and in writing to the inmates upon arrival in the facility and are put in a language clearly understood by each inmate. (Mandatory)

**DISCUSSION:** No member of the correctional staff should approve or disapprove requests for attendance at sick call. The facility should follow the policy of explaining access procedures orally to inmates unable to read. When the facility frequently has non-English speaking inmates, procedures should be explained and written in their language. (See related standard 2-4329)

**2-4301** Written policy and procedure require that sick call, conducted by a physician and/or other qualified health personnel, is available to each inmate, at a minimum, as follows:

In facilities of less than 100 inmates, sick call is held one day per week at a minimum

In facilities of 100 to 300 inmates, sick call is held three days per week at a minimum

In facilities of over 300 inmates, sick call is held four days per week at a minimum

If an inmate's custody status precludes attendance at sick call, arrangements are made to provide sick call services in the place of the inmate's detention.

(Essential)

**DISCUSSION:** Sick call is the system through which each inmate reports and receives individualized and appropriate medical services for nonemergency illness or injury. (See related standards 2-4235 and 2-4329)

**2-4302** Written policy and procedure specify the conditions for periodic health examinations for inmates. (Essential)

**DISCUSSION:** Persons 50 years of age and over should be given annual physical examinations. All other inmates should receive thorough physical examinations at least biennially. All inmates should be examined prior to release to protect both the inmate and society. (See related standard 2-4329)

**2-4303** Written policy and procedure provide that a program of health education is provided to inmates of the facility. (Important)

**DISCUSSION:** Health education provides information on medical services, such as immunizations, hypertension detection, and instruction in self-care for chronic conditions. Subjects for health education may include such as these: personal hygiene and nutrition; venereal disease, tuberculosis and other communicable diseases; effects of smoking; self-examination for breast cancer; dental hygiene; drug abuse and danger of self-medication; family planning, including, as appropriate, both services and referrals; physical fitness; and, chronic diseases and/or disabilities.

**2-4304** Written policy and procedure provide for a special health program for inmates requiring close medical supervision. A written, individual treatment plan, which includes directions to health care and other personnel regarding their roles in the care and supervision of these patients, is developed for each such inmate by the appropriate physician, dentist, or qualified mental health practitioner. (Essential)

**DISCUSSION:** Some special medical conditions, such as seizure disorders, potential suicide, chemical dependency, and psychosis, dictate close medical supervision. Special, individualized medical programs must be developed for each inmate suffering from such a condition.

**2-4305** Written policy and procedure make available chronic and convalescent care to inmates of the facility. (Essential)

**DISCUSSION:** Chronic care is medical service rendered to a patient over a long period of time. Convalescent care is medical service rendered to a patient to assist in the recovery from illness or injury.

**2-4306** Written policy and procedure require that gradual detoxification from alcohol, opiates, hypnotics, other stimulants, and sedative hypnotic drugs is effected as follows:

When performed at the facility, it is under medical supervision; and

When not performed in the facility, arrangements are made for it to be conducted in a hospital or community detoxification center.

(Essential)

**DISCUSSION:** Detoxification refers to the process by which an individual is gradually withdrawn from a drug or alcohol by administering decreasing doses either of the same substance upon which the person is physiologically dependent, or one that is cross-tolerant to it or a drug which has been demonstrated to be effective on the basis of medical research. The detoxification of patients who may pose special risks (e.g., psychotics, seizure-prone inmates, pregnant inmates, juveniles, geriatrics) requires special attention.

**2-4307** Written policy and procedure guide the clinical management of chemically dependent inmates with the following requirements:

Diagnosis of chemical dependency by a physician

Determination by a physician as to whether an individual requires nonpharmacologically or pharmacologically supported care

Individualized treatment plans which are developed and implemented by a multidisciplinary team

Referrals to specified community resources upon release when appropriate.

(Essential)

**DISCUSSION:** The treatment necessary for chemically dependent inmates should be

determined on an individual basis. Existing community resources should be utilized by the treatment plan whenever possible.

**2-4308** Written policy and procedure require that medical and dental prostheses and orthodontic devices are provided when the health of the inmate/patient would otherwise be adversely affected, as determined by the responsible physician or dentist. (Essential)

DISCUSSION: Prostheses are artificial devices to replace missing body parts or compensate for defective bodily functions.

**2-4309** Written policy and procedure govern the use of elective surgery. (Important)

DISCUSSION: If needed to correct a substantial functional deficit or if an existing pathological process threatens the well-being of an inmate over a period of time, health care staff should have a procedure for deciding on elective surgery. Cosmetic surgery should not be done unless there are important considerations or possible serious psychological impact.

**2-4310** Written policy and procedure require that patients who need health care beyond the resources available in the facility, as determined by the responsible physician, are transferred under appropriate security provisions to a facility where such care is available. (Essential)

DISCUSSION: The treatment of an inmate's health care problem should be suited to his needs and not be limited by the resources and services available within the institution. When an inmate needs to be transported to another facility or clinic, health care staff should cooperate with security personnel in determining conditions of transportation and necessary security precautions in accordance with the custody classification of the inmate. (See related standards 2-4296 and 2-4298)

**2-4311** Written policy and procedure provide that prior to transfer to another facility, or other substantial travel, either the inmates or their records be evaluated by health care personnel to assess suitability for travel. When travel is approved, pertinent data, including medication, other treatment or special requirements for observation and management during travel, are documented in a manner readily accessible and easily understood by transportation staff, or others who may be called upon to attend inmates during travel and upon reception at the receiving institution. Medications or other special treatment required enroute along with specific written instructions for administration, are furnished to transportation staff. (Essential)

DISCUSSION: Full medical coverage should be provided for all inmate transfers. Although the emphasis must be on security during the transportation of an inmate, the medical aspects should not be overlooked. (See related standard 2-4184)

**2-4312** Written policy and procedure govern the use of restraints for medical and psychiatric purposes. (Essential)

DISCUSSION: This standard applies to those situations where the restraints are part of a health care treatment regimen. The same kinds of restraints that would be appropriate for the general public within the jurisdiction should be used for the physically restrained, incarcerated individual. Written policy should identify authorization needed, and when, where, for how long, and how restraints may be used. (See related standard 2-4185)

**2-4313** Written policy and procedure provide that all informed consent standards in the jurisdiction are observed and documented for inmate care. In the case of minors, the informed consent of parent, guardian or legal custodian applies when required by law. When health care is rendered against the patient's will, it is in accord with state and federal laws and regulations. (Essential)

DISCUSSION: While a patient's submission to medical examination and very minor noninvasive procedures may be interpreted as implied consent, extreme caution should be utilized in applying this principle. Medical treatment of an inmate without his or her consent (or without the consent of a parent, guardian, or legal custodian when the inmate is a minor) could also result in legal action. The law regarding consent by juveniles to medical treatment, and their right to refuse treatment, varies greatly from state to state. Some states allow juveniles to consent to treatment as long as they are mature enough to comprehend the consequences of their decision, without parental consent; others require parental consent until majority, but the age of majority varies among the states. The law of the jurisdiction within which the facility is located should be reviewed by legal counsel, and based upon counsel's written opinion, a facility policy regarding informed consent should be developed.

**2-4314** Written policy prohibits the use of inmates for medical, pharmaceutical, or cosmetic experiments. This policy does not preclude individual treatment of an inmate based on his or her need for a specific medical procedure which is not generally available. (Mandatory)

DISCUSSION: A person confined in a correctional institution is incapable of volunteering as a human subject without hope of reward and cannot do so on the basis of fully informed consent. Therefore, inmates should not participate in experimental projects involving medical, pharmaceutical or cosmetic research, including aversive conditioning, psychosurgery, electrical stimulation of the brain, or the application of cosmetic substances to the body which are being tested for possible ill effects prior to sale to the general public. This does not preclude individual treatment of an inmate by his/her physician with a new medical procedure, subsequent to a full explanation of the positive and negative features of the treatment. The agreement is between the physician and the inmate and is not part of a general program of medical experimentation involving payment to inmates for submission to the treatment. (See related standard 2-4114).

**2-4315** Written policy and procedure specify the process by which those individuals so designated by the inmate are notified in case of serious illness or injury. Permission for notification is obtained from the inmate prior to need, if possible. (Essential)

**DISCUSSION:** There may be situations in which the inmate does not want his next of kin notified of his/her injury or illness; therefore, his/her consent should be obtained whenever possible. The next of kin, or other individuals identified by the inmate to be notified in emergencies, should be included in the institution admission form.

**2-4316 Written policy and procedure specify actions to be taken in the event of an inmate death. (Essential)**

**DISCUSSION:** The medical examiner or coroner should be notified of the inmate's death immediately. If the cause of death is unknown, or the death occurred under suspicious circumstances, or the inmate was unattended from the standpoint of not being under current medical care, a postmortem examination should be performed.

**2-4317 Written policy and procedure provide for the proper management of pharmaceuticals, and addresses the following subjects:**

**A formulary specifically developed for the facility**

**Prescription practices which require that**

**Psychotropic medications are prescribed only when clinically indicated as one facet of a program of therapy**

**"Stop order" time periods are required for all medications**

**The prescribing provider reevaluates a prescription prior to its renewal**

**Procedures for medication receipt, storage, dispensing and administration or distribution**

**Maximum security storage and periodic inventory of all controlled substances, syringes and needles**

**Dispensing of medicine in conformance with appropriate federal and state law**

**Administration of medication which is carried out by persons properly trained and under the supervision of the health authority and facility administrator or designee**

**Accountability for administering or distributing medications in a timely manner, according to physician orders.**

**(Mandatory)**

**DISCUSSION:** All prescribed and nonprescribed medications stocked in the facility or generated by outside health care providers for use in the facility are placed on the written formulary list.

Dispensing is the issuance of one or more doses of medication from a stock or bulk container. The dispensed medication should be correctly labeled to indicate the name of the patient, the contents of the prescription, directions for its use, and other vital information needed to facilitate correct patient usage. A medication is considered administered or distributed when a single dose of an identified drug is given to a patient.

A controlled substance is a medication that requires a written prescription listing the prescribing physician's or dentist's Drug Enforcement Administration registration number. Provision should be made for the security of all medications.

**2-4318 The health record file contains the following items:**

**The completed receiving screening form**

**Health appraisal data forms**

**All findings, diagnoses, treatments, dispositions**

**Prescribed medications and their administration**

**Laboratory, x-ray and diagnostic studies**

**Signature and title of documentor**

**Consent and refusal forms**

**Release of information forms**

**Place, date, and time of health encounters**

**Health service reports, e.g., dental, mental health and consultations**

**Treatment plan, including nursing care plan**

**Progress reports**

**Discharge summary of hospitalization and other termination summaries.**

**The method of recording entries in the records, the form and format of the records, and the procedures for their maintenance and safekeeping are approved by the health authority. (Essential)**

**DISCUSSION:** The "problem-oriented medical record" structure is suggested; however, whatever the records structure, every effort should be made to establish uniformity of record forms and content throughout the correctional system. The record is to be complete and all findings recorded, including notations concerning mental health, dental, and consultative services, at the time of service delivery or no later than 14 days from time of discharge of the patient or termination of treatment. The receiving screening form becomes a part of the record at the time of the first health encounter.

**2-4319 Written policy and procedure uphold the principle of confidentiality of the health record and support these requirements:**

**The active health record is maintained separately from the confinement record**

**Access to the health record is controlled by the health authority**

**The health authority shares with the superintendent/warden information regarding an inmate's medical management, security, and ability to participate in programs.**

**(Essential)**

**DISCUSSION:** The principle of confidentiality protects the patient from disclosure of confidences entrusted to a health care provider during the course of treatment. The confidential relationship of doctor and patient extends to inmate patients and their physician or other provider. Thus, it is necessary to maintain active health record files under security, completely separate from the patient's confinement record.

**2-4320 Written policy and procedure regarding the transfer of health records require that:**

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Summaries, originals, or copies of the health record accompany the inmate to the facility to which he/she is transferred; and,

Health record information is also transmitted to specific and designated physicians or medical facilities in the community upon the written authorization of the inmate.

(Essential)

**DISCUSSION:** An inmate's health record or summary accompanies the inmate in order to assure continuity of care and to avoid the duplication of tests and examinations. (See related standard 2-4122)

**2-4321** Written policy and procedure require that inactive health record files are retained as permanent records in compliance with legal requirements of the jurisdiction. (Important)

**DISCUSSION:** Inactive health records need to conform with legal requirements for record retention, regardless of whether they are being maintained separately or with confinement records.

**2-4322** Psychotropic drugs, such as antipsychotics, antidepressants and drugs requiring parenteral administration are prescribed only by a physician or authorized health provider by agreement with the physician, following a physical examination of the inmate by the health provider, and are administered by the responsible physician, qualified health personnel, or health-trained personnel under the direction of the health authority. (Essential)

**DISCUSSION:** The dangers involved in the administration of intramuscular and psychotropic drugs require the safeguards provided by appropriate medical personnel. (See related standard 2-4221)

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**2-4323** Written policy and procedure ensure the right of inmates to have access to courts. (Essential)

**DISCUSSION:** The inmate's right to have access to the courts minimally provides that inmates have the right to present any issue, including challenging the legality of their conviction or confinement; seeking redress for illegal conditions or treatment while under correctional control; pursuing remedies in connection with civil legal problems; and, asserting against correctional or other government authority any other rights protected by constitutional or statutory provision or common law. Inmates seeking judicial relief are not subjected to reprisals or penalties because of the decision to seek such relief.

**2-4324** Written policy and procedure ensure and facilitate the right of inmates to have access to attorneys and their authorized representatives. (Essential)

**DISCUSSION:** Access to attorneys and counsel substitutes, staff and ombudsmen, should be facilitated. Such access can help ameliorate grievances, and individual and group tensions. The use of counsel substitutes, particularly for representation at major disciplinary proceedings and with civil rights assistance, is consistent with court decisions, and provides additional resources for legal services.

