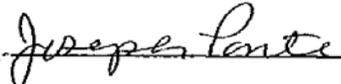


POLICY TITLE: UNIT MANAGEMENT STAFF ROLES, RESPONSIBILITIES, AND STAFFING COVERAGE		PAGE 1 OF 9
POLICY NUMBER: 28.3		
CHAPTER 28: UNIT MANAGEMENT		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner: 	PROFESSIONAL STANDARDS See Section VII
	EFFECTIVE DATE: February 1, 2002	LATEST REVISION: December 30, 2011

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

Successful implementation of unit management must also incorporate departments and staff outside the units working collaboratively as teams. Therefore, assignment of staff to management units, performance evaluations and post assignments shall be determined through a collaborative effort, with input from affected staff to the extent possible and consistent with union agreements.

IV. CONTENTS

- Procedure A: Staff Roles and Responsibilities
- Procedure B: Assignments of Staff to Management Units
- Procedure C: Performance Evaluations/Appraisals
- Procedure D: Daily Correctional Officer Post Assignments and Relief Coverage

V. ATTACHMENTS

None

VI. PROCEDURES

Procedure A: Staff Roles and Responsibilities

1. Unit Managers are responsible to ensure the overall operation of their assigned housing unit to include security, case management, program delivery, safety and sanitation. They are assigned a multi-disciplinary staff team, who have delegated decision-making authority in classification, case management, security and other daily prisoner issues within the unit. Unit Managers have direct supervisory responsibility over team members. Unit Managers fall under the direct supervision of the Deputy Chief Administrative Officer for Operations. General responsibilities of the Unit Manager include:
 - a. developing unit goals and objectives
 - b. developing, implementing and updating the unit plan
 - c. directing classification
 - d. directing unit security, sanitation and safety issues
 - e. developing unit post orders
 - f. ensuring unit staff are trained in conjunction with the facility's training department
 - g. managing unit staff schedules and coverage
 - h. developing staff and prisoner orientation programs for the unit
 - i. performing individual performance evaluations on unit staff
 - j. assessing and monitoring unit staff training needs in conjunction with training staff
 - k. ensuring an ongoing communication network among unit staff, between staff and prisoners and between unit staff and all other Departmental staff and volunteers
 - l. encouraging and fostering team building
 - m. preparing and submitting incident reports
 - n. ensuring proper prisoner disciplinary procedures
 - o. conducting unit team meetings

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- p. managing and preparing of various statistical monthly reports and inspection logs
 - q. participating on various facility committees
 - r. assigning prisoners to a Correctional Caseworker or Correctional Care and Treatment Worker and monitoring caseloads
 - s. reviewing the unit log books
 - t. assigning prisoners to unit work details, and
 - u. other duties as assigned by the Chief Administrative Officer, or designee.
2. Correctional Caseworkers have an assigned caseload of prisoners on the unit and are responsible for all case management and classification matters that affect their caseload. Generally, prisoners whose Individual Case Plan (ICP) requires extensive coordination with facility or community support services (e.g., medical, mental health, etc.) shall be assigned to a Correctional Caseworker. The Correctional Caseworker is responsible to meet the daily case management needs of each prisoner assigned to the unit in the absence of other team members. Correctional Caseworkers fall under the supervisory responsibility of the Unit Manager, and receive clinical supervision from the Casework Supervisor, or other designated staff. (See Policy 28.7, Unit Security) General responsibilities of the Correctional Caseworker include:
- a. developing Individual Case Plans for prisoners as assigned
 - b. conducting individual or group counseling sessions as permitted by licensure
 - c. maintaining up-to-date prisoner case management records, which are kept on the unit and generating recommendations for annual or other reclassifications
 - d. making at least weekly visits to prisoners on their caseload who have been placed in administrative or disciplinary segregation and/or infirmary units
 - e. maintaining frequent, on-going communication on the unit with prisoners
 - f. maintaining frequent, on-going communication with all other unit staff

