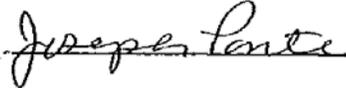


POLICY TITLE: EVALUATION OF UNIT MANAGEMENT OPERATIONS		PAGE 1 OF 3
POLICY NUMBER: 28.9		
CHAPTER 28: UNIT MANAGEMENT		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner: 	PROFESSIONAL STANDARDS: See Section VII
	EFFECTIVE DATE: February 1, 2002	LATEST REVISION: December 30, 2011

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

Because unit management results in a major reorganization of the traditional ways in which facilities operate, a system of internal and external audits is to be implemented to ensure that unit management principles and standards are consistently and appropriately applied within and between facilities. Internal audits at the facility level shall include an annual review of unit management operations by the Deputy Chief Administrative Officer for Operations. External audits shall include an annual on-site review by the Department's Division of Operations, in addition to on-going reviews by the Division of Management Information Systems (MIS) office who shall evaluate unit management statistical data regularly collected for the purpose of monitoring and evaluating unit management operations.

IV. CONTENTS

- Procedure A: Review of Unit Post Orders
- Procedure B: Review of Unit Programs and Services
- Procedure C: Review of Unit Plan
- Procedure D: On-site Audits by Central Office

V. ATTACHMENTS

None

VI. PROCEDURES

Procedure A: Review of Unit Post Orders

1. The Deputy Chief Administrative Officer for Operations is responsible to ensure all unit post orders are reviewed on an annual basis. The Deputy Chief Administrative Officer shall hold the Unit Manager responsible for reviewing each unit post order to ensure that any changes that have occurred relevant to that post are reflected and incorporated into the revised document.
2. The Unit Manager shall consult with unit staff, including assigned Correctional Officers, to obtain input with respect to unit post orders.

Procedure B: Review of Unit Programs and Services

1. The Unit Manager is responsible to review unit programs and services through weekly staff meetings and by maintaining a frequent presence throughout the unit. The Unit Manager shall review individual performance evaluations and information received through the unit's monthly statistical reports.
2. The Unit Manager is responsible to send summaries of all monthly statistical reports to the Deputy Chief Administrative Officer for Operations. These reports shall be forwarded to the Chief Administrative Officer for review, who shall then forward them to the Central Office MIS Division.
3. Additionally, each Unit Manager shall prepare an annual report for the Deputy Chief Administrative Officer for Operations which shall include a narrative, describing the performance of the unit and whether they met their annual goals and objectives, trends noticed, accomplishments and problem areas and how they were resolved, unresolved issues and an annual summary of statistical information. New unit objectives, program changes or other proposals should also be made at this time.

Procedure C: Review of Unit Plan

1. Each unit plan is to be reviewed and updated on an annual basis by the Unit Manager, with input from the unit team, then forwarded to the Deputy Chief Administrative Officer for Operations for review and approval. Changes to the unit plan may be made as needed prior to the annual review, but must also be forwarded to the Deputy Chief Administrative Officer for review and approval.

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Procedure D: On-site Audits by Central Office

1. An annual on-site audit shall be conducted of unit management operations at each facility by the Department’s Division of Operations. A formalized audit checklist shall be developed to ensure consistency in the auditing process.
2. Within thirty (30) working days following the on-site audit, a written report shall be sent to the Chief Administrative Officer by the auditor(s). The report shall summarize the results of the audit and shall also cite specific areas where a unit may be out of compliance with Departmental unit management policies and procedures, along with recommendations for correcting the deficiencies.
3. The Chief Administrative Officer shall respond to the audit findings within thirty (30) working days with a plan of action to correct the deficiencies, as appropriate. The auditor(s) shall then forward a copy of the audit and facility response to the Commissioner of Corrections.
4. All Central Office audits subsequent to the initial audit of the unit shall include a section for a current assessment of the degree that the facility’s past out of compliance areas, as identified in the previous audit, are now in conformity with the Department’s unit management policies and procedures.
5. The MIS division shall be responsible for monthly statistical data collection from all facilities for the purpose of assessing and analyzing unit management operations on an on-going basis and for reporting any significant changes or trends that may emerge to the Commissioner of Corrections.

VII. PROFESSIONAL STANDARDS

None

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