**2-4325** Written policy and procedure exist to assist inmates in making confidential contact with attorneys and their authorized representatives; such contact includes, but is not limited to, telephone communications, uncensored correspondence and visits. (Essential)

**DISCUSSION:** Institutional authorities should assist inmates in making confidential contact with attorneys and their authorized representatives, who may include law students, special investigators, lay counsel or other persons who have a legitimate connection with the legal issue being pursued. Provision should be made for visits during normal institutional hours, uncensored correspondence, telephone communications, and after hours visits where requested on the basis of special circumstances. (See related standard 2-4385)

**2-4326** Written policy and procedure provide for the right of inmates to have access to an appropriate law library and to supplies and services related to legal matters. The law library includes, at a minimum, relevant and up-to-date constitutional, statutory and case law materials, applicable court rules, and practice treatises. When an inmate is unable to make meaningful use of the law library alone, additional assistance necessary for effective access is provided. (Essential)

**DISCUSSION:** The constitutional right of access to the courts requires that, when requested, inmates receive assistance in preparing and filing legal papers. This should include assistance from persons with legal training, law school legal assistance programs, the public defender's office and law library facilities. As suggested by state

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court rulings, the law library should include, at a minimum: state and federal constitutions, state statutes and decisions, procedural rules and decisions and related commentaries, federal case law materials, court rules and practices treatises, and legal periodicals and indexes. (See related standard 2-4230)

**2-4327** Written policy and procedure provide inmates access to paper, typewriters or typing service, and other supplies and services related to legal matters. (Essential)

**DISCUSSION:** The institution should make reasonable efforts to assist inmates with the preparation and processing of their legal documents. Items such as paper, typewriters or typing service, and carbon paper should be provided all inmates upon request and should be available free of charge to indigent inmates. (See related standard 2-4230.)

**2-4328** Written policy and procedure require a healthful environment for inmates and include at a minimum the following:

- Clean and orderly surroundings
- Toilet, bathing, and laundry facilities
- Lighting, ventilation, and heating
- Compliance with all state and federal fire and safety regulations
- A wholesome and nutritionally adequate diet
- Clean, fitted, and seasonable clothing.

(Essential)

**DISCUSSION:** None. (See related standards 2-4129, 2-4130, 2-4131, 2-4132, 2-4135, 2-4151, 2-4153, 2-4162, 2-4238, 2-4255, 2-4257, 2-4258, 2-4260, 2-4263)

**2-4329** The institution fulfills the right of inmates to basic medical and dental care. (Mandatory)

**DISCUSSION:** Health care services should be comparable in quality to those available to the general citizenry of the state in which the institution is located. Medical care provided inmates should include, at a minimum, the following: assessment of health needs and general condition of the inmate at admission; a thorough physical examination by or under the supervision of a licensed physician upon admission; medical and dental services performed by persons with appropriate training under the supervision of a licensed physician or dentist; availability of emergency medical and dental treatment on a 24-hour basis; access to a licensed medical facility; inmate access to medical and dental personnel; and provision of mental health services by qualified mental health personnel. (See related standards 2-4271, 2-4295, 2-4299, 2-4300, 2-4301, 2-4302)

**2-4330** Written policy and procedure grant inmates access to recreational opportunities and equipment including, when the climate permits, outdoor exercise. (Essential)

**DISCUSSION:** None. (See related standard 2-4452)

**2-4331** When male and female inmates are housed in the same institution, there are separate sleeping quarters, but equal access to all available services and programs. Neither sex is denied opportunities solely on the basis of their smaller number in the population. (Essential)

**DISCUSSION:** Institutions housing males and females should be smaller than other institutions. No maximum security institution is desirable for co-educational programming. (See related standard 2-4133).

**2-4332** Institutions housing female inmates provide essential equality with male institutions in institutional programs, living conditions, access to community programs and resources, employment opportunities, access to family and other community associations, and decision-making processes affecting status, activities and terms of incarceration. (Essential)

**DISCUSSION:** None. (See related standards 2-4412, 2-4425, and 2-4432)

**2-4333** Written policy and procedure require that comprehensive counseling and assistance are provided to pregnant inmates in keeping with their expressed desires in planning for their unborn children. (Essential)

**DISCUSSION:** Counseling and social services should be available from either facility staff or community agencies to assist inmates in making decisions such as whether to keep their child, give the child up for adoption or consent to an abortion. It is advisable that a formal legal opinion as to the law relating to abortion be obtained, and based upon that opinion, written policy and defined procedures should be developed for each jurisdiction. (See related standard 2-4481)

**2-4334** Written policy and procedure provide inmates with the option to refuse to participate in secondary or postsecondary education, vocational training, religious services, social services and counseling, psychological and psychiatric treatment, library services, athletic, recreational and leisure time activities, involvement with community groups, mail and visiting, contact by media, contact by attorneys or legal representatives, volunteer programs and prerelease programs. Inmates must accept work assignments, enrollment in basic education programs, medical and dental care mandated by statute, and participation in other programs ordered by the sentencing court or required by statute. (Essential)

**DISCUSSION:** Inmates should not be penalized for refusing to participate in the institution's total rehabilitation program. All able-bodied inmates, however, are expected to accept work assignments and to participate in programs specifically mandated by statute, such as basic education.

**2-4335** Written policy and procedure allow freedom in personal grooming, except when a valid interest justifies otherwise. (Essential)

**DISCUSSION:** Inmates should be permitted freedom in personal grooming as long as their appearance does not conflict with the institution's requirements for safety,

security, identification, and hygiene. All regulations concerning personal grooming should be the least restrictive necessary. (See related standards 2-4268 and 2-4270)

**2-4336** Written policy and procedure grant inmates the right to practice their religion, subject only to the limitations necessary to maintain institutional order and security. (Essential)

**DISCUSSION:** All religions should be accorded equal status and protection. Provision should be made for access to appropriate facilities, clergymen or spiritual advisers, publications and religious symbols, and for opportunities to adhere to dietary and other requirements of various faiths. In determining what constitutes legitimate religious practices, the warden/superintendent or designee should consider only whether there is literature stating religious principles that support the practices and whether the practice is recognized by a group of persons who share common ethical, moral or intellectual views. (See related standards in Religious Services)

**2-4337** Written policy and procedure grant inmates the right to receive visits, subject only to the limitations necessary to maintain institutional order and security. (Essential)

**DISCUSSION:** Because strong family and community ties increase the likelihood that the inmate will succeed after release, visits to inmates should be encouraged. Provision should be made for visitation in pleasant surroundings, with minimum surveillance to ensure privacy. Arrangements always should be made to ensure inmates confidential visits with attorneys. No restrictions should be placed on inmate visitation rights, except when the warden/superintendent or designee can provide substantial justification for the restriction. (See related standards in Mail and Visiting)

**2-4338** Written policy and procedure grant inmates the right to communicate or correspond with persons or organizations, subject only to the limitations necessary to maintain institutional order and security. (Essential)

**DISCUSSION:** Access to the public is an integral part of rehabilitation. Inmates should be permitted to communicate with their families and friends, as well as with public officials, the courts and their attorneys. (See related standards in Mail and Visiting)

**2-4339** Written policy and procedure provide for reasonable access between inmates and the communications media, subject only to the limitations necessary to maintain order and security and protect inmates' privacy. Media requests for interviews and resident consent are in writing. (Essential)

**DISCUSSION:** Except in emergencies, such as disorders and escapes, inmates should have free access to the general public through the communications media or other legitimate intermediary. (See related standard 2-4025)

**2-4340** Written policy and procedure provide the following for each inmate:

Freedom from discrimination based on race, religion, national origin, sex, handicap, or political beliefs

Equal access to various programs and work assignments, and involvement in decisions concerning classification status

A healthful place in which to live

Use of inmates name when addressed, rather than prison number.

(Essential)

**DISCUSSION:** Inmates should be addressed by their proper name to preserve their individual identity and to ensure their personal dignity. Inmates should be assured equal opportunities to participate in all institution programs. Work assignments and all administrative decisions likewise should be made without discrimination.

**2-4341** Written policy and procedure protect inmates from personal abuse, corporal punishment, personal injury, disease, property damage, and harassment. (Mandatory)

**DISCUSSION:** In instances where physical force or disciplinary detention is required, only the least drastic means necessary to secure order or control should be used. Administrative segregation should be used to protect inmates from themselves or other inmates.

**2-4342** Written policy and procedure govern inmate classification, and provide for input from the inmate. (Essential)

**DISCUSSION:** Decisions that determine an inmate's status can have a major effect on the inmate's degree of freedom, access to correctional services, basic conditions of existence with a correctional system, and eligibility for release. Written guidelines should specify criteria for the different classifications offenders may be assigned, and the frequency of status reviews or the circumstances that may prompt such reviews. The guidelines also should provide for notice to inmates when their status is being reviewed, inmate participation in decisions that affect them, and availability of the guidelines to inmates who may be affected by them. (See related standards in Classification)

**2-4343** There is a written inmate grievance procedure which is made available to all inmates and which includes at least one level of appeal. (Essential)

**DISCUSSION:** A grievance procedure is an administrative means for the expression and resolution of inmate problems. The institution's grievance mechanism should include the following: provision for written responses to all grievances, including the reasons for the decision; provision for response within a prescribed, reasonable time limit, with special provisions for responding to emergencies; provision for supervisory review of grievances; provision for participation by staff and inmates in the design and operation of the grievance procedure; provision for access by all inmates, with guarantees against reprisals; applicability over a broad range of issues; and,

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means for resolving questions of jurisdiction.

**2-4344** Where a new crime is suspected, written policy and procedure govern searches and the preservation of evidence. Searches are authorized only by the warden/superintendent or designee except when immediate action is necessary. In such cases the warden/superintendent or designee is fully informed as soon as possible after the search. (Essential)

**DISCUSSION:** Policy and procedure governing searches directed at solving a possible new crime should include provisions for ensuring the legal protection of the inmate and the preservation of evidence from the state. Because searches may result in new criminal charges against inmates and because persons in free society would be afforded protection from similar searches under the fourth amendment, the institution should adopt specific regulations detailing the manner in which such searches are to be conducted and under what circumstances. (See related standards 2-4192, 2-4193, 2-4194, 2-4195, and 2-4355)

## INMATE RULES AND DISCIPLINE

**Note:** The categories of "major" and "minor" violations are not designated by the standards; many jurisdictions have only "rules" with the determination of severity based on the level of violation. The standards apply to all violations which require a disciplinary report or record and formal resolution by a person not involved with the incident.

**2-4345** Written rules of inmate conduct specify acts prohibited within the institution and penalties that may be imposed for various degrees of violation; the written rules are reviewed annually and updated if necessary. (Essential)

**DISCUSSION:** The rules should prohibit only observable behavior that can be shown clearly to have a direct, adverse effect on an inmate or on good order in the institution. The rules also should specify the range of sanctions that can be imposed for violations. The sanctions should be proportionate to the importance of the rule and the severity of the violation. (See related standard 2-4395)

**2-4346** A rulebook that contains all chargeable offenses, ranges of penalties and disciplinary procedures is posted in a conspicuous and accessible area; a copy is given to each inmate and staff member, and is translated into those languages spoken by significant numbers of inmates. When a literacy or language problem prevents an inmate from understanding the rulebook, a staff member or translator assists the inmate in understanding the rules. (Essential)

**DISCUSSION:** Provision of a rulebook that lists specific offenses and penalties helps ensure that all persons in the institution understand what behavior is prohibited and what penalties may be applied for violations. Written procedures should specify how the rules and regulations are issued and presented to new inmates as well as how revisions to rules and regulations are distributed to all inmates. Rules and regulations governing inmate conduct are of limited value unless the inmate understands them. (See related standards 2-4092 and 2-4395)

**2-4347** All personnel who work with inmates receive sufficient training so that they are thoroughly familiar with the rules of inmate conduct, the rationale for the rules, and the sanctions available. (Essential)

**DISCUSSION:** All institution personnel who work with inmates in any way should receive continuous in-service training that ensures their understanding of the rules of inmate conduct. The clarity and specificity of the rules, together with this training, should preclude discrepancies among staff members in interpretation or implementation. (See related standard 2-4092)

**2-4348** There is a written set of disciplinary procedures governing inmate rule violations. These are reviewed annually and updated if necessary. (Essential)

DISCUSSION: None.

**2-4349** There are written guidelines for informally resolving minor inmate misbehavior. (Essential)

DISCUSSION: Written guidelines should specify misbehavior that may be handled informally. All other rule violations should be handled through formal procedures that include the filing of a disciplinary report.

**2-4350** Written policy and procedure provide that when rule violations require formal resolution staff members prepare a disciplinary report and forward it to the designated supervisor. (Essential)

DISCUSSION: Employees should prepare a disciplinary report when they have a reasonable belief that an inmate has committed a violation of institution rules.

**2-4351** Disciplinary reports prepared by staff members include, but are not limited to, the following information:

- Specific rules violated
- A formal statement of the charge
- Any unusual inmate behavior
- Any staff witnesses
- Disposition of any physical evidence
- Any immediate action taken, including the use of force
- Reporting staff member's signature and date and time report is made.

(Essential)

DISCUSSION: In order to properly assess charges of rule violations against inmates, it is essential that all pertinent information be recorded on a disciplinary report form. This information should be as specific and comprehensive as possible.

**2-4352** Written policy and procedure specify that, when an alleged rule violation is reported, an appropriate investigation is begun within 24 hours of the time the violation is reported and is completed without unreasonable delay, unless there are exceptional circumstances for delaying the investigation. (Essential)

DISCUSSION: Investigations of alleged rule violations should be commenced as soon as possible after the incident is reported. The investigating officer should be a staff member and should not be the employee who reported the incident.

**2-4353** Within the disciplinary procedures document, there is provision for prehearing detention of inmates who are charged with a rule violation. The inmate's prehearing detention status is reviewed within 72 hours by the warden/superintendent or designee. (Essential)

DISCUSSION: Prehearing detention is the confinement of an inmate in an individual cell until an investigation is completed or a hearing scheduled. Such detention should not be punitive, and it should be used only when necessary to ensure the safety of the inmate or the security of the institution. Documentation should be provided as to the reason for detention. Care should be exercised to ensure that no inmate remains in prehearing detention longer than necessary.