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- g. assisting mental health staff in group or individual counseling sessions
 - h. conducting basic data gathering on psychosocial issues and assessing the data as part of the prisoner reception process, or as needed for ICP development
 - i. coordinating ICP services with medical, mental health and outside social service agencies
 - j. coordinating individualized release plans as a component of each prisoner's ICP
 - k. preparing and submitting incident reports
 - l. reviewing the unit log books
 - m. responding to security emergencies as trained and as needed, and
 - n. other duties as assigned by the Unit Manager
3. Correctional Care and Treatment Workers have an assigned caseload of prisoners on the unit and are responsible for all case management and classification matters that affect their caseload. Generally, prisoners whose ICP primarily focuses on institutional programs or services (e.g., industries, recreation, etc.) shall be assigned to a Correctional Care and Treatment Worker. The Correctional Care and Treatment Worker is responsible to meet the daily case management needs of each prisoner assigned to the unit in the absence of other team members. Correctional Care and Treatment Workers fall under the supervisory responsibility of the Unit Manager, and receive clinical supervision from the Casework Supervisor. General responsibilities of the Correctional Care and Treatment Worker include:
- a. monitoring Individual Case Plans for all prisoners on their caseload
 - b. coordinating individualized release plans as a component of each prisoner's ICP
 - c. maintaining up-to-date prisoner Case Management Records, which are kept on the unit, and generating recommendations for annual or other reclassifications
 - d. making at least weekly visits to prisoners on their caseload who have been placed in administrative or disciplinary segregation and/or infirmary units

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- e. maintaining frequent, on-going communication on the unit with prisoners
 - f. maintaining frequent, on-going communication with all other unit staff
 - g. reviewing the unit log books
 - h. responding to security emergencies as trained and as needed, and
 - i. other duties as assigned by the Unit Manager
4. Mental health counselors have an assigned caseload of prisoners on the unit and are responsible for providing appropriate clinical assistance to their clients. Mental health counselors fall under the supervisory responsibility of the Unit Manager but receive clinical direction and training from the Psychologist. General responsibilities of the mental health counselor include:
- a. developing individual mental health treatment plans for all prisoners on their caseload
 - b. conducting individual or group counseling sessions as permitted by licensure
 - c. maintaining up-to-date prisoner treatment records which are kept on unit and generating recommendations for annual or other reclassifications
 - d. providing assistance on prisoner clinical mental health matters to the Unit Team
 - e. conducting mental health risk assessments and making the appropriate recommendations to the unit team related to risk management for prisoners on their caseload as permitted by licensure
 - f. maintaining frequent, on-going communication with prisoners on their caseload
 - g. maintaining frequent, on-going communication with all other unit staff
 - h. monitoring psychiatric medication treatment compliance by prisoners on the management unit (in conjunction with health care staff) as permitted by licensure
 - i. responding to security emergencies as trained and as needed

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- j. reviewing the unit log books
 - k. preparing and submitting incident reports, and
 - l. other duties as assigned by the Unit Manager
5. Unit Sergeants (Zone Supervisors) have the responsibility for on-unit security and for the supervision and monitoring of Correctional Officers assigned on the unit. Unit Sergeants fall under the supervisory responsibility of the Unit Manager and may assume supervisory responsibility of the unit in the absence of the Unit Manager. (See Policy 28.7, Unit Security) General responsibilities of the Unit Sergeant include:
- a. directing unit operations, in the areas of sanitation, safety and security
 - b. working with the Shift Commander to ensure unit security operations are consistent with facility practices and Departmental policies and procedures
 - c. assessing training needs and providing training to unit Correctional Officers in conjunction with the facility training department
 - d. providing input for performance evaluations on unit Correctional Officers
 - e. maintaining and enforcing unit post orders
 - f. coordinating cell assignments
 - g. ensuring effective communication between officers and prisoners
 - h. handling security related issues and grievances
 - i. conducting daily briefings for the unit team and submitting briefing information to the Shift Commander
 - j. reporting security deficiencies to the Unit Manager
 - k. ensuring appropriate responses during emergencies
 - l. ensuring appropriate log book entries are made by the Correctional Officers
 - m. reviewing the unit log books

