


SOUTH DAKOTA  DEPARTMENT OF CORRECTIONS POLICY AND PROCEDURES		POLICY NUMBER 1.1.A.2	PAGE NUMBER 1 OF 6
		DISTRIBUTION: Public	
		SUBJECT: Policy and Procedure Process Regulation	
RELATED STANDARDS: N/A		EFFECTIVE DATE: April 15, 2022	
		SUPERSESSION: 9/1/2018	
DESCRIPTION: Administration & Management	REVIEW MONTH: JULY	<i>Kellie Wasko</i> KELLIE WASKO SECRETARY OF CORRECTIONS	

I. POLICY

Department of Corrections' (DOC) policies and implementation adjustments (IAs) will be managed according to the procedures outlined in this policy.

II. PURPOSE

It is the purpose of this policy to provide guidelines for policy administrators and department managers who will be responsible for the development, distribution and maintenance of approved DOC policies and Implementation Adjustments (IAs).

III. DEFINITIONS

DOC Institutions:

South Dakota State Penitentiary (SDSP), Jameson Prison Annex (JPA), Sioux Falls Community Work Center, Mike Durfee State Prison (MDSP), Yankton Community Work Center (YCWC), Rapid City Community Work Center (RCCWC), South Dakota Women's Prison (SDWP) including Unit E, and the Pierre Community Work Center (PCWC).

DOC Policy:

A written policy developed and reviewed in accordance with established procedures and approved by the Secretary of Corrections. Policies shall define operational guidelines for DOC staff, inmates, and the public.

DOC Divisions:

DOC Adult Institutions, Parole Services, Parole Board Office, DOC Administration, and the Division of Juvenile Services.

Implementation / Adjustments (IAs):

Procedure(s) administered by a facility / department to specifically accomplish the intent of a DOC Policy. An IA describes how the requirements of the DOC Policy will be met and does not deviate from the intent of the DOC Policy. It is not more or less restricting than the DOC Policy.

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PolicyTech® Policy and Procedure Management Software:

Electronic system provided by an outside vendor through a contract with the DOC. The software is used by the DOC to manage and store policies, Implementation Adjustments and other documents.

IV PROCEDURES

1. Policy Documents Numbering System:

- A. DOC policies and IAs will have a common, approved numbering system. Each Policy and IA number consists of four (4) components. For example, 1.2.X.4:
- B. The first character (1.2.X.4) indicates the owner and the type of document:
 1. DOC policy
 2. SDSP Implementation Adjustment
 3. MDSP Implementation Adjustment
 4. SDWP Implementation Adjustment
 5. Division of Juvenile Services Memorandum
 6. Parole Implementation Adjustment
 7. Board of Pardons and Paroles Policy
 8. Parole Board Office Implementation Adjustment
 9. Classification Transfer Implementation Adjustment
 10. Sex Offender Management Implementation Adjustment
 11. Central Records Implementation Adjustment
- C. The second character (1.2.X.4) indicates the part where the document fits into the Policy/IA index:
 1. Administration and Management
 2. Physical Plant
 3. Institutional/Agency Operations
 4. Institutional/Agency Services
 5. Offender Programs
- D. The third character (1.2.X.4) indicates the section the document will be placed in within the part. (See Attachment 1 for a complete list of section designators).
- E. The fourth character (1.2.X.4) indicates the specific policy or IA number.

2. Policy and Implementation Adjustment Sections and Format:

- A. DOC policies and IAs will have standard sections and a standard format.
- B. Sections within DOC policies and IAs will be identified with Roman Numerals.
 1. The sections will include the following in the order listed:
 - a. Standardize Title block.
 - b. Policy number and name incorporated into title block & in running header.
 - c. **Roman Numeral I:** Policy overview.
 - d. **Roman Numeral II:** Purpose statement.
 - e. **Roman Numeral III:** Definition(s).
Terms used within the policy/IA. If there are no definitions, this will be marked with "None".
 - f. **Roman Numeral IV:** Procedures.
Each separate section contained within "IV Procedures" will be numbered, starting with 1. and continuing thereafter.

