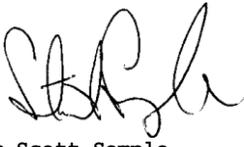


 <p style="text-align: center;">State of Connecticut Department of Correction</p> <p style="text-align: center;"><b>ADMINISTRATIVE DIRECTIVE</b></p>	Directive Number 1.3	Effective Date 02/06/15	Page 1 of 10
	Supersedes Development, Revision and Rescission of Department/Unit Policies and Procedures Dated 11/15/2010		
Approved By:  Commissioner Scott Semple	Title  Development, Revision and Rescission of Department/Unit Policies and Procedures		

1. Policy. The Commissioner of Correction shall establish policies and procedures for the overall administration of the Department of Correction. Such policies and procedures shall be in accordance with applicable state and federal statutes and regulations, relevant court decisions and executive orders. Said policies and procedures shall be reviewed regularly to assess their conformity with recognized correctional standards.
  
2. Authority and Reference.
  - A. Connecticut General Statutes, Sections 3-125, 18-78a and 18-81.
  - B. Administrative Directives 1.2, Organization; 2.15, Custodial Staff Deployment; and 6.2, Facility Post Orders and Logs.
  - C. American Correctional Association, Standards for the Administration of Correctional Agencies, Second Edition, April 1993, Standards 2-CO-1A-05 through 2-CO-1A-07, 2-CO-1A-16 and 2-CO-1A-17.
  - D. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standards 4-4003, 4-4004 and 4-4012 through 4-4014.
  - E. American Correctional Association, Performance-Based Standards for Adult Local Detention Facilities, Fourth Edition, June 2004, Standards 4-ALDF-7D-01, 4-ALDF-7D-06 and 4-ALDF-7D-08.
  - F. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standards 3-3005 through 3-3007, 3-3019 and 3-3020.
  - G. American Correctional Association, Standards for Correctional Training Academies, First Edition, May 1993, Standards 1-CTA-1A-02, 1-CTA-1A-03, 1-CTA-1A-11 and 1-CTA-1A-12.
  
3. Definitions and Acronyms. For purposes stated herein, the following definitions and acronyms apply:
  - A. Administrative Directives. The basic policy and essential procedures required by the Commissioner of Correction and applicable to all employees.
  - B. Attachment. A document, either paper or computer generated, designed solely to provide information to an administrative or unit directive. An attachment may also be a non-departmental form referenced in an administrative or unit directive.
  - C. CN. Correctional Number.
  - D. Division Administrator. A Deputy Commissioner or Division-level Director.
  - E. DOC. Department of Correction.
  - F. Form. Any printed, duplicated paper or computer screen which provides space to record information either by hand or machine and which is intended to collect repetitive information in accordance with an administrative or unit directive.
  - G. Manuals. Technical documents providing detailed information, direction and practice for employees carrying out specific duties or functions.

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- H. Post Orders. Written procedures, job requirements, guidelines and tasks for conducting operations at a specific post or station in a correctional facility.
  - I. Unit Administrator. A Correctional Warden or Unit-level Director.
  - J. Unit Directives. Policy and procedures applicable to a specific unit in accordance with Administrative Directive 1.2, Organization.
4. Standards and Policy.
- A. Office of Standards and Policy. The Office of Standards and Policy is a component of the External Affairs Division. The Office of Standards and Policy shall be responsible for all work related to the drafting, maintenance and rescission as warranted of the administrative directives. All work related to an administrative directive, or any part thereof (i.e., any department-level form or attachment), shall involve the Administrator of Standards and Policy.
  - B. Administrator of Standards and Policy. The Administrator of Standards and Policy shall report directly to the Director of External Affairs in accordance with Administrative Directives 1.2, Organization. The Administrator of Standards and Policy shall be an experienced correctional supervisor.
5. Authorization and Implementation. Administrative Directives shall become authorized when signed by the Commissioner of Correction and shall become effective in accordance with the date specified on the directive heading. Manuals shall become authorized when signed by the appropriate Division or Unit Administrator. Unit directives and post orders shall become authorized when signed by the Unit Administrator. All manuals, unit directives, post orders, forms and attachments, shall be consistent with, inclusive of and subordinate to the administrative directives.
- No one other than the Commissioner of Correction can authorize the development, revision or rescission of an administrative directive, or any part thereof (i.e., any form or attachment originating from an administrative directive). No one other than the Commissioner of Correction can issue a direction contrary to the requirements of any administrative directive.
6. Organization, Nomenclature, Designations and Punctuation.
- A. Administrative directives shall be organized into chapters containing similar subject matter. Each chapter shall be designated by a number.
  - B. Each directive shall be designated by a number comprised of the chapter number and the number of the directive in the chapter. The chapter number shall be separated from the directive number by a period.
  - C. Within each directive, the subject matter shall be divided into sections, subsections, parts and subparts. Sections shall be designated by a number. Subsections shall be designated by a capital letter. Parts shall be designated by a number. Subparts shall be designated by a lower case letter.
7. Directive Heading. Each administrative and unit directive shall have a complete heading on the first page of the directive and a partial heading on each subsequent page.