**2-4354** There is a sanctioning schedule for institutional rule violations. The maximum sanction is 15 days for any one violation and no more than 30 days for all violations arising out of one incident. Continuous confinement for over 30 days requires the review and approval by the warden/superintendent. (Essential)

DISCUSSION: The time an inmate spends in disciplinary detention should be proportionate to the offense committed, taking into consideration the inmate's prior conduct, specific program needs, and other relevant factors. (See related standard 2-4216)

**2-4355** Written policy and procedure provide that, where an inmate allegedly commits an act covered by criminal law, the case is referred to appropriate court or law enforcement officials for consideration for prosecution. (Essential)

DISCUSSION: In instances when an inmate is alleged to have committed a crime covered by criminal law, the institution should refer the case to appropriate officials for possible prosecution. (See related standard 2-4344)

**2-4356** Written policy and procedure provide that an inmate may waive the right to a hearing, provided that the waiver is documented and reviewed by the chief executive officer or designee. (Essential)

DISCUSSION: When inmates feel that a hearing is unnecessary, they should have the opportunity to waive this right. The disciplinary committee should follow stated guidelines for determination of sanctions.

**2-4357** Written policy and procedure provide that the inmate is given a written statement of the charge(s), including a description of the incident and specific rules violated, at the same time that the disciplinary report is filed with the disciplinary committee, but no less than 24 hours prior to the disciplinary hearing. The hearing may be held within 24 hours with the inmate's written consent. (Essential)

DISCUSSION: None.

**2-4358** Written policy and procedure provide for postponement or continuance of the disciplinary hearing for a reasonable period and good cause. (Essential)

DISCUSSION: Disciplinary committee hearing postponement or continuance may be granted for a reasonable period of time for good cause, such as preparation of a defense, illness or unavailability of the inmate, further investigation of factual mat-

ters relevant to the hearing, or pending criminal court prosecution. Delaying a disciplinary hearing is justifiable on the basis of factual recording of inmate's unacceptable behavior during the hearings process or his refusal to participate in a reasonable manner.

**2-4359** Written policy and procedure provide that inmates charged with rule violations are scheduled for a hearing as soon as practicable, but no later than seven days, excluding weekends and holidays, after the alleged violation. Inmates are notified of the time and place of the hearing at least 24 hours in advance of the hearing. (Essential)

**DISCUSSION:** To ensure fairness and the integrity of the disciplinary process, inmates charged with rule violations should receive speedy hearings. Hearings should be conducted as soon as possible, but definitely within one week of the incident, unless the hearing is prevented by exceptional circumstances, unavoidable delays, or reasonable postponements. Reasons for all delays should be documented.

**2-4360** Written policy and procedure provide that inmates charged with rule violations are present at disciplinary hearings, except when their behavior during the hearing justifies exclusion. (Essential)

**DISCUSSION:** None.

**2-4361** Written policy and procedure provide that disciplinary hearings of rule violation cases are conducted by an impartial person or panel of persons. A record of the proceedings is made and maintained for at least six months. (Essential)

**DISCUSSION:** To ensure objectivity in these proceedings, hearings for rule violations are conducted by persons who were not directly involved in the incident.

**2-4362** Written policy and procedure allow inmates to request the services of any staff member to represent them at disciplinary hearings and to question relevant witnesses. Staff representatives will be appointed when it is apparent that inmates are not capable of effectively collecting and presenting evidence on their own behalf. (Essential)

**DISCUSSION:** None.

**2-4363** Written policy and procedure provide that the inmate is given an opportunity to make a statement and present documentary evidence, and may request witnesses on his/her behalf; reasons for the denial of such a request are stated in writing. (Essential)

**DISCUSSION:** None.

**2-4364** Written policy and procedure specify that the disciplinary committee's decision be based solely upon information obtained in the hearing process, including staff reports, the statements of the inmate charged, and evidence derived from witnesses and documents. (Essential)

**DISCUSSION:** Witnesses requested by the inmate may be questioned by both the inmate's representative and committee members. Witnesses who cannot respond to questions in person may be asked to submit written statements. The inmate should be permitted to obtain and submit any relevant documents.

**2-4365** Written policy and procedure specify that a written record is made of the decision and the supporting reasons, and that a copy is given to the inmate. The record of the hearing and supporting documents are kept in the inmate's file and in the disciplinary committee's records. (Essential)

**DISCUSSION:** The disciplinary hearing statement should include the decision, the disposition and the reason for the action, unless doing so would jeopardize institution security.

**2-4366** Written policy and procedure provide for review of all disciplinary hearings and dispositions by the warden/superintendent to assure conformity with policy and regulations. (Essential)

**DISCUSSION:** At the conclusion of the disciplinary hearing, a report of the findings and disposition of the case should be forwarded to the warden/superintendent or designee for review. This review should ensure that the hearing was conducted in accordance with stated procedures and that the action taken conforms with institution regulation.

**2-4367** Written policy and procedure provide that the disciplinary report is removed from all files of inmates found not guilty of an alleged rule violation. (Essential)

**DISCUSSION:** When an inmate is found guilty of only some of the rule violations he or she was originally charged with in connection with a single incident, and when that incident is described in a single disciplinary report, the inmate's record should show clearly the violations that were not proven. All disciplinary reports, regardless of disposition, may be kept and used for statistical or research purposes providing all identification is removed.

**2-4368** Written policy and procedure grant inmates the right to appeal decisions of the disciplinary committee to the warden/superintendent or his designee within 15 days of receipt of the decision. The appeal is decided within 30 days, and the inmate is promptly notified in writing of the results of the appeal. (Essential)

**DISCUSSION:** The appeal process should consider three factors: whether there was substantial compliance with institution standards and procedures in handling inmate discipline; whether the decision of the committee was based on substantial evidence; and, whether under the circumstances, the sanction imposed was proportionate to the rule violation.

## COMMUNICATION, MAIL AND VISITING

### Mail

**2-4369** Written policy and procedure governing inmate correspondence are developed and reviewed annually. (Essential)

DISCUSSION: All regulations pertaining to inmate correspondence should be specified in writing and made available to staff members, inmates, and their correspondents.

**2-4370** When the cost is borne by the inmate, there is no limit on the volume of letters an inmate may send or receive, or on the length, language, content or source of mail or publications, except when there is a reasonable belief that the limitation is necessary to protect public safety or institutional order and security. (Essential)

DISCUSSION: The number of approved correspondents for an inmate should be unlimited, and there should be no limitation on the number of letters an inmate may send or receive from them. Limitations may be placed on the use of the mails for the conduct of an inmate business. (See related standards 2-4226, 2-4375, and 2-4376).

**2-4371** Written policy and procedure provide that indigent inmates, as defined in policy, receive a specified postage allowance to maintain community ties. (Important)

DISCUSSION: Provision should be made to ensure that indigent inmates are able to send a reasonable minimum number of letters per month. Community ties include family, personal friends, etc., but not privileged communication to attorney, public officials and courts. An indigent inmate is a person found to be without financial resources. (See related standard 2-4378)

**2-4372** Written policy and procedure provide for the forwarding of first class letters and packages after transfer or release. (Essential)

DISCUSSION: All first class letters and packages should be forwarded to inmates who are transferred to other institutions or released, provided a forwarding address is available. If a forwarding address is not available, first class letters and packages should be returned to the sender. Post Office policy and procedure should be made available to inmates.

**2-4373** Written policy and procedure govern inmate access to publications. (Essential)

DISCUSSION: Specific policies and procedures should exist to define which publications are allowed in the institution and how they will be inspected. Restrictions to access should be directly related to the maintenance of institutional order and security.

**2-4374** Written policy and procedure require that incoming and outgoing letters and packages are not held for more than 24 hours, excluding weekends and holidays. (Essential)

DISCUSSION: Inspection for contraband should not take longer than 24 hours to complete, so that incoming mail should be distributed to inmates and outgoing mail sent to the post office within 24 hours of receipt.

**2-4375** Inmate letters, both incoming and outgoing, are not read or censored, except when there is a reasonable belief that there is a threat to institutional order and security. Inmates are notified when mail written by or addressed to them is rejected, together with the reasons for the action. (Essential)

DISCUSSION: Inmates should be permitted uncensored correspondence so long as such correspondence poses no threat to the safety and security of the institution, public officials or the general public and is not being used in the furtherance of illegal activities. Case law has defined legal limits. When inmate mail has been rejected, the inmate or author should be provided an opportunity to protest that decision, and such complaints should be referred to officials who did not participate in the original disapproval of the correspondence.

**2-4376** Written policy and procedure provide for the inspection of inmate letters and packages to intercept cash, checks, and money orders. (Essential)

DISCUSSION: Cash, checks and money orders should be removed from incoming mail and credited to the offender's account. If discovered in either incoming or outgoing mail, they should be removed and disposed of appropriately. A receipt is given to the sender and addressee, and the episode is documented.

**2-4377** Written policy and procedure govern the inspection for and the disposition of contraband. (Essential)

DISCUSSION: Written policy and procedure should specify how seizures can be challenged, what should be done with the contraband, and under what conditions receipts are given the sender and addressee. Policy should indicate when the matter is referred for prosecution.

**2-4378** Written policy and procedure specify that inmates are permitted to send sealed letters to a specified class of persons and organizations, including, but not limited to, the following: courts; counsel; officials of the confining authority; state and local chief executive officers; administrators of grievance systems; and, members of the paroling authority. Mail to inmates from this specified class of persons and organizations may be opened only to inspect for contraband and only in the presence of the inmate. (Essential)

DISCUSSION: None. (See related standard 2-4371)

*Telephone*

**2-4379** Written policy and procedure provide for inmate access to public telephones. (Important)

DISCUSSION: Telephone facilities should be provided to permit reasonable and equitable access to all inmates. Written procedures should specify the hours of telephone availability, maximum length of calls, and any limitation on telephone calls. Telephone facilities should allow for a reasonable amount of privacy. All long distance calls should be made collect.

*Visiting*

**2-4380** Written policy and procedure govern visitation and are reviewed annually and updated if needed. (Essential)

DISCUSSION: Written policies and procedures that specify all regulations pertaining to visiting should be made available to all inmates at admission, visitors, and staff. When necessary, these regulations should be translated into languages spoken by significant numbers of inmates so that all may understand the rules.

**2-4381** Written policy and procedure provide that the number of visitors an inmate may receive and the length of visits may be limited only by the institution's schedule, space, and personnel constraints, or when there are substantial reasons to justify such limitations. (Essential)

DISCUSSION: Inmates should not be denied access to visitation with persons of their choice, except when the warden/superintendent or designee can present clear and convincing evidence that such visitation jeopardizes the safety and security of the institution or the visitors. (See related standard 2-4227)

**2-4382** Written policy and procedure specify visitor registration upon entry into the institution and the circumstances under which visitors may be searched. (Essential)

DISCUSSION: Each visitor should be required to register his/her name, address, and relation to the inmate upon entry. Following written procedures staff may search visitors and their belongings.

**2-4383** Written policy and procedure provide that inmate visiting facilities permit informal communication, including opportunity for physical contact. Devices that preclude physical contact are not used except in instances of substantiated security risk. (Essential)

DISCUSSION: The degree of informality of inmate visiting facilities should be consistent with the institution's overall security requirements. (See related standard 2-4110)

**2-4384** Where statute permits, written policy and procedure specify the conditions for extended visits between inmates and their families. (Essential)

DISCUSSION: Written policy and procedure should provide guidelines for determining which inmates are permitted extended visits with their families, the length of the visit, where the visit should take place and other conditions for the visit. An opportunity to spend from 48 to 72 continuous hours with family members can help inmates reestablish or strengthen family ties. Inmates with appropriate security classifications should be permitted furloughs home of up to three days. The institution should provide suitable private accommodations for extended visits between inmates and their families on institution grounds.

**2-4385** Written policy and procedure govern special visits. (Essential)

DISCUSSION: Special visits may include visits from persons who have come long distances, visits to hospitalized inmates, visits to inmates in disciplinary status and visits between inmates and their attorneys, clergy, social service agency representatives, etc. Written policy and procedure should specify the conditions of such visits. (See related standards 2-4325 and 2-4469)

**2-4386** The institution provides information to visitors about transportation to the institution and facilitates transportation between the institution and nearby public transit terminals. (Important)

DISCUSSION: If there is considerable distance between the public transit terminal and the institution, the institution should seek to provide transportation for visitors. This is particularly important where transportation costs are significant.

**2-4387** Written policy and procedure provide that inmates with appropriate security classifications are allowed furloughs to the community in order to maintain community and family ties and for other purposes consistent with the public interest. (Important)

DISCUSSION: None. (See related standards 2-4419 and 2-4455)

## RECEPTION AND ORIENTATION

**Note:** Some of the reception and orientation procedures in this chapter may be completed at a central reception facility. If this is the case, documentation of the completion of the procedure must be available at the institution.

**2-4388** Written policy and procedure govern the reception and orientation of new inmates and are reviewed annually and updated if necessary. (Essential)

**DISCUSSION:** The reception period immediately following admission is important in determining inmates' attitudes about incarceration and in helping inmates adjust to the institution.

**2-4389** Written procedures for admission of inmates new to the system include, but are not limited to, the following:

- Determination that the individual is legally committed to the institution
- Complete search of the individual and possessions
- Disposition of personal property
- Shower and hair care, if necessary
- Issue of clean, laundered clothing as needed
- Photographing and fingerprinting, including notation of identifying marks or other unusual physical characteristics
- Medical, dental, and mental health screening
- Assignment to a housing unit
- Recording basic personal data and information to be used for mail and visiting list
- Assisting inmates in notifying their next of kin and families of admission
- Explanation of procedures for mail and visiting
- Assigning a registered number to the inmate
- Giving written orientation materials to inmate.

(Essential)

**DISCUSSION:** Inmates coming into the system may be unfamiliar with staff expectations and not understand what is expected of them. Staff members should explain the procedures being undertaken at each step in the admissions process. When necessary, these procedures should be reviewed for inmates transferred within the correctional system. (See related standards 2-4289, 2-4290, 2-4291, 2-4292, and 2-4293)

**2-4390** Written policy and procedure require the preparation of a summary admission report for all new admissions to the institution that includes, but is not limited to, the following:

## RECEPTION AND ORIENTATION

- Account of the legal aspects of the case
- Summary of criminal history, if any
- Social history
- Medical, dental, and mental health history
- Occupational interests and experience
- Educational status and interests
- Recreational preference and needs assessment
- Psychological evaluation
- Staff recommendations
- Preinstitutional assessment information.