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- g. **Roman Numeral V:** Responsibility
Section defines allocation of policy/ IA responsibilities.
- h. **Roman Numeral VI:** Authority
List of SDCL(s), SDAR(s), and DOC Policies relevant to the policy/ IA.

C. Attachment 2 illustrates the DOC Policy an IA format – templates for DOC Policy and IA creation are saved in PolicyTech as separate Template options.

3. Maintenance:

- A. The Policy and Compliance Coordinator will oversee the maintenance of DOC policies. Policies and IA’s are approved by the Secretary of Corrections.
- B. Each DOC Division Director will maintain their respective IAs. IAs will be approved by the Secretary of Corrections.

4. Storage, Location and Staff Access:

- A. Current public policies are available on the DOC website <http://doc.sd.gov/about/policies> and in Policy Tech. Current versions of the IAs shall be available in Policy Tech.
- B. Individual user settings within PolicyTech will control individual staff permissions to “read or write” for policies and IAs. Specific user settings and permissions are setup and managed by the Policy and Compliance Coordinator and/or the Technology Systems Director as a back up to the Policy and Compliance Coordinator.
- C. Requests from state agency staff to access DOC polices through the use of Policy Tech shall be directed to the Policy and Compliance Coordinator. Staff access to IAs shall be determined by the Warden, Director, or designees, who will notify the Policy and Compliance Coordinator to ensure proper access to IAs.

5. Review and Revisions:

- A. DOC policies and IAs are reviewed on an annual basis.
- B. Staff with suggestions for revisions or changes may make revisions or changes to the draft version of the policy or IA in Policy Tech or save a draft of the policy or IA as a Word document. These suggested revisions will be considered during scheduled annual review. Staff wishing to make draft changes to a document in Policy Tech must be assigned the appropriate permissions by the PolicyTech administrator.
- C. Whenever a new policy or IA is approved or changes are approved within an existing policy or IA, the Policy and Compliance Coordinator will electronically notify designated staff (Assignees) through an email notification process Launched by Policy Tech.
 - 1. Revised public policies are updated on the Inmate Tablet System.
 - 2. The previous version of the policy or IA shall be archived. An electronic version may be saved to a file within the Policy and Compliance Coordinator’s computer or, if saved within Policy Tech, the writer will create a new version of the policy or IA, which causes the system to automatically archive the previous version.
- D. In the event a policy or IA is abolished, staff will be notified of the date the policy or IA was abolished.
 - 1. The policy number assigned to the abolished policy will not be reassigned to future policies or IAs.
 - 2. The abolished policy or IA will be designated as “archived” automatically within PolicyTech.
- E. All revisions made to policies and IAs will be automatically stored in PolicyTech and documented in the Change Log when the new version is published.

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6. Attachments:

- A. All attachments will be published in PolicyTech as well as linked within a DOC policy or IA and will include the standardized attachment header containing the related policy, attachment title, and distribution type. The footer will include the revision date, and page # of #.
- B. Attachments will have document protection applied, which restricts unauthorized formatting and editing of the attachment template or only allows certain designated fields to be edited.
- C. Attachments will be reviewed when the policy or IA is reviewed. All revisions made to attachments will be automatically stored in PolicyTech as part of the policy revision and documented in the Change Log when the new version is published.
- D. Attachments may be modified as deemed necessary by the Policy and Compliance Coordinator or designated staff if the attachment is in an IA, and do not require direct approval of the Secretary, Director, or Warden.
- E. Revisions to attachments stored in COMS as an IWP must be forwarded to the owner of the attachment for updating in COMS. Any changes to an IWP that is an attachment to a policy or IA must be shared with the Policy and Compliance Coordinator for a policy or the designated staff person, if an attachment to an IA.
- F. Hyperlinked attachments within the PolicyTech software, policies, and IAs are not accessible by users outside of the DOC system who do not have approved access.