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- n. responding to security emergencies as needed
 - o. preparing and submitting incident reports, and
 - p. other duties as assigned by Unit Manager
6. Unit Correctional Officers have responsibility for unit matters related to security, including prisoner accountability, safety, and sanitation. They are under the supervisory responsibility of the Unit Sergeant, as directed by the Unit Manager. In the absence of the Unit Sergeant, Unit Manager, or Unit Manager's designee, unit Correctional Officers are supervised by the Shift Commander. General responsibilities of the unit Correctional Officers include:
- a. maintaining effective security and safety on the housing pod and in other areas of the management unit
 - b. observing prisoner behavior
 - c. controlling prisoner movement within the unit
 - d. establishing and maintaining ongoing communication with staff and prisoners
 - e. instructing prisoners on personal hygiene and general housekeeping duties
 - f. preparing performance evaluations for prisoners
 - g. ensuring appropriate responses during emergencies
 - h. participating in unit team meetings
 - i. responding to security emergencies as needed
 - j. making appropriate entries in and reviewing log books
 - k. preparing and submitting incident reports, and
 - l. other duties as assigned by their supervisor
7. The Unit Clerk is responsible for clerical/secretarial duties within the unit. They are under the supervisory responsibility of the Unit Manager. General responsibilities of the Unit Clerk include:

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- a. filing, word processing, entering data, copying, transcribing, etc.
- b. serving as recorder for disciplinary hearings
- c. distributing incoming mail and collecting outgoing mail
- d. screening and routing phone calls
- e. ordering and maintaining inventory of unit supplies
- f. maintaining confidentiality of unit records
- g. responding to security emergencies as trained and as needed
- h. preparing and submitting incident reports, and
- i. other duties as assigned by the Unit Manager

Procedure B: Assignment of Staff to Management Units

1. The Chief Administrative Officer, or designee, shall assign Unit Managers, Correctional Caseworkers, Unit Sergeants, Correctional Care and Treatment Workers, Mental Health Counselors, Correctional Officers and Unit Clerks to each management unit consistent with the needs of the unit and the skills possessed by the individual personnel, and applicable collective bargaining agreements. Special emphasis must be placed on ensuring that the unit management staff who are selected to work on a unit work effectively together as a unit team.

Procedure C: Performance Evaluations/Appraisals

The table below lists each unit staff member and the persons responsible for different aspects of their performance evaluations.

Staff Title	Performance Evaluation	Input	Reviewing Officer
Unit Manager	Deputy Chief Administrative Officer		Chief Administrative Officer
Correctional Caseworker	Unit Manager		Deputy Chief Administrative Officer for Operations

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Correctional Care and Treatment Worker	Unit Manager		Deputy Chief Administrative Officer for Operations
Mental Health Counselor	Unit Manager	Psychologist	Deputy Chief Administrative Officer for Treatment
Unit Sergeant	Unit Manager	Shift Commander	Deputy Chief Administrative Officer for Operations
Correctional Officer(s)	Zone Supervisor	Unit Manager Supervisor/Shift Commander	Deputy Chief Administrative Officer for Operations
Unit Clerk	Unit Manager	other team members	Deputy Chief Administrative Officer for Operations

Procedure D: Daily Correctional Officer Post Assignments and Relief Coverage

1. Whenever possible, officers who are assigned to a unit management team shall remain on that team, but may rotate to different posts within the unit.
2. When there are an insufficient number of officers on duty who have been assigned to a particular unit management team to staff that unit, the Shift Commander shall, whenever possible, attempt to assign officers who have a familiarity with the particular unit's operations.

VII. PROFESSIONAL STANDARDS

None

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