(Essential)

**DISCUSSION:** The summary admission report constitutes the first document in the inmate's cumulative case record. This document may be duplicated and used for review by the classification committee and the unit management team. It is an essential tool for the development of a program with the inmate. This brief screening identifies areas for follow-up. (See related standards 2-4289, 2-4295, 2-4296, 2-4298, 2-4409, 2-4412, 2-4425, 2-4452, and 2-4480)

**2-4391** Inmates transferred from other institutions receive an orientation to the new institution. (Essential)

**DISCUSSION:** Every institution has procedures, rules, and regulations which are unique to its purposes, physical plant and security status. Inmates transferred within the correctional system may be familiar with many of these requirements, but problems may be avoided by providing current information on institution procedures, rules and regulations.

**2-4392** Written policy and procedure specify the personal property inmates can retain in their possession. (Essential)

**DISCUSSION:** It is essential to help preserve the individual identities of inmates and to normalize the institutional setting; therefore, a policy should allow inmates to keep personal property items which do not constitute a threat to the security of the institution or to others.

**2-4393** Written policy and procedure govern the control and safeguarding of inmate personal property. Personal property retained at the institution is itemized in a written list which is kept in the permanent file; the inmate receives a current copy of this list. (Essential)

**DISCUSSION:** In order to help preserve the individual identities of inmates and to normalize the institutional setting, inmates should be allowed to keep personal property which does not constitute a threat to institutional safety, order, or security. All property retained at the institution should be accurately inventoried, handled carefully and securely stored. The property should be available if required by the inmate and returned at the time of release. Confiscated items should be noted on the

inventory list which is signed by the inmate. Receipts should be provided to the inmate for all funds and possessions stored, and upon release from the institution, receipts should be signed by inmates acknowledging return of their property. (See related standard 2-4486)

**2-4394** Written policy and procedure relating to control of inmate property and funds are updated annually and are made available to inmates upon admission and when updated. (Essential)

**DISCUSSION:** Inmates should understand what personal property they may retain and should be assured both that the institution's policies are applied uniformly and that their property will be stored safely. (See related standard 2-4051)

**2-4395** Written policy and procedure provide that new inmates receive written orientation materials and/or translations in their own language. When a literacy problem exists, a staff member assists the inmate in understanding the material. Completion of orientation is documented by a statement that is signed and dated by the inmate. (Essential)

**DISCUSSION:** Orientation should provide new inmates an understanding of what is expected of them and what they may expect to derive from institution programs. Orientation should include formal classes, distribution of brochures that describe institution programs and rules and regulations, and discussion of the institution's programs and procedures. Orientation also should be used to observe inmate behavior and to identify special problems. Written materials should be updated regularly and distributed to all inmates. Orientation is a team effort that utilizes all institutional resources. (See related standards 2-4345 and 2-4346)

**2-4396** There is a program for inmates during the reception period. (Essential)

**DISCUSSION:** The daily program for inmates in the reception unit should include interviews, testing, and other activities related to the admission process, as well as receipt of information on educational, religious, work, and recreational programs. New inmates should be provided reading materials and should be permitted to attend religious services. They should receive exercise on the same schedule as the general inmate population and perform work assignments on the unit. Key program elements of the institution should be involved in the reception program.

**2-4397** Written policy and procedure provide that, except in unusual circumstances, initial reception and orientation of inmates is completed within four weeks after admission. (Essential)

**DISCUSSION:** Inmates should be removed from the reception unit as soon as possible so that they may be placed in a program most appropriate to their custody status.

**2-4398** Written policy and procedure provide that, except in unusual circumstances, reception and orientation for inmates transferred from another institution within the same system is completed within one week after admission. (Essential)

**DISCUSSION:** Inmates transferred from other institutions have already completed many of the reception and orientation requirements, and can be placed in regular programs within one week.

## CLASSIFICATION

**2-4399** There is a written plan for inmate classification which specifies the objectives of the classification system, details the methods for achieving the objectives, and provides a monitoring and evaluation mechanism to determine whether the objectives are being met. The plan is reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** The classification system should help ensure that inmates participate in appropriate, integrated programs that will assist them during their incarceration and subsequent release to the community. The classification system should consider an assessment of risk and the efficient management of the inmate population. It should provide that no inmate receives more surveillance or assistance than required and that no inmate is kept in a more secure status than potential risk requires. (See related standard 2-4342)

**2-4400** There are classification policies with detailed procedures for implementing them; these policies are made available to all staff involved with classification, and reviewed at least annually and updated if necessary. (Essential)

**DISCUSSION:** Classification policies should include, at a minimum: (1) detailed procedures for initial inmate classification and reclassification; (2) instructions regarding the makeup of the unit, team or full classification committees, as well as the duties and responsibilities of each; (3) definition of the various committees' responsibilities for custody, employment and vocational/program assignments; (4) instructions as to what phases of an inmate program may be changed by the various committee levels; (5) specific procedures relating to inmate transfer from one program to another and from one institution to another; and, (6) content of the classification interview.

**2-4401** The system for classifying inmates specifies the level of custodial control required and requires a regular review of each classification. (Essential)

**DISCUSSION:** A correctional system should provide for at least three degrees of custodial control for inmates. All inmates should be assigned the least restrictive custodial level necessary.

**2-4402** Youths charged with offenses which would not be crimes if committed by adults and adjudicated delinquent offenders do not reside in the institution. (Mandatory)

**DISCUSSION:** None.

**2-4403** The written plan for inmate classification provides for maximum involvement of representatives of relevant institutional programs and the inmate concerned in classification reviews. (Essential)

**DISCUSSION:** All new inmates should be carefully screened and evaluated for proper custodial assignment and program placement. Inmates should participate in assessing their needs and in selecting programs to meet those needs. The classification process requires the cooperation and input of both the inmate and the institutional program personnel. (See related standards 2-4334 and 2-4475)

**2-4404** The written plan for inmate classification specifies that the program status review of each inmate occurs at least every 12 months. (Essential)

**DISCUSSION:** Schedules for program status reviews vary according to the type of institution, profile of inmate population, average length of sentence, etc. Those institutions that serve younger individuals and individuals serving relatively short sentences should conduct case reviews at least every three months. Institutions serving an older population and individuals serving longer sentences should provide for program status reviews at least every 12 months. The program status review includes review of all matters affecting the status of the inmate, including custody.

**2-4405** The written plan for inmate classification specifies criteria and procedures for determining and changing the program status of an inmate; the plan includes at least one level of appeal. (Essential)

**DISCUSSION:** Because program status reviews can involve an increase in level of custody, transfer to another institution, or other program changes that effect inmates adversely, the review process should include an appeal process. This refers to program status decisions, not disciplinary action. (See related standard 2-4217)

**2-4406** Written policy and procedure require that unless precluded for security or other substantial reasons, all inmates appear at their classification hearing and are given notice 48 hours prior to these hearings; such notice may be waived by the inmate, in writing. (Essential)

**DISCUSSION:** Inmates should have sufficient time and assistance, if requested, to prepare for classification hearings so that they may present any evidence or testimony that would ensure them an appropriate classification. (See related standard 2-4217)

**2-4407** Written policy and procedure specify the conditions under which an inmate can initiate a review of progress and program status. (Important)

**DISCUSSION:** In addition to participating in assessing their needs and selecting responsive programs, inmates should be allowed to initiate reviews that determine the extent of their progress and the effectiveness of their programming.

**2-4408** Written policy and procedure provide for identification of special needs inmates. (Essential)

## CLASSIFICATION

**DISCUSSION:** Special needs inmates include, but are not limited to, drug addicts, drug abusers, alcoholics, alcohol abusers, inmates who are emotionally disturbed, mentally retarded, suspected mentally ill, or who pose high risk or require protective custody. Procedures should exist to identify the number, type and frequency of commitment of these groups of inmates. When numbers or frequency of commitment warrant, special programs should be instituted for the appropriate management and effective handling of these inmates. Every possible effort should be made to place mentally ill or mentally retarded inmates in a noncorrectional setting. (See related standards 2-4283 and 2-4479)

**2-4409** The written plan for inmate classification specifies that, prior to a parole hearing, preparole material is made available to the paroling authority including a current and complete history of the inmate's activities in the institution and a proposed parole plan. (Essential)

**DISCUSSION:** A progress report that includes the inmate's plans for parole should be prepared prior to the inmate's appearance before the paroling authority. This report will enable the paroling authority to make a well-informed decision on the inmate's readiness for release.

**2-4410** The institution or parent agency solicits and uses preinstitutional assessment information regarding the inmate's progress and adjustment. (Essential)

**DISCUSSION:** When inmates have contact with the criminal justice system prior to their admission to the institution, (e. g., in local detention facilities or work release programs) any information on their progress should be solicited and incorporated in the institution's classification decision. Likewise, any documented information on the inmate's participation in other community activities should be considered. (See related standard 2-4390)

## INMATE WORK PROGRAMS

**2-4411** The institution maintains a written plan that provides full-time work and/or program assignments for all inmates in the general population. (Essential)

**DISCUSSION:** An inmate work program may include industrial, agricultural, maintenance, and service jobs and should provide employment for all eligible inmates. Sufficient jobs and/or program opportunities should be provided so that there is no idleness. (See related standard 2-4334)

**2-4412** The institution provides a variety of work assignments that afford inmates an opportunity to learn job skills and develop good work habits and attitudes that they can apply to jobs after they are released. (Important)

**DISCUSSION:** Whenever possible, inmate work assignments provide experience relevant to the current job market. Work assignments for women are not limited to traditional tasks assigned to women. (See related standard 2-4332)

**2-4413** An effort is made to structure the inmate work day to approximate the work day in the community. (Important)

**DISCUSSION:** The inmate working day should last approximately eight hours so that inmates will be familiar with what will be expected of them in their postrelease jobs.

**2-4414** A written plan provides incentives for inmates in work programs; inmates are paid for work performed. (Essential)

**DISCUSSION:** Inmates should be paid sufficient wages so that they can make purchases from the canteen and accumulate funds to assist them upon their release from prison. Incentives such as wages, special housing, extra privileges, and good time credits should be distributed according to written guidelines. (See related standard 2-4417)

**2-4415** Staff operating inmate work programs use the advice and assistance of labor, business, and industrial organizations to assist in providing skills relevant to the market. (Important)

**DISCUSSION:** The institution should actively pursue cooperation from labor and industry to help plan and evaluate institution work programs and assist in work release, job training and job placement. The establishment of advisory boards or joint councils should be considered.

## INMATE WORK PROGRAMS

**2-4416** Policy and procedure provide that all institutional work, industrial, and vocational/educational programs meet minimum federal, state and local work, health, and safety standards; there is documentation of at least annual health and safety inspections by federal, state, and/or local officials. Weekly inspections of all such programs are conducted by qualified institution staff. (Mandatory)

**DISCUSSION:** Inmate work programs should meet all applicable requirements for the safety and health of workers. A mechanism, such as a safety committee should be used to conduct weekly inspections and continuously monitor the operation of the programs. (See related standards in Safety and Emergency Procedures and Academic and Vocational Education)

**2-4417** Inmates employed in the community by public or private organizations in positions normally occupied by private citizens are compensated at the prevailing rate. Inmates receiving such compensation reimburse the jurisdiction for a reasonable share of its cost in maintaining them. (Essential)

**DISCUSSION:** Compensation for all work performed for public or private organizations, whether on work release programs or as part of an outside work assignment plan, should be at the prevailing rate and should include all fringe benefits.

**2-4418** The institution provides opportunities for inmate employment in correctional industries, facility maintenance, operation, and, to the extent possible, public works and community projects. (Important)

**DISCUSSION:** Many jobs that must be performed to ensure the maintenance and operation of the facility can be done by inmates. Inmates may be assigned to construction work, conservation projects or other work financed by public funds. These programs may be housed separately from the main institution. Staff supervising such inmates should be trained for such an assignment. (See related standard 2-4417)

**2-4419** Written policy and procedure establish furlough and work release programs to provide additional employment opportunities for inmates, consistent with the requirements of institutional and community security. (Important)

**DISCUSSION:** None. (See related standard 2-4387)

**2-4420** Private industries on the institution grounds employing inmates in positions normally filled by private citizens pay inmates the prevailing wage rate for the position occupied. (Important)

**DISCUSSION:** Whenever private industry employs inmates as part of its regular work force, the inmates must be paid the same as private citizens who would normally perform such work. Reimbursement to the institution for room and board may be required.

**2-4421** The inmate work plan includes provision for employment for handicapped inmates. (Essential)

**DISCUSSION:** None. (See related standards 2-4145 and 2-4146)

## ACADEMIC AND VOCATIONAL EDUCATION

**2-4422** There is a comprehensive education program available to all eligible inmates that extends from literacy training through high school and includes communication skills, mathematics, and social science. (Essential)

**DISCUSSION:** Offenders vary greatly in learning ability, interest level, and motivation. The educational program should be structured so that an inmate can enter at any time and proceed at their own pace. Progress through the program should not be defined by grade level attainment or academic marks or scores. Individual instruction should be supplemented by the use of programmed instruction, teaching machines, educational television and correspondence courses when appropriate. (See related standard 2-4334)

**2-4423** The academic and vocational education programs are accredited by the state department of education or a recognized accreditation association. Programs up to the completion of high school and/or GED are available at no cost to inmates. (Essential)

**DISCUSSION:** Accreditation by state departments of education or recognized regional accreditation associations will ensure that correctional academic and vocational education programs meet current standards. (See related standard 2-4416)

**2-4424** There is a standardized competency-based curriculum supported by appropriate materials and classroom resources. (Essential)

**DISCUSSION:** In competency-based education instruction, assignments and times may vary, while achievement is a constant goal. Instructional objectives should be stated in terms in which the performance is observable or assessable. Emphasis should be placed on individual student progress with evaluation based on performance according to a set criterion. Standardization of curriculum should be developed in order to monitor student progress from class to class or between institutions. (See related standard 2-4435)

**2-4425** There is a system for ensuring that the academic and vocational education program continues to meet the needs of the inmate population. (Essential)

**DISCUSSION:** Meeting the educational needs of inmates requires a thorough knowledge of those to be served. Close working relationships between educational and classification personnel are essential. The process of developing curricula should include input from inmates, and a system should be developed to review the education program regularly.