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- A. A complete heading shall consist of:
1. the state seal;
  2. the term "Administrative Directive" or "Unit Directive," as appropriate;
  3. the directive number;
  4. the title of the directive;
  5. the effective date of the directive;
  6. the title and date of the directive that was superseded, if any, or the former number of the directive, if renumbering occurred;
  7. the page number of total pages in the directive; and,
  8. the Commissioner's signature for an administrative directive or the appropriate Unit Administrator's signature for a unit directive.
- B. The partial page heading shall contain:
1. the number of the directive;
  2. the title of the directive;
  3. the page number of total page numbers; and,
  4. the effective date of that page.
8. Administrative Directive Forms and Attachments. Any form and/or attachment required by an administrative directive shall be attached to the administrative directive and shall normally be referenced as a form or attachment in the text of the administrative directive. The section just prior to the last section of the directive shall be dedicated to a list of all forms and attachments originating from that particular directive. Forms and attachments, which are part of the administrative directive, shall be subject to the same procedures and approval required in accordance with this Directive.
- A. Form and Attachment Content. Each appropriate Division Administrator shall be responsible for determining the content of data to be included in an administrative directive form or attachment. Final drafts of a proposed form/attachment shall be forwarded to the Office of Standards and Policy for inclusion in the administrative directive review process. Administrative directive forms and attachments shall normally be designed to serve Department-wide needs.
- B. Form Heading. Each form shall contain, at a minimum, the state seal, a title, form designation and revision date. Each Department-level form shall receive a unique designation to distinguish it from other forms by using the letters CN followed by the number of the administrative directive from which the form originates (e.g., form CN 6601 originates from Administrative Directive 6.6, Reporting of Incidents), followed by a sequential number appropriate to that directive. Multiple page forms shall be numbered to indicate the sequence of pages. Page numbers shall be indicated by a forward slash followed by the page number (e.g., CN 9901/2 indicates page two of form CN 9901).
- C. Attachment Heading. Each attachment to an administrative directive, which is not considered a form, shall have a heading which contains, at a minimum, the state seal, a title, a revision date, the directive the attachment originates from, and the attachment

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designation (i.e., A, B, C, etc.) as indicated in the administrative directive.

- D. Maintenance. Only administrative directive forms and attachments may be maintained in an inmate's master file. All other forms and attachments that are governed locally by unit directives may be utilized and maintained for a local function but shall not be placed in the inmate's master file.
9. Format. Each section of a directive shall have a title that shall have the first letter of each important word capitalized. The title shall be underlined. Subsections and lower divisions may have titles with underlining as appropriate.
10. Distribution. The Administrative Directives shall be distributed to each Division Administrator as provided in Administrative Directive 1.2, Organization, and to the Office of the Attorney General. A copy of the administrative directives, with the exception of any directive listed under Chapter 7, Safety and Emergency Procedures, shall be distributed to the Chairpersons of the Legislative Regulation Review Committee, the State Librarian and any other agency or individual as authorized by the Commissioner of Correction.
11. Maintenance. Each holder of the administrative directives shall be responsible for maintaining a current set.
12. Auditing. All administrative directives distributed under Section 10 of this Directive may be audited by the Office of Standards and Policy to ensure the contents are current and accurate consistent with Section 11 of this Directive.
13. Administrative Directive Proposals. An employee may initiate a proposal to establish a new or modify an existing administrative directive, form or attachment by completing form CN 1301, Request for Inclusion or Revision to an Administrative Directive. The initiating employee (i.e., originator) shall forward the completed form through the appropriate chain-of-command to the Commissioner of Correction. If approved, the original request shall be forwarded to the Administrator of Standards and Policy for follow-up action as indicated by the Commissioner of Correction. The Administrator of Standards and Policy shall forward a copy of the approved request to the originator.
- No one other than the Commissioner of Correction can authorize an inclusion or revision to an administrative directive.
14. Request for an Exception. In the event that compliance cannot be met regarding an administrative directive, form CN 1302, Request for Exception to an Administrative Directive, shall be completed. The initiating employee (i.e., originator) shall forward the completed form through the appropriate chain-of-command to the Commissioner of Correction. If approved, the original request shall be forwarded to the Administrator of Standards and Policy for follow-up action as indicated by the Commissioner of Correction. The Administrator of Standards and Policy shall forward a copy of the approved request to the originator.
- No one other than the Commissioner of Correction can authorize an exception to an administrative directive.