7. Public Access:

- A. Public policies are designated “public” within the policy and are public record. Public records are open to inspection and copying by citizens of this state and persons interested in the examination of the public record(s), unless exempted by statute (See SDCL §[1-27-1](#)).
- B. DOC policies designated “non-public” are not open to public inspection and copying without specific authorization/approval of the Secretary (See SDCL §[1-27-1.5](#)). Non-public policies will be kept secure and protected from unauthorized access by the public. Inmates are included within the designation of public. Non-public policies will include red text in the header stating the policy or IA is Non-Public.
- C. A complete Index of current DOC policies is listed on the M-drive.
- D. A complete Index of current IAs is listed the respective unit’s folder M-drive folder.
- E. A comprehensive list of all DOC policies (including Parole Board Policies) is located on the DOC website. All public DOC policies may be accessed from the website. Non-public policies are listed but cannot be accessed from the website but can be accessed in PolicyTech. Attachments associated with policies cannot be accessed from the website but can be accessed in PolicyTech. Those requesting access to an attachment may contact the Policy and Compliance Coordinator.
 1. The Communications and Information Manager will update and post new or revised DOC policies on the DOC website.

8. Public Policies and IAs:

- A. Inmate request for public policies.

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1. Inmates may view/inspect public policies (including attachments) in the facility library, from their tablet or kiosk, or by contacting unit staff (See DOC policy **1.1.E.3 Offender Access to DOC Records**).
 2. Inmates may request reproduction of public DOC policies through their unit staff.
 - a. Inmates may be charged a fee per sheet.
- B. Non-inmate (includes offenders on DOC supervision) request for public policies:
1. Persons who contact the DOC to inspect public policies should be referred to the DOC website <http://doc.sd.gov/>. Specific questions regarding policy should be directed to the Policy and Compliance Coordinator.
 2. Any public DOC policy sent electronically to a person who is not a DOC staff member shall be saved as a PDF and attached to the email or a hard copy may be mailed directly to the recipient.
 3. Requests for copies of attachments to the policy shall be directed to the Policy and Compliance Coordinator or designated unit staff.

9. Non-Public Policies and IAs:

- A. Request(s) for inspection or copying of non-public DOC policies will be directed to the Policy and Compliance Coordinator.
1. The DOC public records officer shall proceed with the request in accordance with SDCL § [1-27-37](#).
 - a. If the public records officer fails to respond to the written request within ten (10) business days, the request shall be deemed denied.
 - b. The public records officer or designee shall maintain a file of all letters of denial of requests for records (See SDCL § 1-27-1.4).
 - c. If a formal (written) request for non-public policies from a citizen of this state, other person, or an offender, is denied in whole or in part by the DOC public records officer, a written request may be made by the requestor pursuant to SDCL § 1-27-38.
- B. Any request to view/inspect non-public policies approved by the DOC public records officer is subject to the provisions set forth in SDCL § [1-27-1](#).
- C. Requests for reproduction of non-public policies approved by the DOC public records officer are subject to a fee of twenty-five cents (\$0.25) per copy.

V. RESPONSIBILITY

- A. The Secretary of Corrections is responsible for final approval and sign-off of all DOC Policies and IAs.
- B. The Wardens and Division Directors are responsible for:
1. Ensuring employees, contract workers, and volunteers are made aware of all applicable DOC policies and procedures.
 2. Ensuring all offenders have access to current public policies and procedures.
 3. Annual review of all policies and procedures and submitting all recommended revisions via the PolicyTech periodic review process.

VI. AUTHORITY

SDCL §§ [1-27-1](#), [1-27-1.4](#), [1-27-1.5](#), [1-27-37](#) and [1-27-42](#)
DOC Policy 1.1.E.3 – Offender Access to DOC Records

VII. HISTORY

January 2022
December 2019
March 2018

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March 2017
April 2016
February 2015
February 2014
March 2013
March 2012
January 2011

ATTACHMENTS

1. Policy Procedure Process Regulation Section Designators.
2. DOC Policy and Implementation Adjustment Format Template (with Instruction).