**2-4426** Some educational programs are provided at a time when the majority of inmates can take advantage of the opportunity. (Important)

ACADEMIC AND VOCATIONAL EDUCATION

**DISCUSSION:** Educational programs should not have to compete with work assignments, visitation, counseling, etc., but should be offered at offpeak program hours and should be available in the evenings and on weekends. Encouragement to participate should be provided through limiting barriers to attendance and use of a reward system.

**2-4427** There is a systematic approach to determine the personnel requirements for the academic and vocational programs to ensure all inmates access to staff and services. (Essential)

**DISCUSSION:** The staff/inmate ratio is a significant factor influencing effectiveness in any teaching environment. Inmates require at least the same interaction, feedback, and personal attention as students in educational and vocational programs outside the institution.

**2-4428** All academic and vocational education personnel are certified by a state department of education or other comparable authority. (Essential)

**DISCUSSION:** All teachers, supervisors, and administrators should be certified by the state department of education, or other comparable body, and should receive additional training to meet the special needs of inmates. (See related standard 2-4416)

**2-4429** Academic and vocational personnel policies and practices are comparable to local jurisdictions or other appropriate jurisdictions. (Important)

**DISCUSSION:** Personnel practices should be similar to those of the public schools in the locality of the institution.

**2-4430** Salary and benefits for academic and vocational personnel are at least the same as state minimums for teachers performing comparable work. (Important)

**DISCUSSION:** Salaries and benefits should meet the minimum state standards and compare favorably with local systems to ensure the recruitment and retention of qualified staff.

**2-4431** The educational program is supported by specialized equipment, including, at a minimum, classrooms, teaching carrels, audiovisual materials and facilities, chalkboards, and administrative space. (Essential)

**DISCUSSION:** Regardless of the extent of the educational program, specialized facilities and equipment are essential.

**2-4432** The institutional staff and/or parent agency conducts an annual evaluation to assess the effectiveness of the academic and vocational education program against stated performance objectives. (Essential)

ACADEMIC AND VOCATIONAL EDUCATION

**DISCUSSION:** The educational evaluation should be conducted annually and the results submitted to the warden/superintendent for review.

**2-4433** There is a system whereby the academic and vocational training programs are assessed against stated objectives by qualified individuals, professional groups, and trade associations; this assessment is done at least every three years. (Essential)

**DISCUSSION:** Such assessment is necessary to ensure that the institution's educational/vocational training programs are recognized and accepted by professional educators, licensing boards, and trade associations. This system of accountability can also indicate those programs that are ineffective and those that should be expended or revised. Justifications may be developed for budget presentations.

**2-4434** Academic and vocational counseling are provided so that inmates are placed in that phase of the educational/vocational programs most suited to their needs and abilities. (Essential)

**DISCUSSION:** Counseling should provide inmates assistance, encouragement and feedback with respect to their educational and vocational goals.

**2-4435** The educational program allows for flexible scheduling that permits inmates to enter at any time and to proceed at their own learning pace. (Essential)

**DISCUSSION:** Offenders vary greatly in learning ability, interest level and motivation. The educational program should be structured so that an inmate can enter at any time and proceed through the various grades at a comfortable pace. Individualized instruction is essential. Programmed instruction, teaching machines and educational television may be used in addition to traditional teaching methods. (See related standard 2-4423)

**2-4436** Postsecondary programs in academic and vocational education are available to qualified inmates. (Important)

**DISCUSSION:** Such classes should be available in the institution and supplemented by outside programs. They should be available to all who qualify and are interested.

**2-4437** The institution uses community resources in developing academic and vocational education programs for selected inmates. (Important)

**DISCUSSION:** Academic and vocational programs in the community can supplement the institution's programs. Based on predetermined criteria, arrangements should be made for selected inmates to attend classes at nearby schools.

**2-4438** The educational program in coordination with other institutional services provides instruction in functional social skills. (Essential)

## ACADEMIC AND VOCATIONAL EDUCATION

**DISCUSSION:** The institution should provide courses in consumer activities, life skills, and family life, and, where possible, should incorporate instruction of social skills in regular course content. Such courses should be coordinated with social services, leisure time activities and religious programs, and in a comprehensive social skills development program.

**2-4439** Vocational training programs are integrated with academic programs and are relevant to the vocational needs of inmates and to employment opportunities in the community. (Essential)

**DISCUSSION:** Vocational training programs should be related to the job market. A variety of areas should be available including cooperation with correctional industries, work assignments, apprenticeships, on-the-job training, and other vocationally related programs. The community's employment needs can be assessed through contacts with local labor and industry representatives. Equipment and curricula for the vocational training programs should be updated periodically to ensure compatibility with training developments in the community. Existing community resources and involvement should be used where appropriate. (See related standard 2-4415)

**2-4440** Written policy and procedure govern the maintenance and handling of educational/vocational records. (Essential)

**DISCUSSION:** Academic/vocational information should become a part of the master file and be transferred when offenders are moved to other institutions or relocated in the community during prerelease.

**2-4441** Provision is made for formal recognition of specific educational accomplishments. (Important)

**DISCUSSION:** Recognition of academic and vocational achievements such as certification or graduation is helpful to individual inmates and provides general support for educational programs.

## LIBRARY SERVICES

**2-4442** The institution maintains and/or provides access to comprehensive library services which include, but are not limited to, a reference collection which includes general and specialized materials, and planned and continuous acquisition of materials to meet the needs of the institutional staff and inmates. (Essential)

**DISCUSSION:** The institution's library service should be comparable to a public library, providing the following: logical organization of materials for convenient use; circulation of materials to satisfy the needs of users; information services to locate facts as needed; a reader's advisory service that helps provide users suitable materials; promotion of the uses of library materials through publicity, book lists, special programs, book and film discussion groups, music programs, contests and other appropriate means; a congenial library atmosphere; and audio-visual materials for educational and recreational purposes. The reference collection is vital, particularly specialized materials such as reintegration, survival, prerelease, vocational and educational information. See the guidelines developed by the American Correctional Association/American Library Association Joint Committee on Institution Libraries.

**2-4443** Written policy defines the principles, purposes and criteria used in selection and maintenance of library materials. (Essential)

**DISCUSSION:** Library materials should be selected to meet the educational, informational and recreational needs of the inmates. They should be easily accessible and regulated by a system that prevents abuse.

**2-4444** The institutional staff or parent agency conducts an annual evaluation of the library services program against stated performance goals and objectives. (Essential)

**DISCUSSION:** The evaluation should be conducted annually and the results submitted to the warden/superintendent. This process will help provide justifications for budget requests and ensure that library services are run effectively and efficiently.

**2-4445** There is a systematic approach for determining the library service needs of the inmate population at least annually. (Important)

**DISCUSSION:** Library materials should be relevant to the needs and interests of the inmate population. They should reflect the different reading levels, languages, special interests and ethnicities of the inmates. Library service needs can be determined through assessment surveys and a library advisory committee composed of individuals from all institutional components, including the inmate population.

**2-4446** Library services are available daily, including evenings and weekends. (Essential)

## LIBRARY SERVICES

**DISCUSSION:** The availability of library services is particularly important under conditions of confinement. Therefore, there should be no restrictions on access to library services and facilities. Library services should be provided at prime program hours as well as at times which do not compete with work assignments, visitation, counseling or other programs. Every inmate should have access to library services. (See related standard 2-4233)

### **2-4447 The library participates in interlibrary loan programs. (Important)**

**DISCUSSION:** Participation in inter-library loan programs with local and state public library systems can increase the materials available to inmates without increasing acquisition expenses.

### **2-4448 The institution has a qualified staff member who coordinates and supervises library services. (Essential)**

**DISCUSSION:** This position may be full or part-time. If this person is not a trained librarian, he/she should receive training in the provision of library services.

### **2-4449 There is available to the institution a person with a Master of Library Science degree who assists in coordinating and supervising library services and is responsible for training of all library staff. (Essential)**

**DISCUSSION:** There should be a qualified librarian available to assist the staff member who coordinates and supervises library services in the institution.

### **2-4450 Written policy and procedure provide for the selection, training and use of inmates as library assistants. (Essential)**

**DISCUSSION:** In order to provide adequate access to library services, inmates should be used as library assistants and trained in library operation by the librarian. Selected inmates can be used as circulation clerks and acquisition and technical processing clerks.

### **2-4451 The personnel requirements for the provision of library services are systematically determined so as to ensure inmates access to staff and services. (Essential)**

**DISCUSSION:** Library staff should be available in proportion to inmate needs, with most staff assigned at peak use periods. This is essential to acquaint inmates with library resources and their uses. The American Correctional Association/American Library Association Joint Committee on Institution Libraries has established staff/inmate ratios that may be useful in determining the number and type of library personnel required.

## RECREATION AND INMATE ACTIVITIES

### **2-4452 Written policy and procedure provide for a comprehensive recreational program that includes leisure time activities comparable with those available in the community. (Essential)**

**DISCUSSION:** The traditional forms of recreation, i.e., activities in the yard, library and auditorium, should be expanded so that inmates may express their talents and pursue their interests. An assessment should be made of each inmate's recreational interests, and steps should be taken to ensure that, whenever possible, inmates can pursue their recreational preferences. (See related standard 2-4330)

### **2-4453 The recreational program is supervised by a qualified person with a minimum of a bachelor's degree in recreation or leisure services, or the equivalent in combined education and experience; in institutions with more than 100 inmates this position is full time. (Important)**

**DISCUSSION:** To ensure a high quality leisure services program, it is important to have an administrator with training specific to recreation and/or leisure activities.

### **2-4454 There is a systematic approach to determine the personnel requirements for the recreational program; this provides inmates access to staff and services, and assures needed support for inmate activities. (Essential)**

**DISCUSSION:** None.

### **2-4455 Written policy and procedure permit inmates to participate in community activities, provided the inmates' custodial status allows them to leave the institution. (Important)**

**DISCUSSION:** In addition to the community programs and services brought into the institution, inmates should be allowed to participate in activities in the community that can benefit both the inmate and the community. (See related standard 2-4387)

### **2-4456 Written policy and procedure provide for interaction with the community through recreational activities. (Essential)**

**DISCUSSION:** Community interaction should include bringing in volunteers to provide instruction and inviting local teams to compete with institution teams; it may include taking inmates into the community for recreational activities.

### **2-4457 There are written policy and procedures for the selection, training and use of inmates as recreation program assistants. (Important)**

## RECREATION AND INMATE ACTIVITIES

DISCUSSION: None.

**2-4458** Facilities and equipment, which are maintained in good condition and are suitable for the planned leisure activities, are available in proportion to the inmate population. (Essential)

DISCUSSION: Facilities should include an outdoor recreation area; a gymnasium with seats for spectators; an auditorium with stage equipment; game rooms and games such as table tennis, shuffleboard, chess, checkers, cards, etc.; weightlifting apparatus and other body-conditioning equipment and space for their use; a music room; and space for the pursuit of arts, crafts and hobbies. Locker rooms, showers and dressing rooms also should be available. Provision should be made for the regular inspection of all equipment and for repair and replacement as necessary. The National Recreation and Park Association provides guidelines for facilities and equipment.

**2-4459** Written policy and procedure provide for activities which are initiated by inmates, under staff supervision. (Essential)

DISCUSSION: Inmate publications, arts and crafts, honor housing, and ethnic study groups are all inmate activities. These and all other inmate activities should be regulated by written guidelines that define the purpose and scope of each activity. Provision should be made for staff supervision of all activities.

**2-4460** Written policy and procedure provide that the leisure needs and interests of the inmate population are assessed on an annual basis. (Essential)

DISCUSSION: To encourage inmate participation and to meet their needs and interests, suggestions for activities should be solicited from inmates.

**2-4461** The leisure services program is evaluated annually to assess the effectiveness of the program against stated performance goals and objectives. (Essential)

DISCUSSION: The results of the report should be submitted to the warden/superintendent and should be utilized in the preparation of budget requests. By evaluating the program on a regular basis, the director of the program will be able to determine what activities are of interest to inmates.

## RELIGIOUS SERVICES

**2-4462** Written policy and procedure provide for access to religious resources, services, or counseling for all inmates on a voluntary basis. (Essential)

DISCUSSION: It is the responsibility of the institution to ensure that all inmates are able to voluntarily exercise their constitutional right to religious freedom when this freedom does not interfere with the order and security of the institution. Inmates should be kept informed about opportunities to participate in religious programs on a continuing basis. (See related standards 2-4233 and 2-4336)

**2-4463** A qualified and trained chaplain coordinates and supervises the institution's religious programs. (Essential)

DISCUSSION: There should be a chaplain to coordinate religious services and community resources to meet the religious needs of inmates. The chaplain should recognize the validity of all religious faiths and their contribution to the persons involved with them. Qualified chaplains have the ecclesiastical endorsement from a recognized religious organization according to administrative procedures. These chaplains may be able to provide clinical pastoral education at the institution.

**2-4464** There is a systematic approach to determine the personnel requirements for the religious programs to ensure all inmates access to staff and services. (Essential)

DISCUSSION: Provision should be made to formally determine each inmate's religious beliefs and practices, and to ensure that their needs are met either through the chaplain or through coordination with qualified religious representatives from the community.

**2-4465** Representatives of all faith groups are available to inmates. (Essential)

DISCUSSION: Either a full-time chaplain or representatives of faith groups from the community should be available to provide regular religious services, individual and group counseling, family contacts, and other services. The chaplain or staff religious program coordinator should see that volunteer religious groups from the community have access to the population, when requested.