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15. Administrative Directive Review Process. Drafts and changes to an administrative directive shall be managed by the Office of Standards and Policy.
- A. At the direction of the Commissioner of Correction, the Administrator of Standards and Policy shall draft a change to an existing administrative directive or initiate work on a new administrative directive. A subject matter committee may be established regarding the development, revision or rescission of an administrative directive.
  - B. Any division or unit likely to be affected or responsible for implementation or compliance shall be permitted an opportunity to review the draft in accordance with Section 16 of this Directive. Appropriate deadlines for such review shall be established. Comments and recommendations shall be forwarded to the Office of Standards and Policy utilizing CN 1306, Administrative Directive Review Form.
  - C. The Administrator of Standards and Policy shall consult with the appropriate policy review staff in order to assess the results of the field review. Policy review staff shall determine which recommendations to accept and incorporate into the directive under review. Policy review staff shall generally consist of the appropriate Division, District and/or Unit Administrators, along with the Administrator of Standards and Policy, and other staff as deemed necessary.
  - D. The Administrator of Standards and Policy shall forward a copy of any new or revised draft to the Office of the Attorney General for review and comment.
  - E. If the draft is approved by the Office of the Attorney General, the Administrator of Standards and Policy shall prepare the proposed administrative directive for the Commissioner's review. If the draft is not approved by the Office of the Attorney General, the Administrator of Standards and Policy shall present the Attorney General's comments to the policy review staff in accordance with Section 15(C) of this Directive. Once all issues have been resolved, the draft shall be forwarded to the Commissioner of Correction for review and comment.
  - F. Upon the Commissioner's approval of the draft, the Administrator of Standards and Policy shall prepare a clean copy for signature.
16. Administrative Directive Field Review. A field review shall be categorized as a "General Field Review" or a "Selective Field Review" and shall be conducted as follows:
- A. General Field Review. A general field review shall be distributed to all Division, District and Unit Administrators for review and comment. Additional circulation shall be at the discretion of the Division, District and Unit administrator. All comments and recommendations shall be forwarded to the Office of Standards and Policy utilizing CN 1306, Administrative Directive Review Form.
  - B. Selective Field Review. A selective field review shall normally only be distributed to a particular Division, District and/or Unit Administrator(s) for review and comment. Additional circulation shall be at the discretion of the affected Division, District and/or Unit Administrator(s). All comments and recommendations shall be forwarded to the Office of Standards and Policy utilizing CN 1306, Administrative Directive Review Form.

