

Idaho Department of Correction 	Standard Operating Procedure	Title: Policy and Procedure Management		Page: 1 of 6
		Control Number: 103.00.01.003	Version: 2.0	Adopted: 04-06-2012

Henry Atencio, deputy director, approved this document on 04/05/2016.

Open to the public: Yes No

SCOPE

This applies to employees who write or revise policy or standard operating procedure.

Revision History
<i>Revision date (04/05/2016) version 2.0: New SOP to match current practice. Replaces SOP 103.00.01.003 Standard Operating Procedure (SOP) and Directive: Development, Revision, and Management, and SOP 103.00.01.002 Policy: Development, Revision, and Management</i>

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BOARD OF CORRECTION IDAPA RULE NUMBER

None

POLICY CONTROL NUMBER 103

Rules and Policy Management

RESPONSIBILITY

Director (or designee)

The director (or designee) is responsible for ensuring the IDOC policy coordinator practices the guidance and procedure provided herein, and determining, or concurring with or opposing, the viewing level of any policy or SOP or its related form or manual.

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Division Chief (or designee)

A division chief (or designee) is responsible for

- Ensuring policies and SOPs for their division are current and accurate
- Designating staff to write, update, or revise standard operating procedure or policy
- Ensuring that these staff have coordinated with the policy coordinator to gain a clear understanding of their role and requirements in the policy editing or development process, including using the *Policy Writer's Manual* and the correct policy and SOP templates
- Reviewing a document before submission to the policy coordinator
- Ensuring other divisions have been consulted to prevent possible policy or SOP conflicts, if needed, and that their considerations have been addressed

Deputy Attorneys General

The deputy attorneys general (DAG) are responsible for

- Reviewing all newly developed or revised policies or SOPs, and if requested, their related forms or manuals, to identify any content that may present a risk or liability issue for the IDOC
- Addressing, with the responsible manager and the policy coordinator, any concerns or issues found with the policy or SOP, or its related form or manual
- Recommending, to the responsible manager and the policy coordinator whether a policy or SOP, or its related form or manual, is exempt from public disclosure in full or in part

Policy Coordinator

The policy coordinator is responsible for

- Coordinating the drafting, revision, review, and approval of policy, standard operating procedure, forms, and manuals
- Managing quality control of policy, standard operating procedure, forms, and manuals
- To the extent possible, ensuring that only approved or standardized terms and definitions are used in policies, SOPs, and related forms and manuals
- Editing, formatting, and publishing policy, standard operating procedure, forms, and manuals
- Keeping a permanent record of policy and standard operating procedure
- Determining, in consultation with the DAGs, division chiefs, or the director (or designee) whether public access to a policy, SOP, form or manual is exempt from public disclosure in full or in part
- Coordinating with the DAGs and division chiefs for the development of redacted versions for restricted or partially restricted policies and SOPs

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REQUIREMENTS

1. Administrative Editing, Changes, or Removals

Administrative editing changes are completed by the policy coordinator and are used for non-substantive changes, to correct minor grammatical or spelling errors; to make changes to only an appended manual or form; to repair or remove hyperlinks that are no longer functional; and to change formatting to current practices.

All administrative changes to a policy or SOP, or recommendations to remove a policy or SOP, must be submitted to the policy coordinator for review. The policy coordinator will submit the change or removal to the appropriate approval authority, if necessary.

2. Writing or Revising Process

Staff must follow the process in this section when writing or revising existing policy or standard operating procedure.

Revising, Creating, or Updating Process

The Author (staff assigned to write, edit, or update):

The first step in any policy or SOP change, development, or removal is for the staff person to be assigned the duty to do so by his division chief (or designee) or, if the staff person wishes to change or develop a policy or SOP, to receive approval from his division chief (or designee) to begin the effort.

Once an employee receives this guidance or approval, their next step should be to contact the policy coordinator to inform him of their efforts and then to go to EDOC to get a copy of the *Policy Writer's Manual* and the appropriate policy or SOP templates. The author must follow the guidelines as directed in the manual and use the appropriate templates.

The employee working on this effort should coordinate within his division and with the appropriate staff from other impacted divisions as part of the process. He should also contact the deputy attorneys general with any legal questions or considerations. The author must be aware that changes to one policy or SOP may affect other policies or SOPs. It is the author's responsibility, in coordination with their division chief, or designee, to search for these affected policies or SOPs and, if found, to work to see that the necessary changes caused by the author's change efforts are addressed in these documents as well.