**2-4466** Staff chaplains have access to all areas of the institution. (Essential)

DISCUSSION: The warden/superintendent should instruct all staff members to assist chaplains in making their rounds.

## RELIGIOUS SERVICES

**2-4467** Written policy and procedure provide a continuous system of needs assessment to ensure access to religious resources. (Essential)

**DISCUSSION:** Religious programs and services should be relevant to the needs and interests of the inmate population. The religious composition of the population can change over time creating the need for additional representatives of various faiths, or for contacts to be made with representatives of groups not previously involved in the institution.

**2-4468** Written policy and procedure provide that inmates have access to religious publications and have opportunities to adhere to the requirements of their respective faiths. (Essential)

**DISCUSSION:** It is the responsibility of the institution to ensure that all inmates have the opportunity to practice their religion. However, as indicated by court rulings, the institution is not required to protect this freedom when religious practices interfere with the order and security of the institution. (See related standard 2-4336)

**2-4469** Pursuant to institution rules and regulations, inmates are allowed to have visits from representatives of their respective faiths when they so request. (Essential)

**DISCUSSION:** Inmates should be permitted to receive visits from accredited representatives of their respective faiths during normal visiting hours. Provision also should be made for emergency visits at any time. (See related standard 2-4385)

**2-4470** The institution provides facilities and equipment for the conduct of religious programs for inmates. (Essential)

**DISCUSSION:** The religious services program should be conducted in a separate building or section of the institution that includes sufficient space for religious services, counseling and chaplains' offices. Equipment, office supplies, and secretarial help should be provided commensurate with the needs of the religious program personnel as coordinated by the responsible staff member.

**2-4471** The chaplain or designated religious staff person develops and maintains close relationships with community religious resources. (Important)

**DISCUSSION:** Due to the changing diversity of religious preferences in the institution, community resources can serve a need in the delivery of religious services. Special holiday and other services can be augmented by the community.

## SOCIAL SERVICES

**2-4472** There is a social service program that provides a range of resources appropriate to the needs of inmates, including individual and family counseling and community services. (Essential)

**DISCUSSION:** Social services can assist inmates with family and personal problems through supportive guidance and professional assistance; some of these services may be provided through contractual arrangements with community agencies.

**2-4473** Written policy and procedure provide that institutional staff identify, at least annually, the collective service needs of the inmate population; these programs are available to meet the needs of inmates with specific types of problems. (Essential)

**DISCUSSION:** The institution should periodically assess the collective needs of all inmates to ensure that they are provided the appropriate services. This is particularly important in identifying inmates who should be part of special programs, such as drug abusers, alcoholics, mentally ill, retarded, or otherwise handicapped. Determination of collective needs emerge from a well-planned information system, careful screening of case files, and discussion with staff, inmates, and other persons concerned with the program. Special services should include family planning, health education, and child placement services. (See related standard 2-4480)

**2-4474** The social services program is administered and supervised by a qualified, trained person with a minimum of a bachelor's degree in the social or behavioral sciences or a related field. (Essential)

**DISCUSSION:** The social services program supervisor should have a graduate degree in the social or behavioral sciences, such as psychology, social work or counseling, in order to handle the administrative and programming responsibilities. A graduate degree may be an appropriate requirement for this position.

**2-4475** At initial classification, each inmate is assigned to a staff member to ensure supervision and personal contact; a unit management team may perform this function. (Essential)

**DISCUSSION:** To ensure that inmates receive attention to their individual needs, each should be assigned to a staff member such as a counselor, or to a unit management team. In this way, each inmate can be assured access to at least one employee for advice and assistance. The staff member or team is expected to maintain continuing personal contact with the inmate. (See related standard 2-4403)

**2-4476** Written policy and procedure provide that staff members are available to counsel inmates upon request; provision is made for counseling and crisis intervention services. (Essential)

**DISCUSSION:** To help inmates with their personal problems and with their adjustment to the institution, staff members should make time available, on a regularly scheduled basis, for appointments with inmates who request them. Treatment offerings should include group therapy and group and individual counseling. Because inmates may have problems that require immediate attention, at least one staff member should be available 24 hours a day. Crisis intervention services should be available on an as-needed basis to assist disturbed inmates.

**2-4477** A planned, organized counseling program is provided by persons qualified either by formal education or training. (Essential)

**DISCUSSION:** Employees assigned to a full-time counselor's position should have sufficient training and experience to provide guidance that is responsive to the particular needs of inmates. These employees should be full-time staff who work solely in the social service, social work and counseling specialties, not correctional officers and other staff who work closely with inmates and may provide informal counseling.

**2-4478** Written policy and procedure provide for a minimum of one social service staff person for each 100 inmates. (Important)

**DISCUSSION:** While not intended to set an inmate-to-staff case load requirement, it is necessary to determine overall staff needs based on the total number of inmates in the institution. Other factors should be considered in determining the workloads of counselors and social workers, including but not limited to the following: type of inmate population served; type of institution; legal requirements; and goals to be accomplished and administrative tasks required. Other factors that may influence the number of professionals required include whether or not the team approach is used, and whether the institution uses paraprofessionals, volunteers and students.

**2-4479** Written policy and procedure provide for substance abuse programs for inmates with drug and alcohol addiction problems. (Essential)

**DISCUSSION:** These programs should include, at a minimum, the following:  
 Staff trained in drug and alcoholic treatment to design and supervise the program  
 Selection and training of former addicts and recovered alcoholics to serve as employees or volunteers in these programs  
 Coordination of institution and community substance abuse programs  
 Efforts to motivate addicts to seek help  
 Realistic goals for the rehabilitation of inmates with drug or alcohol abuse problems  
 A variety of approaches to provide flexibility to meet the varying needs of different addicts. (See related standards 2-4409 and 2-4473)

**2-4480** Community social service resources are used to augment social services provided in the institution. (Important)

**DISCUSSION:** None.

**2-4481** Family planning, parental education, health education and child placement services are available to inmates. (Important)

**DISCUSSION:** Inmates who are parents need counseling and assistance regarding family planning and the care of children during incarceration. The educational program should include family problems often encountered upon release. Child placement efforts should be coordinated with local detention facility officials and community agencies which may have been involved during long term incarceration. (See related standard 2-4333)

## RELEASE PREPARATION AND TEMPORARY RELEASE

### 2-4482 Written policy and procedure provide that all inmates have access to a program of release preparation prior to their release to the community. (Essential)

**DISCUSSION:** Inmates should have the opportunity to prepare for release and to understand the purpose and function of parole supervision. Programs to prepare inmates for release could include the following: lectures and discussions that address the concerns of soon-to-be-released inmates; individual counseling that focuses on each inmate's particular needs; prerelease visits by parole officers and family members; and, graduated release through short furloughs.

### 2-4483 Temporary release programs should include but not be limited to the following:

- Written operational procedures
- Careful screening and selection procedures
- Written rules of conduct and sanctions
- A system of supervision to minimize inmate abuse of program privileges
- A complete recordkeeping system
- A system for evaluating program effectiveness
- Efforts to obtain community cooperation and support.

(Essential)

**DISCUSSION:** All temporary release programs should be staffed and funded adequately and operated according to a detailed, written plan. Selection of inmates should be restricted to those eligible for release within one year and others deemed suitable, and should be based on an assessment of the potential benefits to the inmate and the safety of the community. Sanctions commensurate with rule violations should be specified, ranging from reprimand to removal from the program.

### 2-4484 Written policy and procedure include graduated release through a systematic decrease in supervision and corresponding increase in inmate responsibility as part of the classification program. (Important)

**DISCUSSION:** When possible, provision should be made for work or study release, extended visits to family and community, or placement in a prerelease center or halfway house. Supervision should be decreased systematically and the inmate's progress should be evaluated on the basis of specified behavioral criteria rather than on sentence, time served, or subjective judgments based on attitude.

### 2-4485 Written policy and procedure provide for escorted and/or unescorted leaves into the community. (Essential)

**DISCUSSION:** Inmates should be allowed escorted leaves of absence from the institution to obtain medical care not available in the institution, to visit a critically ill family member, or to attend the funeral of a family member, to participate in community events as a member of a group or team, or to participate in other community activities that can have a positive influence on the inmate. Unescorted leaves of absence for a predetermined period of time may be appropriate to allow inmates to seek postrelease employment, make residential plans for parole, conduct business affairs when a personal appearance is necessary, visit family to strengthen or preserve relationships, or for any other purpose deemed consistent with an inmate's rehabilitation.

### 2-4486 Written procedures for releasing inmates at the end of their term include, but are not limited to, the following:

- Verification of identify
- Verification of release papers
- Completion of release arrangements, including notification of the parole authorities in the jurisdiction of release, if required
- Return of personal effects or contraband
- Check to see that no facility property leaves the facility
- Arrangements for completion of any pending action, such as grievances, claims for damages or lost possessions
- Medical screening and arrangements for community follow-up where needed
- Instructions on forwarding of mail.

(Essential)

**DISCUSSION:** The release process should ensure that all matters relating to the facility are completed. If released to another agency or facility, everyone involved should understand what is to occur with respect to timing, expectations, forwarding of records, and the person who will complete the transfer. (See related standard 2-4393)

## CITIZEN INVOLVEMENT AND VOLUNTEERS

**2-4487** There is a staff member who is responsible for operating a citizen involvement and volunteer service program for inmates. (Essential)

**DISCUSSION:** A citizen involvement and volunteer service program can generate a wide variety of services for inmates both during their confinement and after their release. Some jurisdictions mandate a citizen advisory board for each institution. Citizen involvement with the institution can provide information on and referrals to community programs that can benefit inmates, e.g., work and study release, recreation activities, theatre groups, etc.

**2-4488** Written policy and procedure specify the lines of authority, responsibility, and accountability for the institution's citizen involvement and volunteer services program. (Essential)

**DISCUSSION:** Written policy should provide direction for the program, listing the goals and objectives, types of services offered, population served, etc. It is important that clear lines of accountability and authority are established and communicated to staff members and volunteers. When volunteer activity can be shown to threaten the order and security of the institution or the safety of the volunteer, such activity should be limited or discontinued until the problem is resolved.

**2-4489** There is a method for the screening and selection of volunteers which allows for recruitment from all cultural and socioeconomic segments of the community. (Essential)

**DISCUSSION:** Efforts should be made to recruit volunteers from all segments of society. There should be a uniform method for screening and selecting volunteers in accordance with security concerns.

**2-4490** Written policy and procedure provide that, prior to assignment, each volunteer completes a documented orientation and/or training program appropriate to the nature of the assignment. (Essential)

**DISCUSSION:** An initial orientation session for long-term volunteers should address the history, policies, and regulations of the institution and should include an overview of the program so that the volunteers may develop a sense of their role in the program. The curriculum should include a description of the volunteers' duties, as well as a review of the needs, attitudes and life styles of the inmate population. One-time or short-term volunteers may require less intensive orientation. All volunteers should receive a copy of an approved code of ethics.

**2-4491** Volunteers agree in writing to abide by all facility policies, particularly those relating to the security and confidentiality of information. (Essential)

**DISCUSSION:** The institution should develop written policies and procedures specifying that volunteers respect all institution policies. It is particularly important that volunteers respect the confidentiality of records and of other privileged information.

**2-4492** A current schedule of volunteer services is available to all inmates and posted in appropriate areas of the institution. (Important)

**DISCUSSION:** Inmates should be aware of the availability of volunteer services and the nature of those services. Attempts should be made to see that inmates understand the role of volunteers, the limits of their authority and the mutual responsibilities of the inmate and volunteer before services are provided.

**2-4493** There is a system for official registration and identification of volunteers. (Essential)

**DISCUSSION:** All volunteers should be registered with the institution or parent agency for insurance purposes. An identification card should be issued to each volunteer and an identification record should be kept at the institution for each volunteer. This record ensures proper identification and should include a photograph, address, telephone number at which the volunteer can be reached, and other job-related information.

**2-4494** Written policy specifies that volunteers perform professional services only when certified or licensed to do so. (Essential)

**DISCUSSION:** Volunteers should not perform professional services without proper certification, examination or license. It is suggested that volunteers offering professional services be required to cite their credentials and/or certificate status in their initial application. Tutoring or sponsorship of a craft or hobby program is not considered a professional service.

**2-4495** There is provision for volunteers to participate in the establishment of policy and procedure for the volunteer services program. (Important)

**DISCUSSION:** Volunteers may be allowed to attend all staff and budget meetings that pertain to the volunteer services program and should be involved at a policy-making level. Such participation promotes understanding and commitment.

## GLOSSARY

### *Administrative Segregation*

A form of separation from the general population administered by the classification committee when the continued presence of the inmate in the general population would pose a serious threat to life, property, self, staff or other inmates, or to the security or orderly running of the institution. Inmates pending investigation for trial on a criminal act or pending transfer can also be included. (See Protective Custody and Segregation)

### *Adult Correctional Institution*

A confinement facility, usually under state or federal auspices, which has custodial authority over adults sentenced to confinement for more than a year.

### *Classification*

A process for determining the needs and requirements of those for whom confinement has been ordered and for assigning them to housing units and programs according to their needs and existing resources.

### *Contraband*

Items possessed by residents of the facility which are prohibited by program policy and regulations.

### *Counseling*

Planned use of interpersonal relationships to promote social adjustment. Counseling programs provide opportunities to express feelings verbally with the goal of resolving problems of individual residents. There are at least three types of counseling that may be provided: individual, in a one-to-one relationship; small group counseling; and large group counseling in a living unit (i.e., "therapeutic community").

### *Disciplinary Detention*

A form of separation from the general population in which inmates committing serious violations of conduct regulations are confined by the disciplinary committee for short periods of time to individual cells removed from the general population. Placement in detention may only occur after an impartial hearing has established that there was a serious violation of conduct regulations and that there is no adequate alternative disposition to regulate the inmate's behavior. (See Protective Custody and Segregation)

### *Educational Release*

The designated time when inmates leave the program or institution to attend school in the community, returning to custody after school hours.

### *Fiscal Position Control*

Process by which control is maintained to ensure that persons on the payroll are legally employed, that positions are authorized in the budget and that funds are available.