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17. Effective Date. An effective date shall be entered on each administrative directive by the Office of Standards and Policy prior to the Commissioner's signature.
18. Commissioner's Signature. Upon review and approval, the Commissioner of Correction shall sign the directive and forward it to the Administrator of Standards and Policy, who shall coordinate the dissemination of the directive.
19. Administrative Directive Revisions. CN 1304, Administrative Directive Revision Notice may be issued under the Commissioner's signature to make minor changes in an administrative directive. A directive revision shall specify both the materials being rescinded and/or any new materials being added. An Administrative Directive Revision Notice shall be followed in a timely fashion with a revised administrative directive. Revision notices shall be maintained in the front of the corresponding administrative directive pending revision of the directive.
20. Transmittal Memorandum. New directives, revisions and rescissions shall be promulgated under CN 1303, Administrative Directive Transmittal Memorandum. CN 1305, Administrative Directive Revision Form, which outlines the revisions to the individual directive shall be placed on the top of all affected administrative directives, which shall indicate the changes to the directive. Corresponding unit directives and post orders shall be updated by the effective date of the administrative directive unless otherwise stated. Any change to a bound manual or handbook should be so noted and updated at the next revision date. All affected staff and inmates, if applicable, shall promptly be notified of the changes if a revision is not imminent. Each CN 1303, Administrative Directive Transmittal Memorandum shall be sequentially numbered and shall list by directive number each of the directives, revisions or any deletions being distributed. The effective date of each directive shall also be listed in the CN 1303, Administrative Directive Transmittal Memorandum. Each CN 1303, Administrative Directive Transmittal Memorandum shall be signed by the Commissioner of Correction. The CN 1303, Administrative Directive Transmittal Memorandum shall be maintained in the front of the binder until the next sequential Administrative Directive Transmittal Memorandum is received. An omission in the sequence shall be reported to the Office of Standards and Policy.
21. Table of Contents. The Office of Standards and Policy shall maintain and revise, with the distribution of each CN 1303, Administrative Directive Transmittal Memorandum, a table of contents of current directives. The table of contents shall contain the number, title, effective date, as well as the previous effective date of any superseded directive. The current table of contents shall be maintained in the front of each binder.
22. Master Administrative Directive Maintenance. The Office of Standards and Policy shall maintain a master file of all existing, superseded and rescinded administrative directives. In addition, all original copies, with the Commissioner's signature, shall be maintained by the Office of Standards and Policy.
23. Access to Administrative Directives. Administrative directives are public documents and shall be available for inspection except for those documents associated with Chapter 7, Safety and Emergency Procedures, which is

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exempt from disclosure and shall not be disclosed or distributed to anyone except authorized Department employees and the Office of the Attorney General. Administrative directives shall be readily accessible to all employees. In addition, all updated administrative directives except for Chapter 7, Safety and Emergency Procedures, shall be placed on the Department's website as well as the Department's shared site to provide optimal public and employee access. Each inmate library or reference area shall contain a copy of the directives, minus Chapter 7, Safety and Emergency Procedures.

Any requests for Chapter 7 directives or any document associated with Chapter 7 must be authorized by the Commissioner of Correction.

24. Training. All direct contact employees undergoing orientation training at the Maloney Center for Training and Staff Development shall be trained in Chapters 6, 7, 9 and 10 of the directives. Any new Administrative Directive, Unit Directive, Manual or Post Order shall be shared with each affected employee upon dissemination.
25. Unit Directives. Each Unit Administrator of a correctional facility shall ensure that Unit Directives are created in accordance with Attachment A, List of Required Unit Directives. In cases where a corresponding unit directive is not required, the Unit Administrator or designee shall post in the unit directive binder (in the location the unit directive would have occupied) CN 1307, Unit Directive Memorandum signed by the Unit Administrator indicating the administrative directive does not require a corresponding unit directive and that the administrative directive is sufficient in scope at the facility level.

Where unit directives are required, the unit directives shall be consistent with the administrative directives and not exceed the scope of authority of the administrative directives. The unit policy shall follow after the administrative policy and shall be highlighted in gray (25% shading).

In addition, each unit shall establish procedures to comply with the following to allow for staff review and communication of administrative and unit directives.

- A. Periodic review of directives with staff during staff meetings, briefings and roll calls.
- B. The reading of unit directives by all present, new and transfer staff which shall, at a minimum, be documented by the staff member's signature that the unit directive was read and understood.
- C. The reading of all new or modified unit directives by staff, which directly affect the staff member's job responsibility, prior to the directive's effective date or upon resumption of shift thereafter.
- D. Allow staff access to all unit directives with secured placement within the following areas:
  1. Unit Administrator's Office (original);
  2. Shift Supervisor's Office; and,
  3. Any other location, as determined by the Unit Administrator, with copies of Chapter 7, Safety and Emergency Procedures removed, as necessary.

