
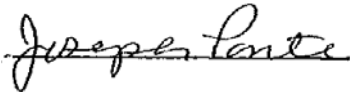


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| <b>POLICY TITLE: UNIT MANAGEMENT OPERATIONS, GENERAL GUIDELINES</b>               |  | <b>PAGE 1 OF 6</b>                                   |
| <b>POLICY NUMBER: 28.1</b>  |  |  |
| <b>CHAPTER 28: UNIT MANAGEMENT</b>  |  |  |
|  | <b>STATE of MAINE</b><br><b>DEPARTMENT OF CORRECTIONS</b><br><br>Approved by Commissioner: | <b>PROFESSIONAL STANDARDS</b><br><br>See Section VII |
|   |           |  |
| <b>EFFECTIVE DATE:</b><br>February 1, 2002  | <b>LATEST REVISION:</b><br>December 30, 2011   | <b>CHECK ONLY IF</b><br>APA [ ]                      |

**I. AUTHORITY**

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A., Section 1403

**II. APPLICABILITY**

All Departmental Adult Facilities

**III. POLICY**

It is the policy of the Maine Department of Corrections that unit management shall be implemented as the operational practice at all adult facilities in the state. The Department is committed to providing an environment that emphasizes safety and security for staff and prisoners, ensures efficient allocation of staff and fiscal resources, promotes teamwork and cooperation among staff, encourages staff and prisoner contact and interaction, and provides staff with the authority to make decisions and the ability to make recommendations regarding security, classification, services, and programs for prisoners.

**IV. CONTENTS**

- Procedure A: Department's Commitment to Unit Management
- Procedure B: Applicability to Specific Adult Facilities
- Procedure C: Principles of Unit Management
- Procedure D: Staff Communication and Teamwork
- Procedure E: Centralized and Decentralized Services

**V. ATTACHMENTS**

None

## **VI. PROCEDURES**

### **Procedure A: Department's Commitment to Unit Management**

1. The Maine Department of Corrections is committed to successful implementation of unit management with clear and continuing support through clear lines of supervisory and reporting authority, through initial and on-going training of staff at all levels and through annual on-site audits conducted by the Department's Division of Operations and field staff to assess policy compliance and provide a basis for remedial action.

### **Procedure B: Applicability to Specific Adult Institutions**

1. Unit management shall apply to all Departmental adult facilities.

### **Procedure C: Principles of Unit Management**

1. Unit management is accomplished by sub-dividing the prisoner population in larger facilities into smaller, defined groups of prisoners that are housed together in common living areas or management units.
2. Each management unit shall be assigned a core multi-disciplinary unit team composed of a Unit Manager, Sergeant, Correctional Caseworker(s), Correctional Care and Treatment Worker(s), Correctional Officer(s) and Unit Clerk. Additional staff such as a mental health counselor or other staff may be assigned to the unit due to size and/or mission of the unit.
3. The unit team shall have decision-making authority delegated by the Chief Administrative Officer authorizing each unit to function semi-autonomously within the larger facility. This authority shall govern all within-unit living, programming and security decisions regarding the prisoners who live on that unit.
4. Unit management team members shall be assigned to a unit consistent with Department policy and collective bargaining agreements. Once a prisoner is assigned to a unit, he/she shall remain on that unit for the duration of their stay at that facility, unless a change in custody or programmatic status requires a housing change or unless a change in housing is agreed upon by the two participating Unit Managers and is approved by the Chief Administrative Officer, or designee.
5. The size of each management unit shall be based on the physical design, security capabilities, multiple occupancy capacity and mission of the unit. In general, specialized units shall be smaller than general population units. Units in the Department shall vary in size up to approximately 450 prisoners.

| <b>POLICY NUMBER/TITLE</b>                                 | <b>CHAPTER NUMBER/TITLE</b> | <b>PAGE NUMBER</b>              |
|--|-----------------------------|---------------------------------|
| <b>28.1 Unit Management Operations, General Guidelines</b> | <b>28. Unit Management</b>  | <b>Page 2 of 6</b><br>12/30/11R |

6. Prisoner assignments to a unit are based on the prisoner's custody, security and program needs.
7. Unit Managers shall be at department-head level and shall report to the Deputy Chief Administrative Officer.
8. The unit shall serve as the primary place of work for the unit team with work/office space provided either on or as near to housing areas, as permitted by architectural limitations.
9. The facility's emergency plans shall govern unit response in the event of an emergency.