### *Health Authority*

The physician, health administrator or agency responsible for the provision of health care

services at an institution or system of institutions; the responsible physician may be the health authority.

### *Health Care*

The sum of all action taken, preventive and therapeutic, to provide for the physical and mental well-being of a population. Health care includes medical and dental services, mental health services, nursing, personal hygiene, dietary services, and environmental conditions.

### *Health Care Personnel*

Individuals whose primary duties are to provide health services to inmates in keeping with their respective levels of health care training or experience. (See Qualified Health Personnel)

### *Health-Trained Personnel (Medically-Trained Personnel)*

Correctional officers or other correctional personnel such as social workers, who may be trained and appropriately supervised to carry out certain specific duties with regard to the administration of health care.

### *Hearing*

A proceeding in which arguments, witnesses or evidence are heard by a judicial officer and administrative officer or body.

### *Holidays*

All days legally designated as nonworkdays by statute or by the chief governing authority of a jurisdiction.

### *Indigent*

A person with no funds or source of income.

### *Informed Consent*

The agreement by the patient to a treatment, examination or procedure after the patient receives the material facts regarding the nature, consequences, risks, and alternatives concerning the proposed treatment, examination and procedure.

### *Life Safety Code*

A manual published by the National Fire Protection Association specifying minimum standards for fire safety necessary in the public interest, one chapter of which is devoted to correctional facilities.

### *Management Information System*

The concepts, personnel and supporting technology for the collection, organization and delivery of information for administrative use. There are two such types of information: (1) standard information, consisting of the data required for operational control, such as the daily count, positive and negative release rates, escape or runaway rates, referral sources, and payroll data in a personnel office; and, (2) demand information, which can be generated when a report is required, such as the number of residents in educational and training programs, and duration of incarceration.

### *Medical Restraints*

Either chemical restraints such as sedatives or physical restraints such as straight jackets

applied only for medical or psychiatric purposes.

#### *Mentally Retarded*

The individual functions at a subaverage general intellectual level and is deficient in adaptive behavior or the degree to which the individual meets the standards of personal independence and social responsibility expected of individuals of this age and cultural group.

#### *Parent Agency*

The administrative department or division to whom the institution reports; it is the policy-setting body. This can be a correctional agency, part of a cabinet agency, or the governor's office.

#### *Permanent Status*

A personnel status which provides due process protection prior to dismissal.

#### *Policy*

A course or line of action adopted and pursued by an agency which guides and determines present and future decisions and actions. Policies indicate the general course or direction of an organization, within which the activities of the personnel and units must operate. They are statements of guiding principles which should be followed in directing activities toward the attainment of objectives. Their attainment may lead to compliance with standards as well as compliance with the overall goals of the agency/system.

#### *Population Center*

A geographical area containing at least 10,000 people and public safety services, professional services, employment and educational opportunities, and cultural/recreational opportunities.

#### *Procedure*

The detailed and sequential actions that must be executed to ensure that a policy is fully implemented. It is the method of performing an operation, or a manner of proceeding on a course of action. It differs from a policy in that it directs action in a particular situation to perform a specific task within the guidelines of policy.

#### *Program*

The plan or system through which a correctional agency works to meet its goals; often this program requires a distinct physical setting, such as a correctional institution.

#### *Protective Custody*

A form of separation from the general population for inmates requesting or requiring protection from other inmates. The inmate's status is reviewed periodically by the classification committee. (See Administrative Segregation and Disciplinary Detention)

#### *Qualified Health Personnel*

Physicians, dentists, and other professional and technical workers who by state law engage in activities that support, complement or supplement the functions of physicians and/or dentists and who are licensed, registered or certified as appropriate to their qualifications to practice. (See Health Care Personnel)

#### *Rated Bed Capacity*

Rated bed capacity is the number of inmates who may be properly housed and cared for in

the facility as determined by a survey which excludes areas not adapted to housing, such as basements, attics, corridors and day rooms; housing facilities which, because of obsolescence or other reason, constitute a major fire or health hazard; facilities not available for regular inmate occupancy, such as hospital, isolation, and reception units; and temporary housing, such as a temporary dormitory. In determining institutional bed capacities, adequacy of the total facilities of the institution for program activities, such as dining, toilet, recreation, education, and religion are taken into consideration.

#### *Responsible Physician*

The physician at an institution with final responsibility for the medical judgments and other decisions related to medical judgments; this physician may also be the health authority for the institution.

#### *Safety Vestibule*

A grill cage (at least six feet square) with a minimum of 36 square feet located at the entry/exits that divides the inmate areas from the remainder of the institution. These safety vestibules have two doors or gates only one of which opens at a time to permit entry to or exit from inmate areas in a safe and controlled manner.

#### *Sally Port*

An enclosure situated in the perimeter wall or fence of the institution, containing gates or doors at both ends, only one of which opens at a time. This method of entry and exit ensures there will be no breach in the perimeter security of the institution. The sally port may be small to accommodate only pedestrian traffic, or large enough to handle large delivery trucks.

#### *Security*

The degree of restriction of inmate movement within a correctional facility, usually divided into maximum, medium and minimum levels.

#### *Segregation*

The confinement of an inmate to an individual cell that is separated from the general population. There are three forms of segregation: administrative segregation, disciplinary detention and protective custody.

#### *Self-Insurer*

When the parent agency or governmental jurisdiction acts as the insurer. For public agencies the self-insurance program is usually authorized by the legislature. A "memorandum of insurance" or similar document is required which acts as a policy, setting the limits of liability for various categories of risk, including deductible limits. Approval of the policy by a cabinet level official is also required.

#### *Serious Incident*

A situation in which injury serious enough to warrant medical attention occurs involving an inmate, employee, or visitor on the grounds of the institution. Also a situation containing an imminent threat to the security of the institution and/or to the safety of inmates, employees or visitors on the grounds of the institution.

#### *Severe Mental Disturbance*

The individual is a danger to him/herself, others, or is incapable of attending to basic

physiological needs.

*Special Management Inmates*

Inmates whose behavior presents a serious threat to the safety and security of the institution, the inmate, the staff or the general inmate population. Special handling and/or housing is required in order to regulate their behavior.

*Special Needs Inmates*

Inmates whose mental and/or physical condition require special handling and treatment by staff. Special needs inmates include, but are not limited to, the drug addict, drug abuser, alcoholic, alcohol abuser, emotionally disturbed, mentally retarded, suspected mentally ill, physically handicapped, chronically ill, and those disabled or infirm.

*Temporary Release*

A period of time during which an inmate is allowed to leave the program or institution and go into the community unsupervised for various purposes consistent with the public interest.

*Training*

An organized, planned, and evaluated activity designed to achieve specific learning objectives. Training may occur on site, at an academy or training center, at an institution of higher learning, through contract service, at professional meetings or through closely supervised on-the-job training. Meetings of professional associations are considered training when there is clear evidence of the above elements.

*Treatment Plan*

A series of written statements which specify the particular course of therapy and the roles of medical and nonmedical personnel in carrying out the current course of therapy. It is individualized and based on assessment of the individual patient's needs and includes a statement of the short- and long-term goals, and the methods by which the goals will be pursued. When clinically indicated, the treatment plan provides inmates with access to a range of supportive and rehabilitative services, e. g., individual or group counseling and/or self-help groups that the physician deems appropriate.

*Volunteer*

Citizens from the community who donate their time and effort to enhance the activities of the program. They are selected on the basis of their skills or personal qualities to provide services in recreation, counseling, education, religious activities, etc.

*Warden/Superintendent*

The person in charge of the institution; the top executive or administrative officer. This position is sometimes referred to by titles other than warden/superintendent; but warden and superintendent are the most commonly used terms.

*Work Release*

A formal arrangement, sanctioned by law, whereby an inmate is permitted to leave confinement to maintain approved and regular employment in the community, returning to custody during nonworking hours.

**APPENDIX A  
Parallel Reference Table and New Weights**

First edition indicates standard number as it appeared in the first edition of the manual. The revised edition column indicates the number of the equivalent standard in the revised edition. The revised standard may have no change or only minor changes, or it may be revised or totally rewritten. The following symbols indicate the extent of change:

R	revised
N	replaced with new standard
None	no equivalent in first edition
no symbol	no substantial change in standard

The weights which are found in the revised edition are shown. A change in weight from the first edition is indicated with a "C".

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
<b>Administration, Organization and Management</b>			<b>Fiscal Management</b>		
4001R	2-4001	Essential	4029R, 4035N	2-4028	Essential
4008R	2-4002	Essential	4109	2-4029	Essential
4002, 4106N	2-4003	Essential	4030	2-4030	Important
4012, 4106N	2-4004	Essential	4034	2-4031	Essential
4004, 4083N	2-4005	Essential	4036N, 4039R	2-4032	Essential
4018R	2-4006	Important-C	4040R, 4110N	2-4033	Essential
4003R	2-4007	Essential	4064N	2-4034	Essential
4069	2-4008	Essential	4038	2-4035	Essential
4070R	2-4009	Essential	4041	2-4036	Essential
4071R	2-4010	Important	4042N, 4043R	2-4037	Essential
4072R	2-4011	Essential	4044R	2-4038	Essential
None	2-4012	Essential	4045R	2-4039	Essential
4006R	2-4013	Essential	4031N, 4046N	2-4040	Essential
4007N, 4015N	2-4014	Essential	4051R	2-4041	Essential
4016R	2-4015	Essential	None	2-4042	Essential
4005	2-4016	Essential	4047R, 4048N	2-4043	Essential
4009R	2-4017	Essential	4050R	2-4044	Essential
None	2-4018	Essential	4033	2-4045	Essential
4010R, 4108N	2-4019	Essential	4049R	2-4046	Essential
4014R	2-4020	Essential	4052N	2-4047	Essential
4013R	2-4021	Essential	4032R	2-4048	Essential-C
4017	2-4022	Essential	4053R, 4054N	2-4049	Essential
4020N	2-4023	Essential	None	2-4050	Important
4023	2-4024	Essential	4368, 4371N	2-4051	Essential
4024	2-4025	Essential	4369R	2-4052	Essential
4021R, 4022N	2-4026	Important	4370R	2-4053	Essential
None	2-4027	Essential			

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
Personnel			4097R	2-4096	Mandatory-C
4055R	2-4054	Essential	None	2-4097	Mandatory
4081R	2-4055	Important	4098R	2-4098	Essential
4060R	2-4056	Essential	4099	2-4099	Important
4061	2-4057	Essential	4026	2-4100	Important
4062	2-4058	Essential	4085	2-4101	Important
4078R	2-4059	Important	Management, Information and Research		
4056R	2-4060	Essential	4113R	2-4102	Essential
None	2-4061	Essential	4118N	2-4103	Essential
None	2-4062	Essential	4119	2-4104	Important
4073R, 4074N	2-4063	Essential	4120	2-4105	Essential
4080R	2-4064	Important-C	4116N, 4122R	2-4106	Essential
4084	2-4065	Essential	None	2-4107	Essential
4027	2-4066	Essential	4123R, 4128N	2-4108	Important
4057R, 4058N	2-4067	Essential	4011	2-4109	Essential
4068R	2-4068	Essential	4129N	2-4110	Important
4074N	2-4069	Essential	4126R	2-4111	Essential-C
4086R	2-4070	Essential	4125R	2-4112	Important
4087R	2-4071	Essential	4124	2-4113	Important
4063R	2-4072	Important	4291R	2-4114	Essential
None	2-4073	Essential	Records		
None	2-4074	Essential	4130N	2-4115	Essential
None	2-4075	Important	4131R, 4134N	2-4116	Essential
4065R, 4066N	2-4076	Essential	4135	2-4117	Important
4067	2-4077	Essential	4136R	2-4118	Essential
4075	2-4078	Essential	4132	2-4119	Essential
Training			4137	2-4120	Essential
4088R	2-4079	Essential	4138R, 4139N	2-4121	Essential
4089R	2-4080	Essential	None	2-4122	Essential
4094	2-4081	Essential	None	2-4123	Essential
4095	2-4082	Essential	4133	2-4124	Essential
4100R	2-4083	Essential	None	2-4125	Important
4101	2-4084	Essential	None	2-4126	Essential
4104	2-4085	Important	Physical Plant		
4102	2-4086	Essential	4140R	2-4127	Essential
4103R	2-4087	Essential	4141R	2-4128	Essential
None	2-4088	Essential	4142R	2-4129	Important
4090N	2-4089	Essential	4143R	2-4130	Essential
4091N	2-4090	Essential	4144R	2-4131	Important
4091N, 4092N	2-4091	Essential	None	2-4132	Essential
4091N, 4092N	2-4092	Essential	4308	2-4133	Important
4093R	2-4093	Essential			
4096N	2-4094	Essential			
None	2-4095	Essential			

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
None	2-4134	Mandatory	Security and Control		
4203R	2-4135	Important	4150R	2-4176	Essential
4204	2-4136	Essential	4151R	2-4177	Essential
None	2-4137	Essential	4152R	2-4178	Essential
None	2-4138	Essential	4156	2-4179	Essential
None	2-4139	Essential	4157	2-4180	Essential
None	2-4140	Essential	4158	2-4181	Essential
4153	2-4142	Essential	4161R	2-4182	Essential
None	2-4143	Important	4159R, 4160N	2-4183	Essential
None	2-4144	Essential	4192	2-4184	Essential
None	2-4145	Essential	4189N	2-4185	Essential
None	2-4146	Important	4154N, 4155N,		
None	2-4147	Essential	4167N, 4172N	2-4186	Mandatory
None	2-4148	Essential	4173	2-4187	Essential
None	2-4149	Essential	4165R	2-4188	Essential
None	2-4150	Essential	4165N, 4168N	2-4189	Essential
4146R	2-4151	Essential	4169	2-4190	Essential
4148R	2-4152	Essential	4170R	2-4191	Essential
None	2-4153	Essential	4163	2-4192	Essential
None	2-4154	Important	None	2-4193	Essential
None	2-4155	Mandatory	None	2-4194	Essential
None	2-4156	Important	4164R	2-4195	Essential
None	2-4157	Essential	4174	2-4196	Essential
None	2-4158	Essential	4175R	2-4197	Essential
None	2-4159	Essential	4190R	2-4198	Essential
4149R	2-4160	Essential	4191	2-4199	Essential
4147R	2-4161	Essential	4177R	2-4200	Essential
Safety and Emergency Procedures			4178R	2-4201	Essential
None	2-4162	Mandatory	4197R	2-4202	Essential
None	2-4163	Mandatory	4162R	2-4203	Essential
4240	2-4164	Mandatory	4198R	2-4204	Essential
None	2-4165	Mandatory	4187R	2-4205	Essential
None	2-4166	Mandatory	4188R	2-4206	Mandatory-C
None	2-4167	Mandatory	4199R	2-4207	Essential
None	2-4168	Mandatory	4171R	2-4208	Mandatory-C
None	2-4169	Mandatory	4179R	2-4209	Essential
4185	2-4170	Essential	4180R	2-4210	Mandatory-C
4186	2-4171	Essential	4182N, 4183N	2-4211	Important
4241N	2-4172	Mandatory	4184	2-4212	Essential
None	2-4173	Mandatory	None	2-4213	Essential
4181	2-4174	Mandatory-C	Special Management Inmates		
4176	2-4175	Mandatory-C	4200N, 4201N	2-4214	Essential
			None	2-4215	Essential