Once the draft document is complete, vetted, and the division chief (or designee) has approved it, it should be emailed to the policy coordinator. The policy coordinator will then conduct his review and may return the document if all of the necessary steps have not been completed or if more draft work is needed.

The Policy Coordinator:

The policy coordinator will review the draft submission for completeness and to ensure the appropriate steps have been followed by the author, and if not, will return the document to the author with guidance for what needs to be completed before submission to the coordinator. If the draft is adequate and ready for policy coordinator efforts, the coordinator will review and correct format issues and ensure it conforms to the template and determine if additional proof reading is needed.

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The policy coordinator will also check rule title and number, document title, policy number, control number, and version number, correcting as needed.

Once these processes are completed, the policy coordinator will return the policy or SOP to the author for review and approval of any changes made. If no changes are made, the document will be forwarded to the DAG for review.

Once the document is returned from the DAG, the policy coordinator will coordinate with the author if needed, and if not, send the final document to the appropriate approval authority for review and approval. If the document is not approved as is by the approval authority, it will be sent back to the author for the needed changes and the process steps will be repeated until the approval authority gives his approval.

Once approved, the policy coordinator will complete the posting, archiving, and filing steps necessary.

3. Review and Approval Process

Deputy Attorneys General:

The DAG will work with the author by providing guidance concerning legal issues or issues about the document during the development of the policy or SOP.

The DAG will also review the document submitted to them by the policy coordinator, for legal or editing issues. Once that step is completed, they will confirm appropriate level of disclosure and email their recommendations and comments with the document to policy coordinator.

Approval Authority

Approval authority is described in Policy 103, *Rules and Policy Management* as follows:

- The director approves policy.
- The deputy director approves standard operating procedure that applies to more than one division.
- The division chief approves standard operating procedure that applies only to that chief's division.
- The human resource manager approves human resource standard operating procedure with the co-approval of the deputy director.
- The policy coordinator is the review authority of a manual or form, unless the manual or form is incorporated into a policy or standard operating procedure in which case the approval authority will be as noted in this section

Approval Process

All policies and SOPs require approval before publication.

The policy coordinator prepares the final version and submits it to the DAG for review, then the policy coordinator emails the document to the final approval authority, per policy 103, for review and approval.

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The approval authority responds by email with their approval. If the approval authority does not approve, they respond by email and articulate their issues or edits so they may be addressed.

4. Publishing and Archiving

After approval, the policy coordinator finalizes, publishes, and archives a policy or SOP as follows:

- Update approval date and version number.
- Create a pdf and publish it on the department website.
- File a hard copy of the new or revised document and record of approval in the designated secure file.
- Archive the electronic version and hard copy of the old document, stamp *obsolete* on the hard copy, and store it in the permanent file.
- Delete working copies.
- Notify affected staff after publishing or removing a document.

5. Retention

The policy coordinator must keep a permanent record of policies and SOPs, including the documentation approving the policy or SOP in a secure file, using additional means of back up storage as needed

6. Access

IDOC policies and SOPs and their related forms and manuals will be accessible to all IDOC employees and select contract staff. Any IDOC employee or contract staff member, who falls within the scope of the policy or SOP or its related forms or manuals, will be responsible for ensuring they are always using the current version of the policy or SOP as posted on the IDOC website.

7. Disclosure

All IDOC policies and SOPs are available to the public and offenders, unless the policy or SOP is exempt from disclosure in full or in part. The IDOC policy coordinator is responsible for maintaining any policy or SOP that is deemed exempt from disclosure in full or in part.

Open for Public Disclosure in Full:

The IDOC has determined that the document's content is not exempt from public disclosure. If a document is "open for public disclosure in full" any of the following acts are allowable:

- Any IDOC employee or contract staff member may provide an offender or the general public access to the document;
- Any IDOC employee or contract staff member may provide an offender or the general public a copy of the document; and
- The general public may download and/or print a copy from a non-IDOC computer.

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Open for Public Disclosure in part:

The IDOC has determined that, if released, some of the document's content is exempt from public disclosure. If a document is "open for public disclosure in part", only the IDOC's policy coordinator will redact the document and publish in on the IDOC's website. Access to or a copy of only the redacted document may be provided to offenders and the general public in a manner described above in the subsection titled, "Open for Public Disclosure in Full".

Exempt from Disclosure:

The IDOC has determined that, if released, all of the document's content is exempt from public disclosure. The IDOC policy coordinator will maintain a log of those policies or SOPs that are exempt from disclosure in their entirety. If a document is "exempt from disclosure" it shall not be released to an offender or the general public.

– End of Document –