**Procedure D: Staff Communication and Teamwork**

1. All staff shall maintain open communication and facilitate teamwork between unit management team members and between unit team members and all other departments. Supervisory staff shall establish clear lines of communication, empower staff with authority to make appropriate decisions and hold them accountable for results, provide staff with honest, prompt feedback, and schedule regular unit meetings.

**Procedure E: Centralized and Decentralized Services**

1. Under unit management, decision-making is decentralized to the staff having the most immediate knowledge and contact with the prisoners upon whom the decisions will impact. Decentralized decision-making enables staff to readily identify and solve most problems effectively and expeditiously at the unit level. The following is a list of decentralized services/operations (i.e., within the authority of Unit Managers):
  - a. housing assignments – within and between pods, recommendations for inter-unit or inter-facility transfers
  - b. case management
  - c. reclassification (i.e., custody level and program reviews)
  - d. on-unit programming – individual and group counseling, educational groups, stress and anger management, drug and alcohol education groups, etc.
  - e. prisoner's orientation to the unit
  - f. informal resolutions and designated disciplinary actions

| POLICY NUMBER/TITLE                                 | CHAPTER NUMBER/TITLE | PAGE NUMBER              |
|---|----------------------|--------------------------|
| 28.1 Unit Management Operations, General Guidelines | 28. Unit Management  | Page 3 of 6<br>12/30/11R |

- g. on-unit prisoner work detail assignments
  - h. on-unit safety and sanitation inspections (in collaboration with Fire/Safety Officer)
  - i. initial placement on administrative segregation status and reviews
  - j. on-unit security – in collaboration with the Shift Commanders
  - k. grievances – initial responses to on-unit generated grievances
  - l. performance evaluations – performance evaluations of unit team members
  - m. unit meetings
  - n. on-unit recreational activities, including exercise and leisure time activities, and
  - o. unit records
2. A number of critical functions and program services shall remain centralized to ensure a level of internal consistency and efficiency. The following is a list of services/operations that shall remain centralized:
- a. institutional assignment – initial assignment to an institution and/or housing unit, inter-facility transfers
  - b. designated classification decisions
  - c. off-unit program/treatment placement and services
  - d. designated disciplinary actions
  - e. off-unit prisoner work detail assignments
  - f. facility safety and sanitation
  - g. facility security and emergency response command
  - h. roster management – daily correctional officer assignment, overtime, annual and sick leave administration
  - i. performance evaluations – staff not on a unit management team

| POLICY NUMBER/TITLE  | CHAPTER NUMBER/TITLE       | PAGE NUMBER                     |
|--|----------------------------|---------------------------------|
| <b>28.1 Unit Management Operations, General Guidelines</b> | <b>28. Unit Management</b> | <b>Page 4 of 6</b><br>12/30/11R |

- j. department head meetings
- k. prisoner receptions and discharges
- l. prisoner centralized record keeping
- m. prisoner property storage
- n. religious services
- o. off-unit recreational activities, including exercise and leisure time activities
- p. visiting
- q. library
- r. dining services
- s. health care services
- t. maintenance
- u. prisoner accounts, and
- v. mail room

## **VII. PROFESSIONAL STANDARDS**

### **ACA**

**ACI – 4-4016** Written policy, procedure, and practice provide for a system of two-way communication between all levels of staff and inmates.

**ACI - 4-4126** The facility should encourage staff/inmate interaction. The facility has a management system that provides staff with the authority to make decisions, the ability to make recommendations regarding security, classification, services, and programs for inmates.

**ACI - 4-4127** The maximum size of a single management unit is variable and is based on the characteristics of its inmate population. The exact size of each management unit is determined by (1) the security classification of the inmate occupants (higher security levels require a smaller unit size), and (2) the ability of staff to complete regular security checks, maintain visual and auditory contact, maintain personal contact and interaction with inmates, and be aware of unit conditions.

**ACI - 4-4180** Written policy, procedure, and practice facilitate personal contact and interaction between staff and inmates.

| <b>POLICY NUMBER/TITLE</b>                                 | <b>CHAPTER NUMBER/TITLE</b> | <b>PAGE NUMBER</b>              |
|--|-----------------------------|---------------------------------|
| <b>28.1 Unit Management Operations, General Guidelines</b> | <b>28. Unit Management</b>  | <b>Page 5 of 6</b><br>12/30/11R |

4-ACRS-7D-36 There is a system of communication between all levels of staff and offenders.

| POLICY NUMBER/TITLE                                    | CHAPTER NUMBER/TITLE | PAGE NUMBER              |
|--|----------------------|--------------------------|
| 28.1 Unit Management Operations,<br>General Guidelines | 28. Unit Management  | Page 6 of 6<br>12/30/11R |