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
4332R	2-4216	Essential	4242N	2-4257	Essential
4381R	2-4217	Essential	4243N	2-4258	Mandatory-C
4382R	2-4218	Essential	4244	2-4259	Mandatory-C
4383	2-4219	Essential	4245R	2-4260	Essential
4202R	2-4220	Essential	None	2-4261	Essential
4205N, 4206R	2-4221	Essential	4246R	2-4262	Essential
4207R	2-4222	Essential	4247R	2-4263	Essential
4208R	2-4223	Mandatory-C	4248	2-4264	Essential
4213R	2-4224	Essential	None	2-4265	Essential
4214R	2-4225	Essential	None	2-4266	Essential
4210N	2-4226	Essential	4249N	2-4267	Essential
None	2-4227	Essential	4251R	2-4268	Essential
4211R	2-4228	Essential	None	2-4269	Essential
4212R	2-4229	Essential	4252R	2-4270	Essential-C
4216R	2-4230	Essential	Medical and Health Care Services		
4217R	2-4231	Essential	None	2-4271	Essential
4215R	2-4232	Essential	None	2-4272	Mandatory
4218	2-4233	Essential	None	2-4273	Essential
4219R	2-4234	Essential	None	2-4274	Essential
4209R	2-4235	Essential	None	2-4275	Mandatory-C
4220N, 4221N	2-4236	Essential	4256	2-4275	Mandatory-C
4222R	2-4237	Essential	None	2-4276	Essential
Food Services			None	2-4277	Essential
4224N	2-4238	Mandatory-C	None	2-4278	Essential
4225R	2-4239	Essential	4257N, 4272N	2-4279	Mandatory
4226N, 4232N	2-4240	Essential	None	2-4280	Essential
4227R	2-4241	Mandatory-C	None	2-4281	Essential
None	2-4242	Essential	4258	2-4282	Essential
4223R	2-4243	Essential	4278N, 4279N	2-4283	Essential
4236N	2-4244	Mandatory-C	4254N, 4255N	2-4284	Mandatory-C
None	2-4245	Essential	4271N	2-4285	Mandatory-C
4235N	2-4246	Mandatory-C	None	2-4286	Mandatory
None	2-4247	Essential	None	2-4287	Essential
4234R	2-4248	Mandatory-C	None	2-4288	Essential
4233R	2-4249	Essential	4259N, 4260N	2-4289	Mandatory-C
None	2-4250	Essential	None	2-4290	Essential
4230N	2-4251	Essential	4261N	2-4291	Essential
4231R	2-4252	Essential	None	2-4292	Essential
4228	2-4253	Essential	None	2-4293	Essential
4229	2-4254	Essential	None	2-4294	Essential
Sanitation and Hygiene			None	2-4295	Essential
4238N	2-4255	Mandatory-C	4275N, 4277N	2-4296	Essential
4239N	2-4256	Mandatory-C	4275N, 4277N	2-4297	Essential
			4275N, 4277N	2-4298	Essential
			None	2-4299	Important
			4262N	2-4300	Mandatory-C

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
4262N	2-4301	Essential	Inmate Rules and Discipline		
4263	2-4302	Essential	4310R, 4334N	2-4345	Essential
None	2-4303	Important	4311R, 4298N	2-4346	Essential
None	2-4304	Essential	4313R	2-4347	Essential
4274N	2-4305	Essential	4314R	2-4348	Essential
None	2-4306	Essential	4315	2-4349	Essential
None	2-4307	Essential	4316N	2-4350	Essential
None	2-4308	Essential	4317	2-4551	Essential
None	2-4309	Important	4318R	2-4352	Essential
None	2-4310	Essential	4319R	2-4353	Essential
4268N	2-4311	Essential	None	2-4354	Essential
None	2-4312	Essential	4320R	2-4355	Essential
None	2-4313	Essential	4324	2-4356	Essential
4127R, 4290N	2-4314	Mandatory-C	4327N	2-4357	Essential
4269N	2-4315	Essential	None	2-4358	Essential
4270N	2-4316	Essential	4328R, 4337N	2-4359	Essential
4266N, 4267N	2-4317	Mandatory	4329R, 4338N	2-4360	Essential
4264N	2-4318	Essential	4326R	2-4361	Essential
4265N	2-4319	Essential	4330N	2-4362	Essential
None	2-4320	Essential	None	2-4363	Essential
None	2-4321	Important	4331N	2-4364	Essential
None	2-4322	Essential	4321N	2-4365	Essential
Inmate Rights			4322R	2-4366	Essential
4280	2-4323	Essential	4333N, 4339N	2-4367	Essential
4281	2-4324	Essential	4323N	2-4368	Essential
4282	2-4325	Essential	Communication, Mail and Visiting		
4283N	2-4326	Essential	4340R	2-4369	Essential
4284	2-4327	Essential	4341R	2-4370	Essential
4287R	2-4328	Essential	4347R	2-4371	Important
4288	2-4329	Mandatory-C	4348R	2-4372	Essential
4289	2-4330	Essential	None	2-4373	Essential
4309N	2-4331	Essential	4342	2-4374	Essential
None	2-4332	Essential	4343R	2-4375	Essential
4273N	2-4333	Essential	4344R	2-4376	Essential
4295N, 4380N	2-4334	Essential-C	4345R	2-4377	Essential
4303	2-4335	Essential	4346R	2-4378	Essential
4304R	2-4336	Essential	4349R	2-4379	Important
4305	2-4337	Essential	4350R	2-4380	Essential
4306	2-4338	Essential	4351R	2-4381	Essential
4307R	2-4339	Essential	None	2-4382	Essential
4285N	2-4340	Essential	4352R	2-4383	Essential
4286R	2-4341	Mandatory-C	4353	2-4384	Essential
4302	2-4342	Essential	4354	2-4385	Essential
4301R	2-4343	Essential	4355N	2-4386	Important
4293	2-4344	Essential			

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
None	2-4387	Important	None	2-4424	Essential
			4394	2-4425	Essential
<b>Reception and Orientation</b>					
4356R	2-4388	Essential	None	2-4426	Important
4358R	2-4389	Essential	4397	2-4427	Essential
4359R	2-4390	Essential	4400N, 4407R	2-4428	Essential
4357N	2-4391	Essential	None	2-4429	Important
4365	2-4392	Essential	None	2-4430	Important
4361N, 4366R	2-4393	Essential	4402	2-4431	Essential
4367	2-4394	Essential	4398R	2-4432	Essential
4363R	2-4395	Essential	4399	2-4433	Essential
4362	2-4396	Essential	4396	2-4434	Essential
4364R	2-4397	Essential	4403	2-4435	Essential
None	2-4398	Essential	None	2-4436	Important
<b>Classification</b>					
4372	2-4399	Essential	4404R, 4408R	2-4437	Important
4373R	2-4400	Essential	4405R	2-4438	Essential
4193R	2-4401	Essential	4406	2-4439	Essential
None	2-4402	Mandatory	None	2-4440	Essential
4374R	2-4403	Essential	None	2-4441	Important
4376	2-4404	Essential	<b>Library Services</b>		
4377	2-4405	Essential	4409R	2-4442	Essential
4378R	2-4406	Essential	4410	2-4443	Essential
4379R	2-4407	Important	None	2-4444	Essential
4375R	2-4408	Essential	4415R	2-4445	Important
4384	2-4409	Essential	4413R	2-4446	Essential
4385R	2-4410	Essential-C	4418R	2-4447	Important
<b>Inmate Work Programs</b>					
4386N	2-4411	Essential	4411N	2-4448	Essential
4387N	2-4412	Important	4412N	2-4449	Essential
4388	2-4413	Important	None	2-4450	Essential
4390R, 4391N	2-4414	Essential	4414R	2-4451	Essential
4389R	2-4415	Important	<b>Recreation and Inmate Activities</b>		
None	2-4416	Mandatory	4419	2-4452	Essential
4392R	2-4417	Essential	4421N	2-4453	Important
None	2-4418	Important	4425R, 4428N	2-4454	Essential
None	2-4419	Important	4429	2-4455	Important-C
None	2-4420	Important	4423R	2-4456	Essential
None	2-4421	Essential	4422R	2-4457	Important
<b>Academic and Vocational Education</b>					
4393R	2-4422	Essential	4424	2-4458	Essential
None	2-4423	Essential	4427R	2-4459	Essential
			4426R	2-4460	Essential
			None	2-4461	Essential
<b>Religious Services</b>					
			4430R	2-4462	Essential
			4431R	2-4463	Essential

First Edition	Revised Edition	New Weight	First Edition	Revised Edition	New Weight
4432	2-4464	Essential	<b>Release Preparation and Temporary Release</b>		
None	2-4465	Essential	4445R	2-4482	Essential
4435	2-4466	Essential	4453R, 4455N	2-4483	Essential
None	2-4467	Essential	4446R, 4447R,		
4433	2-4468	Essential	4452N	2-4484	Important
4436R	2-4469	Essential	4450R, 4451R	2-4485	Essential
4434	2-4470	Essential	None	2-4486	Essential
None	2-4471	Important	<b>Citizen Involvement and Volunteers</b>		
<b>Social Services</b>					
4437R	2-4472	Essential	4456R	2-4487	Essential
None	2-4473	Essential	4457	2-4488	Essential
4438	2-4474	Essential	4458R	2-4489	Essential
4195	2-4475	Essential	4459	2-4490	Essential
4196N	2-4476	Essential	4462R	2-4491	Essential
4440R	2-4477	Essential	4460N	2-4492	Important
4442R	2-4478	Important	4461R	2-4493	Essential
4444	2-4479	Essential	4463N	2-4494	Essential
None	2-4480	Important	4464	2-4495	Important
None	2-4481	Important			

## APPENDIX B

### References For Use With Standards

American Correctional Association  
4321 Hartwick Rd., Suite L-208  
College Park, Maryland 20740

"Code of Ethics"  
*Library Standards for Juvenile Correctional Industries*

American Society of Heating, Refrigeration and Air Conditioning Engineers  
345 East 47th Street  
New York, New York 10017

*ASHRAE Handbook and Product Directory*

Building Officials and Code Administrators International, Inc.  
17926 So. Halsted Street  
Homewood, Illinois 60430

*The BOCA Basic Building Code/1978*

Illuminating Engineering Society of North America  
345 East 47th Street  
New York, New York 10017

National Academy of Sciences  
2101 Constitution Ave., N.W.  
Washington, D.C. 20418

*Recommended Dietary Allowances*

National Fire Protection Association  
470 Atlantic Ave.  
Boston, Massachusetts 02210

*Life Safety Code*

United States Office of Personnel Management  
1900 E Street, N.W.  
Washington, D.C. 20415

*State Salary Survey*

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*International Halfway House Association*  
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*Minnesota Corrections Association*  
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*National Correctional Recreation Association*  
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*National Jail Association*  
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*Washington Correctional Association*  
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## Code of Ethics

### AMERICAN CORRECTIONAL ASSOCIATION

*The American Correctional Association expects of its members unfailing honesty, respect for the dignity and individuality of human beings, and a commitment to professional and compassionate service. To this end we subscribe to the following principles.*

#### Relationships with clients/colleagues/other professions/the public—

- Members will respect and protect the civil and legal rights of all clients.
- Members will serve each case with appropriate concern for the client's welfare and with no purpose of personal gain.
- Relationships with colleagues will be of such character as to promote mutual respect within the profession and improvement of its quality of service.
- Statements critical of colleagues or their agencies will be made only as these are verifiable and constructive in purpose.
- Members will respect the importance of all elements of the criminal justice system and cultivate a professional cooperation with each segment.
- Subject to the client's rights of privacy, members will respect the public's right to know, and will share information with the public with openness and candor.
- Members will respect and protect the right of the public to be safeguarded from criminal activity.

#### Professional conduct/practices—

- No member will use his official position to secure privileges or advantages for himself.
- No member will act in his official capacity in any matter in which he has personal interest that could in the least degree impair his objectivity.
- No member will use his official position to promote any partisan political purposes.
- No member will accept any gift or favor of a nature to imply an obligation that is inconsistent with the free and objective exercise of his professional responsibilities.
- In any public statement members will clearly distinguish between those that are personal views and those that are statements and positions on behalf of an agency.
- Each member will be diligent in his responsibility to record and make available for review any and all case information which could contribute to sound decisions affecting a client or the public safety.
- Each member will report without reservation any corrupt or unethical behavior which could affect either a client or the integrity of the organization.
- Members will not discriminate against any client, employee or prospective employee on the basis of race, sex, creed or national origin.
- Each member will maintain the integrity of private information; he will neither seek personal data beyond that needed to perform his responsibilities, nor reveal case information to anyone not having proper professional use for such.
- Any member who is responsible for agency personnel actions will make all appointments, promotions or dismissals only on the basis of merit and not in furtherance of partisan political interests.

(Adopted August 1975 at the 105th Congress of Correction)

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