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- E. Unit directive books shall be available for staff to sign-out on a temporary basis. Specific procedures for accountability of the books shall be established at each unit.
26. Unit Directive Forms and Attachments. Any form or attachment utilized locally at a specific facility or unit shall be incorporated into the unit directive that corresponds with its function. The form or attachment shall be attached to the unit directive and normally referenced as a form or attachment in the text of the unit directive. The section just prior to the last section of the directive shall be dedicated to a list of all forms and attachments originating from that particular directive. Forms and attachments, which are part of the unit directive, shall be subject to the same procedures and approval required in accordance with this Directive.
- A. Form and Attachment Content. Each appropriate Director or Unit Administrator shall be responsible for determining the format and content of data to be included in a unit directive form or attachment. Unit directive forms and attachments shall be designed to serve a local function. Administrative directive forms shall be utilized for all other functions and shall not be modified locally. All recommended changes to administrative directives forms or attachments shall be consistent with Section 13 of this Directive.
- B. Form Heading. Each form shall contain, at a minimum, a title, form designation and revision date. Each unit form shall receive a unique designation to distinguish it from other forms by using the letters CN followed by the number of the unit directive from which the form originates (e.g., form CN 6601 originates from Administrative Directive 6.6, Reporting of Incidents), followed by a sequential number appropriate to that directive. Multiple page forms shall be numbered to indicate the sequence of pages. Page numbers shall be indicated by a forward slash followed by the page number (e.g., CN 9901/2 indicates page two of form CN 9901). A form may also contain an attachment heading as referred to in the unit directive
- C. Attachment Heading. Each attachment to a unit directive, which is not considered a form, shall have a heading, which contains, at a minimum, the state seal, a title, revision date, the directive the attachment is associated with, and the attachment designation (i.e., A, B, C, etc.) as stated in the unit directive.
- D. Maintenance. Unit directive forms and attachments may be utilized and maintained locally but shall not be placed in an inmate's master file in accordance with Section 8(D) of this Directive.
27. Manuals. Each Division responsible for Classification, Facilities Management and Engineering Services, Fiscal Services, Food Services, Health and Addiction Services, Human Resources, Parole and Community Services, Records and Time Computation, Security Risk Group Management, Training and Staff Development, and Victim Services shall publish a manual. Manuals shall provide Department managers, supervisors and employees with technical information to conduct their duties. Any manual shall be consistent with the format established in Sections 6 through 8 of this Directive.
28. Post Orders. All posts established under the facility posting plan as authorized by Administrative Directive 2.15, Custodial Staff Deployment shall have a written post order delineating the duties and responsibilities of the assigned employee(s) in accordance with Administrative Directive 6.2, Facility Post Orders and Logs. Each

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Department employee assigned to a post shall read the corresponding post order prior to assuming the responsibilities of the post and sign an acknowledgment that the appropriate post order has been read. All post orders shall be consistent with the format established in Sections 6 through 8 of this Directive.

Other post orders may be developed and implemented at the discretion of the Unit Administrator.

Post orders shall be exempt from disclosure and shall not be disclosed or distributed to anyone except authorized Department employees and the Office of the Attorney General, when required.

29. Inmate Handbooks. Each facility shall be responsible for the development and subsequent distribution of an inmate handbook. The handbook shall be reviewed annually and revised as appropriate. The inmate handbook shall contain information concerning classification, discipline, facility rules, property, access to programs and services and any additional information as deemed necessary by the Unit Administrator. The handbook shall be printed in both English and Spanish and shall be distributed to each inmate as soon as practicable upon arrival at the facility.
30. Policies and Procedures Review. Administrative Directives, Manuals, Unit Directives and Post Orders shall be reviewed and may be updated **as needed** to reflect changes in:
- A. state statutes and public acts;
  - B. federal and state regulations;
  - C. presidential and executive orders;
  - D. court orders;
  - E. national standards;
  - F. personnel complements, budgets and/or programs changes;
  - G. changes in offender population characteristics; and,
  - H. other conditions or reasons or for administrative necessity.

Each Unit Administrator or designee shall ensure that an annual review is conducted of all post orders and inmate handbooks. Such reviews shall be documented and maintained at the facility level.

Employees shall be encouraged to participate in the formulation and revision of Department and institutional policies, procedures, and/or programs.

31. Transition. An existing administrative directive shall remain in force and effect until superseded by a new administrative directive or until rescinded in an Administrative Directive Transmittal Memorandum. Supersession of an existing administrative directive shall be in accordance with the information in the heading of the first page of the affected administrative directive.

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32. Forms and Attachments. The following forms are applicable to this Administrative Directive and shall be utilized for the intended function:
- A. CN 1301, Request for Inclusion or Revision to an Administrative Directive;
  - B. CN 1302, Request for Exception to an Administrative Directive;
  - C. CN 1303, Administrative Directive Transmittal Memorandum;
  - D. CN 1304, Administrative Directive Revision Notice;
  - E. CN 1305, Administrative Directive Revision Form;
  - F. CN 1306, Administrative Directive Review Form;
  - G. CN 1307, Unit Directive Memorandum; and,
  - H. Attachment A, List of Required Unit Directives.
33. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require prior written approval from the Commissioner of Correction.